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HAMBLETON
DISTRICT COUNCIL

AGENDA

Committee Administrator: Louise Hancock (01609 767015)

Monday, 3 February 2014

Dear Councillor,

NOTICE OF MEETING

Meeting **CABINET**
Date **Tuesday, 11 February 2014**
Time **9.30 am**
Venue **Council Chamber**

Yours faithfully,

Phillip Morton
Chief Executive

To: Councillors Councillors
 M S Robson (Chairman) B Phillips
 P R Wilkinson (Vice-Chairman) Mrs S Shepherd
 N Knapton

Other Members of the Council for information

AGENDA

Page No

1. MINUTES
To confirm the decisions of the meeting held on 14 January 2014 (CA.73 - CA.77), previously circulated.
2. APOLOGIES FOR ABSENCE
3. Overview and Scrutiny
MINI REVIEW - EMERGENCY AND URGENT MEDICAL RESPONSE IN HAMBLETON 1 - 2
This report presents the final report from the Scrutiny Committee 1 on the Emergency and Urgent Medical Response in Hambleton mini review for consideration.
Relevant Ward(s): All Wards
4. Resources Management
COUNCIL TAX 2014/15 3 - 44
This report considers for 2014/15 the level of Council Tax, the policy on reserves and Prudential Indicators. In addition, it provides details of the Council's formula grant settlement released on 19 December 2012 and the Council's Business Rates base that will be used by Government to calculate the Business Rates target for 2014/15 for the Retained Business Rates funding mechanism, which from 2014/15 will be operated as a pool across North Yorkshire.

In accepting the recommendations, Council will be asked to approve various decisions regarding the setting of the level of Council Tax; confirm that the indicators on expenditure and treasury management decisions are affordable, prudent and sustainable and approve the policy on Balances and Reserves.
Relevant Ward(s): All Wards
5. 2014/15 CAPITAL PROGRAMME BUDGET, TREASURY MANAGEMENT STRATEGY STATEMENT AND PRUDENTIAL INDICATORS 2014/15 45 - 72
This report seeks approval for the capital programme for the coming financial year 2014/15, which is informed by the 10 year capital programme; the revised 10 year capital programme 2014/15 to 2023/24; the treasury management strategy statement 2014/15 and the prudential and treasury indicators 2014/15.

In accepting the recommendations Council will be asked to approve the capital programme 2014/15 as detailed in Annex A of the report; the revised 10 year Capital Programme as detailed in paragraph 2.2 of the report; the Treasury Management Strategy attached at Annex B of the report; the Prudential and Treasury Indicators attached at Annex B in the body of the Treasury Management Strategy Statement; the revised Treasury Management Policy Statement at Annex C of the report and the scheme of delegation and role of the s151 officer attached at Annex D of the report.
Relevant Ward(s): All Wards
6. 2013/14 QUARTER 3 REVENUE MONITORING REPORT 73 - 80
This report provides an update on the revenue budget position of the Council (revenue and reserve funds) at quarter 3, the end of December 2013.

In accepting the recommendations, Council will be asked to approve the budget adjustments at paragraph 3.2 of the report which total a budget increase of £127,240 to £7,619,630 in 2013/14; remove income of £71,637 from the one-off fund in relation to the homelessness grant no longer received as detailed in paragraph 6.2 of the report; allocate £83,000 from the new homes bonus reserve for the empty properties review as detailed in paragraph 6.7 of the report and note all movements in the reserves as detailed in paragraphs 6.2 to 6.6 of the report.
Relevant Ward(s): All Wards

7. 2013/14 Q3 CAPITAL MONITORING AND TREASURY MANAGEMENT MID YEAR REVIEW REPORT 81 - 96
This report provides the quarter 3 update at 31 December 2013 on the progress of the capital programme 2013/14 and the treasury management position. A full schedule of the capital programme 2013/14 schemes is attached at Annex A, together with the relevant update on progress of each scheme.
- In accepting the recommendations, Council will be asked to approve the net decrease of £136,299 in the capital programme to £2,480,600 and the detailed capital programme attached at Annex A; approve the movements in the capital programme as detailed in Annex B; approve the Capital Funding position and available reserve to support further capital schemes over the next 10 years at £3,406,054; approve the treasury management activity at Annex C and that there were no changes to the investment criteria at quarter 3; and approve the prudential and treasury indicators at Annex E and that there were no changes at quarter 3.
Relevant Ward(s): All Wards
8. COUNCIL PERFORMANCE 2013/14 (QUARTER 3) 97 - 118
This report provides details on progress against the Council's priorities and information on actions to address under performance.
- In accepting the recommendation, the progress made against the Council Plan as detailed in Annex 'A' will be endorsed.
Relevant Ward(s): All Wards
9. HEALTH AND WELLBEING SERVICE 119 - 120
This report provides information on the decision by Public Health to invest £50,000 for 2 years to enable the Council to design and deliver an accessible lifestyle adult weight management service which supports overweight and obese adults to lose weight and learn how to maintain a healthier weight in the long term.
- In accepting the recommendation, the funding package offered by North Yorkshire County Council Public Health will be accepted.
Relevant Ward(s): All Wards
10. Policy Implementation
REGULATION OF COSMETIC PIERCING AND SKIN COLOURING BUSINESSES 121 - 130
This report recommends to Council the making of all encompassing byelaws to control cosmetic piercing, semi-permanent skin colouring, acupuncture, electrolysis and tattooing and the repeal of any byelaws which related only to ear-piercing, electrolysis, tattooing and acupuncture and also seeks approval for an Enforcement Policy to cover the above activities.
- In accepting the recommendations, Council will pass a resolution authorising the making of byelaws in the form of the Model Byelaws and will carry out the necessary procedure and apply to the Department of Health for confirmation and will approve the Cosmetic Piercing and Semi-permanent Colouring Enforcement Policy.
Relevant Ward(s): All Wards
11. RISK BASED VERIFICATION POLICY 131 - 138
This report seeks approval of the Risk Based Verification policy as attached at Annex A of the report.
- In accepting the recommendations, the Policy will be recommended to Council for approval and will be reviewed annually by the Audit, Governance and Standards Committee.
Relevant Ward(s): All Wards
12. REVISED CORPORATE HEALTH AND SAFETY POLICY 139 - 158
This report sets out a proposed revision to the Corporate Health and Safety Policy.

In accepting the recommendation, Cabinet will approve the revised Policy and will recommend it to Council.

Relevant Ward(s): All Wards

13. PUBLIC OPEN SPACE, SPORT AND RECREATION ACTION PLANS 159 - 164
This report seeks endorsement of the Public Open Space, Sport and Recreation Action Plans for Burneston, Swainby with Allerthorpe and Theakston, and Snape with Thorp.

In accepting the recommendation, the Public Open Space, Sport and Recreation Action Plans in Annex B of the report will be endorsed.

Relevant Ward(s): Crakehall; Leeming

HAMBLETON DISTRICT COUNCIL

Report To: Cabinet
11 February 2014

From: Scrutiny Committee 1

**Subject: MINI REVIEW – EMERGENCY AND URGENT MEDICAL RESPONSE IN
HAMBLETON**

All Wards

1.0 SUMMARY:

1.1 At its meeting on 4 June 2013 the Committee agreed to establish a Task and Finish Group to undertake a mini review of Emergency and Urgent Medical Response in Hambleton.

2.0 INTRODUCTION:

2.1 Seven Members of the Committee were appointed to the Task and Finish Group which undertook the review and the term of reference was:

- To consider the way in which emergency medical care was delivered within Hambleton

2.2 The Group visited both the Operations Centre in York and the Ambulance Station in Northallerton to examine the effectiveness of the Emergency Operations Centre and the operational use of emergency vehicles.

2.3 John Darley of the Hambleton, Richmondshire and Whitby Clinical Commissioning Group (HRWCCG) attended a meeting of the Task and Finish Group to assist with the review and provided detailed information about alternative methods of responding to emergencies.

3.0 INFORMATION

3.1 The Group gave careful consideration to statistical information regarding emergency calls; and national response targets as part of the review. It also received information about a range of new initiatives which were being implemented to improve access to urgent and emergency healthcare services in the Hambleton, Richmondshire and Whitby Area. These included the following:

GP Urgent Pathway - The use of Yorkshire Ambulance Service (YAS) or Patient Transport Service (PTS) crews to transfer GP urgent patients to hospital instead of YAS Accident and Emergency (A&E) crews.

GP In Hours Triage - Between 8.00am and 6.00pm Monday to Friday (excluding Banks Holidays) a YAS ambulance crew once having assessed the clinical condition of a patient following a 999 emergency call and concluding that the patient could be dealt with in primary care (i.e. did not require A&E attendance), would contact the patient's GP practice directly from the scene and arrange (if the primary care clinician was in agreement) a home visit, GP appointment or would transport the patient directly to the GP surgery for immediate treatment.

Paramedic Practitioners - Additionally skilled paramedics who were embedded within GP practices and also respond to 999 red calls in their local area and receive patient referrals direct from the practice GP's.

Additional YAS Stand-by Points - Additional stand-by points agreed in Bedale (Bedale Health Centre), Catterick Village (Doctors Surgery) and Richmond (Richmond Co-op). All geographically good locations from which to deploy ambulance responses to 999 emergency calls and would be operational before the end of the year.

Co-response - Initiatives with North Yorkshire Police and North Yorkshire Fire and Rescue; negotiations were at an early stage.

Community 1st Responders (CFR) - Schemes and static defibrillator points located inside buildings were all work in progress for the CCG and YAS. Additional static sites at the Civic Centre, Northallerton and also Osmotherley were two new 2013 additions to the roster.

C-Pads - Version of static defibrillator, available on an external wall in a village community; Borrowby was the first village in the area to acquire one.

PTS as 1st Responders - Consideration was being given to a pilot scheme to train YAS PTS crews to use defibrillators and act as first responders for YAS to emergency 999 calls.

4.0 FINDINGS

- 4.1 Members established that with the resources available the service provided was extremely effective and were pleased with the improvement in response times. Members also recognised the achievements made with no additional funding and were impressed with the range of new initiatives being implemented.
- 4.2 Members appreciated the vast amount of work undertaken to improve the service and were hopeful that such good work could continue.

5.0 CONCLUSIONS:

- 5.1 Members considered that District Councillors would appreciate being provided with information relating to response times and updates on initiatives on a regular basis.
- 5.2 Members also suggested that in the spirit of joint working the District Council provide assistance to communicate the new initiatives being implemented to the residents of Hambleton.

6.0 RECOMMENDATIONS:

- 6.1 To recommend to Cabinet that:
- the CCG be commended for the improvements made to the emergency medical service;
 - District Councillors be provided with updates on a regular basis; and
 - consideration be given to any assistance the Council could provide in communicating with Hambleton residents.

COUNCILLOR ANDY WAKE
CHAIRMAN

Background Papers: None

Author ref: JPH

Contact: Jane Hindhaugh
Committee Team Leader
Direct Line: 767016

110214 mini review emergency response

HAMBLETON DISTRICT COUNCIL

Report To: Cabinet
11 February 2014

Subject: COUNCIL TAX 2014/15

All Wards
Portfolio Holder for Support Services and
Economic Development: Councillor P R Wilkinson

1.0 PURPOSE AND BACKGROUND:

- 1.1 This report considers for 2014/15 the level of Council Tax and the policy on reserves. In addition, it provides Members with details of the Council's formula grant settlement released on 19 December 2013 and the Council's Business Rates base that will be used by Government to calculate the Business Rates target for 2015/16 for the Retained Business Rates funding mechanism, which from 2014/15 will be operated as a pool across North Yorkshire.
- 1.3 The current Financial Strategy approved on 10 December 2013 assumes that the Council will set a 0% increase in Council Tax and accept the Council Tax Freeze Grant offered by Government. It is proposed that this strategy is followed and that Council Tax in Hambleton is frozen for the fourth consecutive year.
- 1.2 Detailed budget proposals were approved by Council on 10 December 2013. The approved revenue budget for 2014/15 is £7,463,150 approximately a 3% reduction on the 2013/14 revenue budget which was set at £7,691,460.
- 1.4 The impact of the Localisation of Council Tax Benefit on the Council Tax Base and the implications for precepting authorities, in particular parish councils, is discussed in Annex A. Also, Annex A(1) provides a schedule of all Parish Council precepts and Council Tax charges.
- 1.5 The statutory consultation with ratepayers is to be held during January 2014. The results of these consultation exercises have been considered as part of the budget process and are attached in Annex B.
- 1.6 A policy on the Balances and Reserves is set out in Annex C for Members' approval.

2.0 RISK ASSESSMENT:

- 2.1 There are no major risks associated with the recommendations in this report.

3.0 RECOMMENDATIONS:

- 3.1 That Cabinet recommends to Council:-

- (1) That it be noted that on 15 January Council calculated the Council Tax Base 2014/15:-
 - (a) for the whole Council area as £34,021.71 [Item T in the formula in Section 31B of the Local Government Finance Act 1992, as amended (the "Act")]; and

- (b) for dwellings in those parts of its area to which a Parish precept relates as in the attached Annex A(1).
- (2) That the Council has calculated the Council Tax requirement for the Council's own purposes for 2014/15 (excluding Parish precepts) as £3,044,263.
- (3) That the following amounts be calculated for the year 2014/15 in accordance with Sections 31 to 36 of the Local Government Finance Act 1992:-
- (a) **District/Parish Gross Expenditure**
£46,092,351.68 being the aggregate of the amounts which the Council estimates for the items set out in Section 31A(2) of the Act taking into account all precepts issued to it by Parish Councils
- (b) **District/Parish Gross Income (including Government Grants, use of Reserves and Collection Fund Surpluses etc)**
£41,817,567.39 being the aggregate of the amounts which the Council estimates for the items set out in Section 31A(3) of the Act
- (c) **District/Parish Net Expenditure**
£4,274,784.29 being the amount by which the aggregate at 3(a) above exceeds the aggregate at 3(b) above, calculated by the Council in accordance with Section 31A(4) of the Act, as its Council Tax requirement for the year (Item R in the formula in Section 31B of the Act)
- (d) **Basic Amount of Tax (including average Parish Precepts)**
£125.6377 being the amount at 3(c) above (Item R) all divided by Item T (1(a) above), calculated by the Council in accordance with Section 31B of the Act, as the basic amount of its Council Tax for the year (including Parish precepts)
- (e) **Parish Precepts**
£1,230,521.68 being the aggregate of all special items (Parish Precepts) referred to in Section 34(1) of the Act (as per Annex A)
- (f) **Basic Amount of Tax (Unparished Areas)**
£89.4800 being the amount at 3(d) above less the result given by dividing the amount at 4(e) above by Item T (1(a) above), calculated by the Council in accordance with Section 34(2) of the Act, as the basic amount of its Council Tax for the year for dwellings in those parts of its area to which no Parish precept relates
- (4) **Major Precepting Authorities**
That it be noted that the North Yorkshire County Council, the North Yorkshire Fire and Rescue Authority and the North Yorkshire Police Authority have issued precepts to the Council in accordance with Section 40 of the Local Government Finance Act 1992 for each category of dwellings in the Council's area as indicated in the table below and at Annex A(1).
- (5) **Council Tax Bands for All Councils**
Figures for North Yorkshire County Council, North Yorkshire Fire and Rescue Authority and North Yorkshire Police Authority are yet to be determined and will be reported at Council on 18th February 2014.

That the Council, in accordance with Sections 30 and 36 of the Local Government Finance Act 1992, hereby sets the aggregate amounts shown in the tables below as the amounts of Council Tax for 2014/15 for each part of its area and for each of the categories of dwellings.

Hambleton District Council

Valuation Bands

| A | B | C | D | E | F | G | H |
|-------|-------|-------|-------|--------|--------|--------|--------|
| £ | £ | £ | £ | £ | £ | £ | £ |
| 59.65 | 69.60 | 79.54 | 89.48 | 109.36 | 129.25 | 149.13 | 178.96 |

North Yorkshire County Council

Valuation Bands

| A | B | C | D | E | F | G | H |
|---|---|---|---|---|---|---|---|
| £ | £ | £ | £ | £ | £ | £ | £ |

North Yorkshire Fire and Rescue Authority

Valuation Bands

| A | B | C | D | E | F | G | H |
|---|---|---|---|---|---|---|---|
| £ | £ | £ | £ | £ | £ | £ | £ |

North Yorkshire Police Authority

Valuation Bands

| A | B | C | D | E | F | G | H |
|---|---|---|---|---|---|---|---|
| £ | £ | £ | £ | £ | £ | £ | £ |

(6) **Excessive Council Tax**

That the Council determines that the Council's basic amount of Council Tax for 2014/15 (at 3(f) above) is not excessive in accordance with the principles approved under Section 52ZB of the Local Government Finance Act 1992.

(7) The appropriate amount is taken from the Council Taxpayers Reserve to support the decision at (3) above.

(8) The policy on Balances and Reserves at Annex C is approved.

JUSTIN IVES

Background papers: None
Author ref: JI
Contact: Justin Ives
 Director of Resources
 Direct Line No 767022

110214 Council Tax 201415

Council Tax 2014/15

1.0 INTRODUCTION AND BACKGROUND:

- 1.1 This paper considers the level of Council Tax for 2014/15 in the light of the approved revenue budget for 2014/15 and financial strategy, as well as the Government's Formula Grant settlement and proposals for a fourth year of Council Tax freeze.

2.0 REVENUE ESTIMATE AND FINANCIAL STRATEGY:

- 2.1 The approved revenue estimate for 2014/15 is a net total of £7,463,150 this is approximately a 3% reduction on the 2013/14 approved budget of £7,691,460.
- 2.2 The Financial Strategy approved by Cabinet in November 2012, demonstrated that the approved budget of £7,463,150 was affordable and would allow the Council to set a balanced budget.
- 2.3 The affordability of this budget was predicted on assumptions made in the Financial Strategy around the level of grant funding for 2014/15, this affordability has been confirmed in the level of grant support allocated to the Council as part of the Local Government Finance Settlement announced on 19 December 2013.

3.0 FORMULA GRANT SETTLEMENT AND COUNCIL TAX

- 3.1 The Comprehensive Spending Review announced in October 2010 set out unprecedented grant reductions for Local Government over the 4 year period 2011/12 to 2014/15. The Local Government Finance Settlements following the Comprehensive Spending Review have cut Government Grant support to this Council by £1,661,280 or 28.59%, between 2011/12 and 2013/14.
- 3.2 On 19 December 2013 the Finance Settlement for 2014/15 was announced. This announcement also gave indicative figures for 2015/16. The detail of the settlement is set out below, but in summary the Council is guaranteed to receive £3,905,420 of funding in 2014/15 from a combination of new Revenue Support Grant, Council Tax Freeze Grant, Localisation of Council Tax Benefit Grant and retained Business Rates. This is a £513,165 or 11.8% reduction on the amount received in 2013/14. These figures are broadly similar to those which were budgeted for in the Financial Strategy, however this settlement must be considered against a backdrop of a number of issues:
- 1) Indicative Finance Settlement figures were also released for 2015/16 which reduces the Council's funding settlement by £590,585 or 16%.
 - 2) Further funding reductions beyond 2015/16 are inevitable as the Government continues its austerity drive to reduce the countries budget deficit.
 - 3) Based upon those figures between 2011/12 and 2015/16, this Council will have received a reduction in Government support of £2,775,030 or 48%.

Detailed Funding Settlement

| | 2014/15 £ | 2015/16 £ (Indicative) |
|--|------------------|------------------------------|
| Business Rates target | 26,385,588 | TBC |
| Levy paid to Central Government | (13,192,794) | TBC |
| Local share of Business Rates | 13,192,794 | TBC |
| County Council/Fire share at 20% | (2,638,559) | TBC |
| Hambleton District Council share at 80% | 10,554,235 | TBC |
| Fixed tariff paid to Central Government | 8,694,995 | TBC |
| Hambleton District Council Retained Business Rates Target | 1,859,240 | 1,910,557 |
| Hambleton District Council Guaranteed Business Rates based on the Safety Net. | 1,719,797 | 1,767,265 |
| Revenue Support Grant | 2,185,623 | 1,512,196 |
| Total Guaranteed Funding Settlement | 3,905,420 | 3,279,461 |

% Reduction

16%

- 3.3 The percentage reduction for 2014/15 is broadly the same as that anticipated in the Financial Strategy. However, the Business Rate Retention Funding Mechanism has with it inherent risk for Local Government. Principally, if the business rate target set for the Council is not met the reduction in Business Rates will reduce the local share, not the amounts paid to Central Government. Any loss of income will be met 80% by Hambleton District Council, 18% by North Yorkshire County Council and 2% by North Yorkshire Fire and Rescue Authority.
- 3.4 An aspect of the regulations in respect of the Business Rate Retention Scheme, Councils must set a Business Rates Base figure which is approved, this is used by Government to set the Business Rates Collection Target for the Council in the preceding year. The Business Rates Base figure for 2015/16 is £26,653,371, this is the latest estimate from the National Non-domestic Rates Return.
- 3.5 Increases in Business Rate levels are set each year by Central Government and are based upon the RPI figure for September which stood at 3.2% (capped at 2%). The provisional rate poundage to be applied in 2013/14 has been announced as follows:-
- Non-Domestic Rate 48.2p
 - Small Business Rate 47.1p
- 3.6 Under Schedule 7 of the Local Government Finance Act 1988, the provisional multipliers will be confirmed after either the Local Government Finance Report 2014/15 has been approved by Parliament or by the end of March 2014.

4.0 **COUNCIL TAX:**

Council Tax Base

4.1 Each year the Council is required to formally set the Council Tax Base and advise the appropriate precepting bodies. This must be done by 31 January each year.

4.2 The Council Tax Base for 2014/15 is set at 34,021.71.

Council Tax Levels

4.3 In producing the table below it must be stressed that some assumptions have been made as the information is not available owing to the precepting authorities not having met at the time of writing this report. Initially, the assumption that has been made is that each of the precepting authorities will accept the Government's proposals of a freeze on Council Tax. However, as stated in paragraph 3.1.5 of the main report the precepting authorities have as yet not provide the information on the level of Council Tax and therefore these figures may be subject to change. Parishes are not currently subject to the provision of the Localism Act relating to excessive Council Tax rises and are not part of the Government's Council Tax Scheme.

4.4 If the assumptions made above are current then the 2014/15 Council Tax at Band D will be:-

| 2013/14 £ | | 2014/15 £ | Assumption |
|-----------|--------------------|-----------|--------------------|
| 1,057.48 | County Council | 1,057.48 | Council Tax freeze |
| 204.55 | Police Authority | 204.55 | Council Tax freeze |
| 62.10 | Fire Authority | 62.10 | Council Tax freeze |
| 34.47 | Parishes (average) | 36.16 | Parishes (average) |
| 89.48 | Hambleton | 89.48 | Council Tax freeze |
| <hr/> | | <hr/> | |
| 1,448.08 | | 1,449.77 | |

5.0 **IMPACT ON RESERVES:**

5.1 The impact on the Council's Council Taxpayers Reserve from the revenue budget, funding settlement and Council Tax decision as set out in the table below:-

| | | |
|---|---|-----------|
| Revenue Budget: | £ | 7,463,150 |
| Financed by:- | | |
| Redistributed Business Rates (target) | | 1,859,240 |
| Additional Retained Business Rates (estimate) | | 150,000 |
| Formula Grant | | 2,185,623 |
| Council Tax | | 3,044,263 |
| Council Tax Freeze Grant | | 30,442 |
| | | <hr/> |
| | | 7,269,568 |
| Contribution from Reserves | | 193,582 |
| Balanced budget | | <hr/> |
| | | 0 |

5.2 It is estimated at this stage that the Council will use £193,582 contribution from the Council Taxpayers Reserve to balance the 2013/14 Revenue Budget. This is £115,258 less than the £308,840 forecast in the Financial Strategy.

6.0 RISK ASSESSMENT:

6.1 There are no major risks associated with this report.

7.0 LOCAL GOVERNMENT ACT 2003:

7.1 Section 25 of the Local Government Act 2003 requires the Council's S151 Officer (Chief Financial Officer) to report to Members on the robustness of the budget and the adequacy of reserves held by the Council.

7.2 The approved revenue budget has now been prepared by the Council's budget holders and has been subjected to challenge by the Finance staff and Chief Officers. I therefore conclude the budgets included in this Council Tax setting process are robust and have been prepared in accordance with proper practices.

7.3 The reserves of the Council are set out in Annex C to this report. I consider the level of reserves adequate to maintain the Council's current revenue expenditure and enable its longer term objectives as set out in the Financial Strategy. Annex C sets out the policy on Reserves and Balances and supports my comments. The Annex also makes recommendations on the level of Balances and Reserves.

HAMBLETON DISTRICT COUNCIL**COUNCIL MEETING - 18 February, 2014****Parish Precepts and Council Tax Amounts 2014/15**

| <u>Parish</u> | Line | 2013/14 Precept £ | 2014/15 Precept £ | 2014/15 Council Tax | | | | | | | | | | |
|---------------------------------------|------|-------------------------|-------------------------|------------------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|---|---|--------|
| | | | | Band A £ | Band B £ | Band C £ | Band D £ | Band E £ | Band F £ | Band G £ | Band H £ | | | |
| Ainderby Steeple | 1. | 3,000.00 | 3,000.00 | | | | 30.27 | | | | | | | |
| | 2. | | | | | | 89.48 | | | | | | | |
| | 3. | | | 79.83 | 93.14 | 106.44 | 119.75 | 146.36 | 172.97 | 199.58 | | | | 239.50 |
| | 4. | | | - | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 79.83 | 93.14 | 106.44 | 119.75 | 146.36 | 172.97 | 199.58 | | | | 239.50 |
| Aiskew | 1. | 20,712.94 | 25,000.00 | | | | 31.37 | | | | | | | |
| | 2. | | | | | | 89.48 | | | | | | | |
| | 3. | | | 80.57 | 93.99 | 107.42 | 120.85 | 147.71 | 174.56 | 201.42 | | | | 241.70 |
| | 4. | | | - | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 80.57 | 93.99 | 107.42 | 120.85 | 147.71 | 174.56 | 201.42 | | | | 241.70 |
| Aldwark, Flawith & Youlton | 1. | 2,800.00 | 3,200.00 | | | | 23.41 | | | | | | | |
| | 2. | | | | | | 89.48 | | | | | | | |
| | 3. | | | 75.26 | 87.80 | 100.35 | 112.89 | 137.98 | 163.06 | 188.15 | | | | 225.78 |
| | 4. | | | - | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 75.26 | 87.80 | 100.35 | 112.89 | 137.98 | 163.06 | 188.15 | | | | 225.78 |

| Parish | Line | 2013/14 Precept £ | 2014/15 Precept £ | 2014/15 | | 2014/15 | | 2014/15 | | 2014/15 | | 2014/15 | |
|----------------|------|-------------------------|---------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|---------|--------|
| | | | | Council Tax Band A £ | Council Tax Band B £ | Council Tax Band C £ | Council Tax Band D £ | Council Tax Band E £ | Council Tax Band F £ | Council Tax Band G £ | Council Tax Band H £ | | |
| Alne | 1. | 4,500.00 | 6,000.00 | | | | 20.42 | | | | | | |
| | 2. | | | | | 89.48 | | | | | | | |
| | 3. | | | 85.48 | 97.69 | 109.90 | 134.32 | 158.74 | 183.17 | | | | 219.80 |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 73.27 | 97.69 | 109.90 | 134.32 | 158.74 | 183.17 | | | | |
| | | | COUNCIL TAX AMOUNT | | | | | | | | | | |
| Appleton Wiske | 1. | 5,800.00 | 5,900.00 | | | | 30.66 | | | | | | |
| | 2. | | | | | 89.48 | | | | | | | |
| | 3. | | | 93.44 | 106.79 | 120.14 | 146.84 | 173.54 | 200.23 | | | | 240.28 |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 80.09 | 106.79 | 120.14 | 146.84 | 173.54 | 200.23 | | | | |
| | | | COUNCIL TAX AMOUNT | | | | | | | | | | |
| Bagby and Balk | 1. | 4,500.00 | 4,750.00 | | | | 20.66 | | | | | | |
| | 2. | | | | | 89.48 | | | | | | | |
| | 3. | | | 85.66 | 97.90 | 110.14 | 134.62 | 159.09 | 183.57 | | | | 220.28 |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 73.43 | 97.90 | 110.14 | 134.62 | 159.09 | 183.57 | | | | |
| | | | COUNCIL TAX AMOUNT | | | | | | | | | | |
| Bedale | 1. | 48,000.00 | 51,401.00 | | | | 46.51 | | | | | | |
| | 2. | | | | | 89.48 | | | | | | | |
| | 3. | | | 105.77 | 120.88 | 135.99 | 166.21 | 196.43 | 226.65 | | | | 271.98 |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 90.66 | 120.88 | 135.99 | 166.21 | 196.43 | 226.65 | | | | |
| | | | COUNCIL TAX AMOUNT | | | | | | | | | | |

| Parish | Line | 2013/14 Precept £ | 2014/15 Precept £ | 2014/15 | | 2014/15 | | 2014/15 | | 2014/15 | | 2014/15 | |
|----------------------------------|------|-------------------------|-------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|---------|---|
| | | | | Council Tax Band A £ | Council Tax Band B £ | Council Tax Band C £ | Council Tax Band D £ | Council Tax Band E £ | Council Tax Band F £ | Council Tax Band G £ | Council Tax Band H £ | | |
| Bilsdale Midcable | 1. | 1,850.00 | 1,700.00 | | | | 11.46 | | | | | | |
| | 2. | | | | | | 89.48 | | | | | | |
| | 3. | | | 78.51 | 89.72 | 100.94 | 123.37 | 145.80 | 168.23 | 201.88 | | | |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 67.29 | 89.72 | 100.94 | 123.37 | 145.80 | 168.23 | 201.88 | | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| Borrowby | 1. | 2,000.00 | 2,000.00 | | | | 11.36 | | | | | | |
| | 2. | | | | | | 89.48 | | | | | | |
| | 3. | | | 78.43 | 89.64 | 100.84 | 123.25 | 145.66 | 168.07 | 201.68 | | | |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 67.23 | 89.64 | 100.84 | 123.25 | 145.66 | 168.07 | 201.68 | | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| Brafferton | 1. | 3,100.00 | 3,100.00 | | | | 23.43 | | | | | | |
| | 2. | | | | | | 89.48 | | | | | | |
| | 3. | | | 87.82 | 100.36 | 112.91 | 138.00 | 163.09 | 188.18 | 225.82 | | | |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 75.27 | 100.36 | 112.91 | 138.00 | 163.09 | 188.18 | 225.82 | | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| Brandsby - cum - Stearsby | 1. | 2,000.00 | 1,500.00 | | | | 10.85 | | | | | | |
| | 2. | | | | | | 89.48 | | | | | | |
| | 3. | | | 78.03 | 89.18 | 100.33 | 122.63 | 144.92 | 167.22 | 200.66 | | | |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 66.89 | 89.18 | 100.33 | 122.63 | 144.92 | 167.22 | 200.66 | | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |

| Parish | Line | 2013/14 Precept £ | 2014/15 Precept £ | 2014/15 | | 2014/15 | | 2014/15 | | 2014/15 | | 2014/15 | |
|----------------------------------|------|-------------------------|-------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|---------|---|
| | | | | Council Tax Band A £ | Council Tax Band B £ | Council Tax Band C £ | Council Tax Band D £ | Council Tax Band E £ | Council Tax Band F £ | Council Tax Band G £ | Council Tax Band H £ | | |
| Carlton Miniott | 1. | 3,150.00 | 4,150.00 | | | 11.87 | | | | | | | |
| | 2. | | | | | 89.48 | | | | | | | |
| | 3. | | | 78.83 | 90.09 | 101.35 | 123.87 | 146.39 | 168.92 | 202.70 | | | |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 67.57 | 78.83 | 90.09 | 101.35 | 123.87 | 146.39 | 168.92 | 202.70 | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| Carthorpe | 1. | 2,000.00 | 2,000.00 | | | 19.83 | | | | | | | |
| | 2. | | | | | 89.48 | | | | | | | |
| | 3. | | | 85.02 | 97.16 | 109.31 | 133.60 | 157.89 | 182.18 | 218.62 | | | |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 72.87 | 85.02 | 97.16 | 109.31 | 133.60 | 157.89 | 182.18 | 218.62 | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| Poxwold | 1. | 2,000.00 | 2,500.00 | | | 27.92 | | | | | | | |
| | 2. | | | | | 89.48 | | | | | | | |
| | 3. | | | 91.31 | 104.36 | 117.40 | 143.49 | 169.58 | 195.67 | 234.80 | | | |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 78.27 | 91.31 | 104.36 | 117.40 | 143.49 | 169.58 | 195.67 | 234.80 | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| Crakehall with Langthorne | 1. | 8,281.00 | 8,529.00 | | | 31.77 | | | | | | | |
| | 2. | | | | | 89.48 | | | | | | | |
| | 3. | | | 94.31 | 107.78 | 121.25 | 148.19 | 175.14 | 202.08 | 242.50 | | | |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 80.83 | 94.31 | 107.78 | 121.25 | 148.19 | 175.14 | 202.08 | 242.50 | | |

| Parish | Line | 2013/14 Precept £ | 2014/15 Precept £ | 2014/15 | | 2014/15 | | 2014/15 | | 2014/15 | | 2014/15 | | 2014/15 | |
|-----------------------------------|------|-------------------------|---------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|---------|--|---------|--------|
| | | | | Council Tax Band A £ | Council Tax Band B £ | Council Tax Band C £ | Council Tax Band D £ | Council Tax Band E £ | Council Tax Band F £ | Council Tax Band G £ | Council Tax Band H £ | | | | |
| Exelby, Leeming and Newton | 1. | 3,500.00 | 3,500.00 | | | 5.50 | | | | | | | | | |
| | 2. | | 89.48 | | | 89.48 | | | | | | | | | |
| | 3. | | | 84.43 | | 84.43 | | 116.09 | | 137.19 | | 158.30 | | | 189.96 |
| | 4. | | | - | | - | | - | | - | | - | | - | - |
| | 5. | | | - | | - | | - | | - | | - | | - | - |
| | 6. | | | - | | - | | - | | - | | - | | - | - |
| | 7. | | | 63.32 | 73.87 | 84.43 | 94.98 | 116.09 | 137.19 | 158.30 | 189.96 | | | | |
| | | | COUNCIL TAX AMOUNT | | | | | | | | | | | | |
| Faceby | 1. | 990.00 | 990.00 | | | 9.56 | | | | | | | | | |
| | 2. | | 89.48 | | | 89.48 | | | | | | | | | |
| | 3. | | | 88.04 | | 88.04 | | 121.05 | | 143.06 | | 165.07 | | | 198.08 |
| | 4. | | | - | | - | | - | | - | | - | | - | - |
| | 5. | | | - | | - | | - | | - | | - | | - | - |
| | 6. | | | - | | - | | - | | - | | - | | - | - |
| | 7. | | | 66.03 | 77.03 | 88.04 | 99.04 | 121.05 | 143.06 | 165.07 | 198.08 | | | | |
| | | | COUNCIL TAX AMOUNT | | | | | | | | | | | | |
| Farlington | 1. | 460.00 | 460.00 | | | 8.22 | | | | | | | | | |
| | 2. | | 89.48 | | | 89.48 | | | | | | | | | |
| | 3. | | | 86.84 | | 86.84 | | 119.41 | | 141.12 | | 162.83 | | | 195.40 |
| | 4. | | | - | | - | | - | | - | | - | | - | - |
| | 5. | | | - | | - | | - | | - | | - | | - | - |
| | 6. | | | - | | - | | - | | - | | - | | - | - |
| | 7. | | | 65.13 | 75.99 | 86.84 | 97.70 | 119.41 | 141.12 | 162.83 | 195.40 | | | | |
| | | | COUNCIL TAX AMOUNT | | | | | | | | | | | | |
| Great Ayton | 1. | 72,500.00 | 77,500.00 | | | 43.01 | | | | | | | | | |
| | 2. | | 89.48 | | | 89.48 | | | | | | | | | |
| | 3. | | | 117.77 | | 117.77 | | 161.93 | | 191.37 | | 220.82 | | | 264.98 |
| | 4. | | | - | | - | | - | | - | | - | | - | - |
| | 5. | | | - | | - | | - | | - | | - | | - | - |
| | 6. | | | - | | - | | - | | - | | - | | - | - |
| | 7. | | | 88.33 | 103.05 | 117.77 | 132.49 | 161.93 | 191.37 | 220.82 | 264.98 | | | | |
| | | | COUNCIL TAX AMOUNT | | | | | | | | | | | | |

| Parish | Line | 2013/14 Precept £ | 2014/15 Precept £ | 2014/15 | | 2014/15 | | 2014/15 | | 2014/15 | | 2014/15 | |
|--|------|-------------------------|-------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|---------|--------|
| | | | | Council Tax Band A £ | Council Tax Band B £ | Council Tax Band C £ | Council Tax Band D £ | Council Tax Band E £ | Council Tax Band F £ | Council Tax Band G £ | Council Tax Band H £ | | |
| Great and Little Broughton | 1. | 10,700.00 | 10,462.95 | | | 21.22 | | | | | | | |
| | 2. | | | | | 89.48 | | | | | | | |
| | 3. | | | 86.10 | 86.10 | 98.40 | 110.70 | 135.30 | 159.90 | 184.50 | | | 221.40 |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 73.80 | 86.10 | 98.40 | 110.70 | 135.30 | 159.90 | 184.50 | | | |
| | | | | | | | | | | | | | |
| Great Langton | 1. | 500.00 | 650.00 | | | 12.85 | | | | | | | |
| | 2. | | | | | 89.48 | | | | | | | |
| | 3. | | | 79.59 | 79.59 | 90.96 | 102.33 | 125.07 | 147.81 | 170.55 | | | 204.66 |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 68.22 | 79.59 | 90.96 | 102.33 | 125.07 | 147.81 | 170.55 | | | |
| | | | | | | | | | | | | | |
| Backforth, Ainderby Miers with Holtby | 1. | 1,100.00 | 1,500.00 | | | 18.93 | | | | | | | |
| | 2. | | | | | 89.48 | | | | | | | |
| | 3. | | | 84.32 | 84.32 | 96.36 | 108.41 | 132.50 | 156.59 | 180.68 | | | 216.82 |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 72.27 | 84.32 | 96.36 | 108.41 | 132.50 | 156.59 | 180.68 | | | |
| | | | | | | | | | | | | | |
| Helperby | 1. | 7,500.00 | 7,500.00 | | | 37.02 | | | | | | | |
| | 2. | | | | | 89.48 | | | | | | | |
| | 3. | | | 98.39 | 98.39 | 112.44 | 126.50 | 154.61 | 182.72 | 210.83 | | | 253.00 |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 84.33 | 98.39 | 112.44 | 126.50 | 154.61 | 182.72 | 210.83 | | | |

| Parish | Line | 2013/14 Precept £ | 2014/15 Precept £ | 2014/15 Council Tax | | 2014/15 Council Tax | | 2014/15 Council Tax | | 2014/15 Council Tax | | 2014/15 Council Tax | |
|---|------|-------------------------|-------------------------|---------------------|-------------|---------------------|-------------|---------------------|-------------|---------------------|-------------|---------------------|--------|
| | | | | Band A £ | Band B £ | Band C £ | Band D £ | Band E £ | Band F £ | Band G £ | Band H £ | | |
| Ingleby Arncliffe | 1. | 5,600.00 | 5,700.00 | | | | 35.68 | | | | | | |
| | 2. | | | | | | 89.48 | | | | | | |
| | 3. | | | 83.44 | 97.35 | 111.25 | 125.16 | 152.97 | 180.79 | 208.60 | | | 250.32 |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 83.44 | 97.35 | 111.25 | 125.16 | 152.97 | 180.79 | 208.60 | | | |
| | | | | | | | | | | | | | |
| Ingleby Greenhow | 1. | 4,500.00 | 4,500.00 | | | | 26.17 | | | | | | |
| | 2. | | | | | | 89.48 | | | | | | |
| | 3. | | | 77.10 | 89.95 | 102.80 | 115.65 | 141.35 | 167.05 | 192.75 | | | 231.30 |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 77.10 | 89.95 | 102.80 | 115.65 | 141.35 | 167.05 | 192.75 | | | |
| | | | | | | | | | | | | | |
| Kirby Wiske and Newsham with Breckenbrough | 1. | 5,000.00 | 5,500.00 | | | | 45.50 | | | | | | |
| | 2. | | | | | | 89.48 | | | | | | |
| | 3. | | | 89.99 | 104.98 | 119.98 | 134.98 | 164.98 | 194.97 | 224.97 | | | 269.96 |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 89.99 | 104.98 | 119.98 | 134.98 | 164.98 | 194.97 | 224.97 | | | |
| | | | | | | | | | | | | | |
| Kirby Wiske and Newsham with Breckenbrough | 1. | 2,200.00 | 2,200.00 | | | | 19.90 | | | | | | |
| | 2. | | | | | | 89.48 | | | | | | |
| | 3. | | | 72.92 | 85.07 | 97.23 | 109.38 | 133.69 | 157.99 | 182.30 | | | 218.76 |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 72.92 | 85.07 | 97.23 | 109.38 | 133.69 | 157.99 | 182.30 | | | |

| Parish | Line | 2013/14 Precept £ | 2014/15 Precept £ | 2014/15 Council Tax | | | | | | | | | | | | | | | | |
|---|------|-------------------------|-------------------------|---------------------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|--|--|--|--|--|--|--|--|--|
| | | | | Band A £ | Band B £ | Band C £ | Band D £ | Band E £ | Band F £ | Band G £ | Band H £ | | | | | | | | | |
| Kirkby in Cleveland | | | | | | | | | | | | | | | | | | | | |
| | 1. | 2,800.00 | 3,000.00 | | | | 19.15 | | | | | | | | | | | | | |
| | 2. | | | | | | 89.48 | | | | | | | | | | | | | |
| | 3. | | | 84.49 | 96.56 | 108.63 | 132.77 | 156.91 | 181.05 | 217.26 | | | | | | | | | | |
| | 4. | | | - | - | - | - | - | - | - | | | | | | | | | | |
| | 5. | | | - | - | - | - | - | - | - | | | | | | | | | | |
| | 6. | | | - | - | - | - | - | - | - | | | | | | | | | | |
| | 7. | | | 72.42 | 84.49 | 108.63 | 132.77 | 156.91 | 181.05 | 217.26 | | | | | | | | | | |
| | | | | COUNCIL TAX AMOUNT | | | | | | | | | | | | | | | | |
| Kirkby Fleetham with Fencotes | | | | | | | | | | | | | | | | | | | | |
| | 1. | 6,500.00 | 6,500.00 | | | | 27.99 | | | | | | | | | | | | | |
| | 2. | | | | | | 89.48 | | | | | | | | | | | | | |
| | 3. | | | 91.37 | 104.42 | 117.47 | 143.57 | 169.68 | 195.78 | 234.94 | | | | | | | | | | |
| | 4. | | | - | - | - | - | - | - | - | | | | | | | | | | |
| | 5. | | | - | - | - | - | - | - | - | | | | | | | | | | |
| | 6. | | | - | - | - | - | - | - | - | | | | | | | | | | |
| | 7. | | | 78.31 | 91.37 | 117.47 | 143.57 | 169.68 | 195.78 | 234.94 | | | | | | | | | | |
| | | | | COUNCIL TAX AMOUNT | | | | | | | | | | | | | | | | |
| Kirklington cum Upsland, Howgrave and Sutton with Howgrave | | | | | | | | | | | | | | | | | | | | |
| | 1. | 1,700.00 | 1,700.00 | | | | 12.43 | | | | | | | | | | | | | |
| | 2. | | | | | | 89.48 | | | | | | | | | | | | | |
| | 3. | | | 79.26 | 90.59 | 101.91 | 124.56 | 147.20 | 169.85 | 203.82 | | | | | | | | | | |
| | 4. | | | - | - | - | - | - | - | - | | | | | | | | | | |
| | 5. | | | - | - | - | - | - | - | - | | | | | | | | | | |
| | 6. | | | - | - | - | - | - | - | - | | | | | | | | | | |
| | 7. | | | 67.94 | 79.26 | 101.91 | 124.56 | 147.20 | 169.85 | 203.82 | | | | | | | | | | |
| | | | | COUNCIL TAX AMOUNT | | | | | | | | | | | | | | | | |
| Knayton with Brawith | | | | | | | | | | | | | | | | | | | | |
| | 1. | 2,500.00 | 2,376.00 | | | | 14.87 | | | | | | | | | | | | | |
| | 2. | | | | | | 89.48 | | | | | | | | | | | | | |
| | 3. | | | 81.16 | 92.76 | 104.35 | 127.54 | 150.73 | 173.92 | 208.70 | | | | | | | | | | |
| | 4. | | | - | - | - | - | - | - | - | | | | | | | | | | |
| | 5. | | | - | - | - | - | - | - | - | | | | | | | | | | |
| | 6. | | | - | - | - | - | - | - | - | | | | | | | | | | |
| | 7. | | | 69.57 | 81.16 | 104.35 | 127.54 | 150.73 | 173.92 | 208.70 | | | | | | | | | | |
| | | | | COUNCIL TAX AMOUNT | | | | | | | | | | | | | | | | |

| Parish | Line | 2013/14 Precept £ | 2014/15 Precept £ | 2014/15 | | 2014/15 | | 2014/15 | | 2014/15 | | 2014/15 | |
|----------------------|------|-------------------------|-------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|---------|---|
| | | | | Council Tax Band A £ | Council Tax Band B £ | Council Tax Band C £ | Council Tax Band D £ | Council Tax Band E £ | Council Tax Band F £ | Council Tax Band G £ | Council Tax Band H £ | | |
| Linton - on - Ouse | 1. | 11,000.00 | 11,000.00 | | | 32.28 | | | | | | | |
| | 2. | | | | | 89.48 | | | | | | | |
| | 3. | | | 108.23 | 94.70 | 121.76 | 148.82 | 175.88 | 202.93 | 243.52 | | | |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 81.17 | 94.70 | 108.23 | 121.76 | 148.82 | 175.88 | 202.93 | 243.52 | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| Low and High Worsall | 1. | 4,495.00 | 4,696.00 | | | 31.98 | | | | | | | |
| | 2. | | | | | 89.48 | | | | | | | |
| | 3. | | | 107.96 | 94.47 | 121.46 | 148.45 | 175.44 | 202.43 | 242.92 | | | |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 80.97 | 94.47 | 107.96 | 121.46 | 148.45 | 175.44 | 202.43 | 242.92 | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| Morton on Swale | 1. | 3,200.00 | 3,000.00 | | | 15.01 | | | | | | | |
| | 2. | | | | | 89.48 | | | | | | | |
| | 3. | | | 92.88 | 81.27 | 104.49 | 127.71 | 150.93 | 174.15 | 208.98 | | | |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 69.66 | 81.27 | 92.88 | 104.49 | 127.71 | 150.93 | 174.15 | 208.98 | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| Myton on Swale | 1. | 720.00 | 720.00 | | | 11.20 | | | | | | | |
| | 2. | | | | | 89.48 | | | | | | | |
| | 3. | | | 89.49 | 78.31 | 100.68 | 123.05 | 145.43 | 167.80 | 201.36 | | | |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 67.12 | 78.31 | 89.49 | 100.68 | 123.05 | 145.43 | 167.80 | 201.36 | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| Newby | 1. | 1,220.00 | 1,220.00 | | | 11.25 | | | | | | | |
| | 2. | | | | | 89.48 | | | | | | | |
| | 3. | | | 89.54 | 78.35 | 100.73 | 123.11 | 145.50 | 167.88 | 201.46 | | | |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 67.15 | 78.35 | 89.54 | 100.73 | 123.11 | 145.50 | 167.88 | 201.46 | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |

| Parish | Line | 2013/14 Precept £ | 2014/15 Precept £ | 2014/15 Council Tax | | 2014/15 Council Tax | | 2014/15 Council Tax | | 2014/15 Council Tax | | 2014/15 Council Tax | |
|---|------|----------------------|----------------------|---------------------|-------------|---------------------|-------------|---------------------|-------------|---------------------|-------------|---------------------|---|
| | | | | Band A £ | Band B £ | Band C £ | Band D £ | Band E £ | Band F £ | Band G £ | Band H £ | | |
| Newton on Ouse | 1. | 3,880.00 | 4,380.00 | | | 17.82 | | | | | | | |
| | 2. | | | | | 89.48 | | | | | | | |
| | 3. | | | 83.46 | 95.38 | 107.30 | 131.14 | 154.99 | 178.83 | 214.60 | | | |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 71.53 | 83.46 | 95.38 | 107.30 | 131.14 | 154.99 | 178.83 | 214.60 | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| Northallerton | 1. | 298,150.00 | 270,914.84 | | | 85.40 | | | | | | | |
| | 2. | | | | | 89.48 | | | | | | | |
| | 3. | | | 136.02 | 155.45 | 174.88 | 213.74 | 252.60 | 291.47 | 349.76 | | | |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 116.59 | 136.02 | 155.45 | 174.88 | 213.74 | 252.60 | 291.47 | 349.76 | | |
| | | | | | | | | | | | | | |
| Osmotherley, Kirby Sigston, Ellerbeck Sowerby under Cotcliffe, Thimbleby, Winton, Stank and Hallikeld and West Harlsey | 1. | 12,500.00 | 12,500.00 | | | 27.59 | | | | | | | |
| | 2. | | | | | 89.48 | | | | | | | |
| | 3. | | | 91.05 | 104.06 | 117.07 | 143.09 | 169.10 | 195.12 | 234.14 | | | |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 78.05 | 91.05 | 104.06 | 117.07 | 143.09 | 169.10 | 195.12 | 234.14 | | |
| | | | | | | | | | | | | | |
| Oulston | 1. | 800.00 | 800.00 | | | 13.65 | | | | | | | |
| | 2. | | | | | 89.48 | | | | | | | |
| | 3. | | | 80.21 | 91.67 | 103.13 | 126.05 | 148.97 | 171.88 | 206.26 | | | |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 68.75 | 80.21 | 91.67 | 103.13 | 126.05 | 148.97 | 171.88 | 206.26 | | |
| | | | | | | | | | | | | | |

| Parish | Line | 2013/14 Precept £ | 2014/15 Precept £ | 2014/15 Council Tax | | | | | | 2014/15 Council Tax Band H £ | | |
|--------------------------------|---------------------------|----------------------|----------------------|---------------------|-------------|-------------|-------------|-------------|-------------|---------------------------------|-------------|--------|
| | | | | Band A £ | Band B £ | Band C £ | Band D £ | Band E £ | Band F £ | | Band G £ | |
| Overton | 1. | 140.00 | 150.00 | | | | 6.11 | | | | | |
| | 2. | | 89.48 | | | | 89.48 | | | | | |
| | 3. | | | 74.35 | 84.97 | | 95.59 | 116.83 | 138.07 | 159.32 | | 191.18 |
| | 4. | | | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - |
| | 7. | | | 63.73 | 74.35 | 84.97 | 95.59 | 116.83 | 138.07 | 159.32 | | 191.18 |
| | COUNCIL TAX AMOUNT | | | | | | | | | | | |
| Pickhill with Roxby & Sinderby | 1. | 2,500.00 | 2,471.34 | | | | 11.53 | | | | | |
| | 2. | | 89.48 | | | | 89.48 | | | | | |
| | 3. | | | 78.56 | 89.79 | 101.01 | 123.46 | 145.90 | 168.35 | | 202.02 | |
| | 4. | | | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - |
| | 7. | | | 67.34 | 78.56 | 89.79 | 101.01 | 123.46 | 145.90 | 168.35 | | 202.02 |
| | COUNCIL TAX AMOUNT | | | | | | | | | | | |
| Pitton | 1. | 400.00 | 400.00 | | | | 6.36 | | | | | |
| | 2. | | 89.48 | | | | 89.48 | | | | | |
| | 3. | | | 74.54 | 85.19 | 95.84 | 117.14 | 138.44 | 159.73 | | 191.68 | |
| | 4. | | | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - |
| | 7. | | | 63.89 | 74.54 | 85.19 | 95.84 | 117.14 | 138.44 | 159.73 | | 191.68 |
| | COUNCIL TAX AMOUNT | | | | | | | | | | | |
| Potto | 1. | 3,000.00 | 3,500.00 | | | | 23.79 | | | | | |
| | 2. | | 89.48 | | | | 89.48 | | | | | |
| | 3. | | | 88.10 | 100.68 | 113.27 | 138.44 | 163.61 | 188.78 | | 226.54 | |
| | 4. | | | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - |
| | 7. | | | 75.51 | 88.10 | 100.68 | 113.27 | 138.44 | 163.61 | 188.78 | | 226.54 |
| | COUNCIL TAX AMOUNT | | | | | | | | | | | |

| Parish | Line | 2013/14 Precept £ | 2014/15 Precept £ | 2014/15 Council Tax | | 2014/15 Council Tax | | 2014/15 Council Tax | | 2014/15 Council Tax | | 2014/15 Council Tax | |
|------------------------------|------|----------------------|----------------------|---------------------|-------------|---------------------|-------------|---------------------|-------------|---------------------|-------------|---------------------|--------|
| | | | | Band A £ | Band B £ | Band C £ | Band D £ | Band E £ | Band F £ | Band G £ | Band H £ | | |
| Raskelf | 1. | 4,250.00 | 4,500.00 | | | | 21.45 | | | | | | |
| | 2. | | | | | | 89.48 | | | | | | |
| | 3. | | | 86.28 | 86.28 | 98.60 | 110.93 | 135.58 | 160.23 | 184.88 | | | 221.86 |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 73.95 | 86.28 | 98.60 | 110.93 | 135.58 | 160.23 | 184.88 | | | |
| | | | | | | | | | | | | | |
| Romanby | 1. | 52,500.00 | 52,500.00 | | | | 22.64 | | | | | | |
| | 2. | | | | | | 89.48 | | | | | | |
| | 3. | | | 87.20 | 87.20 | 99.66 | 112.12 | 137.04 | 161.95 | 186.87 | | | 224.24 |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 74.75 | 87.20 | 99.66 | 112.12 | 137.04 | 161.95 | 186.87 | | | |
| | | | | | | | | | | | | | |
| Rounton East and West | 1. | 900.00 | 1,000.00 | | | | 7.87 | | | | | | |
| | 2. | | | | | | 89.48 | | | | | | |
| | 3. | | | 75.72 | 75.72 | 86.53 | 97.35 | 118.98 | 140.62 | 162.25 | | | 194.70 |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 64.90 | 75.72 | 86.53 | 97.35 | 118.98 | 140.62 | 162.25 | | | |
| | | | | | | | | | | | | | |
| Sandhutton | 1. | 3,600.00 | 3,600.00 | | | | 34.53 | | | | | | |
| | 2. | | | | | | 89.48 | | | | | | |
| | 3. | | | 96.45 | 96.45 | 110.23 | 124.01 | 151.57 | 179.13 | 206.68 | | | 248.02 |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 82.67 | 96.45 | 110.23 | 124.01 | 151.57 | 179.13 | 206.68 | | | |

| Parish | Line | 2013/14 Precept £ | 2014/15 Precept £ | 2014/15 Council Tax | | | | | | 2014/15 Council Tax Band H £ | | |
|---------------------------------|------|-------------------------|-------------------------|------------------------|-------------|-------------|-------------|-------------|-------------|---------------------------------------|-------------|---|
| | | | | Band A £ | Band B £ | Band C £ | Band D £ | Band E £ | Band F £ | | Band G £ | |
| Scruton | 1. | 4,250.00 | 4,250.00 | | | | 21.14 | | | | | |
| | 2. | | 89.48 | | | | | | | | | |
| | 3. | | | 73.75 | 86.04 | 98.33 | 110.62 | 135.20 | 159.78 | 184.37 | 221.24 | |
| | 4. | | | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - |
| | 7. | | | 73.75 | 86.04 | 98.33 | 110.62 | 135.20 | 159.78 | 184.37 | 221.24 | |
| | | | | | | | | | | | | |
| Seamer | 1. | 4,000.00 | 4,000.00 | | | | 14.92 | | | | | |
| | 2. | | 89.48 | | | | | | | | | |
| | 3. | | | 69.60 | 81.20 | 92.80 | 104.40 | 127.60 | 150.80 | 174.00 | 208.80 | |
| | 4. | | | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - |
| | 7. | | | 69.60 | 81.20 | 92.80 | 104.40 | 127.60 | 150.80 | 174.00 | 208.80 | |
| | | | | | | | | | | | | |
| Wessay and Hutton Sessay | 1. | 4,000.00 | 4,000.00 | | | | 21.56 | | | | | |
| | 2. | | 89.48 | | | | | | | | | |
| | 3. | | | 74.03 | 86.36 | 98.70 | 111.04 | 135.72 | 160.39 | 185.07 | 222.08 | |
| | 4. | | | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - |
| | 7. | | | 74.03 | 86.36 | 98.70 | 111.04 | 135.72 | 160.39 | 185.07 | 222.08 | |
| | | | | | | | | | | | | |
| Shipton by Beningbrough | 1. | 6,000.00 | 6,120.00 | | | | 22.40 | | | | | |
| | 2. | | 89.48 | | | | | | | | | |
| | 3. | | | 74.59 | 87.02 | 99.45 | 111.88 | 136.74 | 161.60 | 186.47 | 223.76 | |
| | 4. | | | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - |
| | 7. | | | 74.59 | 87.02 | 99.45 | 111.88 | 136.74 | 161.60 | 186.47 | 223.76 | |
| | | | | | | | | | | | | |

| Parish | Line | 2013/14 Precept £ | 2014/15 Precept £ | 2014/15 | | 2014/15 | | 2014/15 | | 2014/15 | | 2014/15 | |
|---|------|-------------------------|-------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|---------|--|
| | | | | Council Tax Band A £ | Council Tax Band B £ | Council Tax Band C £ | Council Tax Band D £ | Council Tax Band E £ | Council Tax Band F £ | Council Tax Band G £ | Council Tax Band H £ | | |
| Siltons with Kewick | | | | | | | | | | | | | |
| | 1. | 796.98 | 626.40 | | | | 5.00 | | | | | | |
| | 2. | | 89.48 | | | | 89.48 | | | | | | |
| | 3. | | | 62.99 | 73.48 | 83.98 | 94.48 | 115.48 | 136.47 | 157.47 | 188.96 | | |
| | 4. | | | - | - | - | - | - | - | - | - | | |
| | 5. | | | - | - | - | - | - | - | - | - | | |
| | 6. | | | - | - | - | - | - | - | - | - | | |
| | 7. | | | 62.99 | 73.48 | 83.98 | 94.48 | 115.48 | 136.47 | 157.47 | 188.96 | | |
| | | | | COUNCIL TAX AMOUNT | | | | | | | | | |
| Snape with Thorp | | | | | | | | | | | | | |
| | 1. | 4,500.00 | 4,725.00 | | | | 27.52 | | | | | | |
| | 2. | | 89.48 | | | | 89.48 | | | | | | |
| | 3. | | | 78.00 | 91.00 | 104.00 | 117.00 | 143.00 | 169.00 | 195.00 | 234.00 | | |
| | 4. | | | - | - | - | - | - | - | - | - | | |
| | 5. | | | - | - | - | - | - | - | - | - | | |
| | 6. | | | - | - | - | - | - | - | - | - | | |
| | 7. | | | 78.00 | 91.00 | 104.00 | 117.00 | 143.00 | 169.00 | 195.00 | 234.00 | | |
| | | | | COUNCIL TAX AMOUNT | | | | | | | | | |
| Smeaton with Hornby (Great Smeaton, Little Smeaton and Hornby) | | | | | | | | | | | | | |
| | 1. | 1,452.00 | 1,472.00 | | | | 6.36 | | | | | | |
| | 2. | | 89.48 | | | | 89.48 | | | | | | |
| | 3. | | | 63.89 | 74.54 | 85.19 | 95.84 | 117.14 | 138.44 | 159.73 | 191.68 | | |
| | 4. | | | - | - | - | - | - | - | - | - | | |
| | 5. | | | - | - | - | - | - | - | - | - | | |
| | 6. | | | - | - | - | - | - | - | - | - | | |
| | 7. | | | 63.89 | 74.54 | 85.19 | 95.84 | 117.14 | 138.44 | 159.73 | 191.68 | | |
| | | | | COUNCIL TAX AMOUNT | | | | | | | | | |
| South Kilvington | | | | | | | | | | | | | |
| | 1. | 1,750.00 | 1,750.00 | | | | 15.98 | | | | | | |
| | 2. | | 89.48 | | | | 89.48 | | | | | | |
| | 3. | | | 70.31 | 82.02 | 93.74 | 105.46 | 128.90 | 152.33 | 175.77 | 210.92 | | |
| | 4. | | | - | - | - | - | - | - | - | - | | |
| | 5. | | | - | - | - | - | - | - | - | - | | |
| | 6. | | | - | - | - | - | - | - | - | - | | |
| | 7. | | | 70.31 | 82.02 | 93.74 | 105.46 | 128.90 | 152.33 | 175.77 | 210.92 | | |
| | | | | COUNCIL TAX AMOUNT | | | | | | | | | |

| Parish | Line | 2013/14 Precept £ | 2014/15 Precept £ | 2014/15 Council Tax | | | | | | 2014/15 Council Tax Band H £ | | |
|--|------|-------------------------|-------------------------|---------------------|---------------|---------------|---------------|---------------|---------------|---------------------------------------|---------------|---|
| | | | | Band A £ | Band B £ | Band C £ | Band D £ | Band E £ | Band F £ | | Band G £ | |
| Sutton under Whitestonecliffe Hambleton DC | 1. | 3,110.00 | 3,110.00 | | | | 21.89 | | | | | |
| | 2. | | 89.48 | | | | | | | | | |
| | 3. | | | 99.00 | 86.62 | 99.00 | 111.37 | 136.12 | 160.87 | 185.62 | 222.74 | |
| | 4. | | | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - |
| | 7. | | | 74.25 | 86.62 | 99.00 | 111.37 | 136.12 | 160.87 | 185.62 | 222.74 | |
| | | | | | | | | | | | | |
| Sutton-on-the-Forest Hambleton DC | 1. | 16,000.00 | 16,000.00 | | | | 45.04 | | | | | |
| | 2. | | 89.48 | | | | | | | | | |
| | 3. | | | 119.57 | 104.63 | 119.57 | 134.52 | 164.41 | 194.31 | 224.20 | 269.04 | |
| | 4. | | | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - |
| | 7. | | | 89.68 | 104.63 | 119.57 | 134.52 | 164.41 | 194.31 | 224.20 | 269.04 | |
| | | | | | | | | | | | | |
| Thirkleby High and Low with Osgodby Hambleton DC | 1. | 1,750.00 | 1,750.00 | | | | 14.04 | | | | | |
| | 2. | | 89.48 | | | | | | | | | |
| | 3. | | | 92.02 | 80.52 | 92.02 | 103.52 | 126.52 | 149.53 | 172.53 | 207.04 | |
| | 4. | | | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - |
| | 7. | | | 69.01 | 80.52 | 92.02 | 103.52 | 126.52 | 149.53 | 172.53 | 207.04 | |
| | | | | | | | | | | | | |
| Thirn, Thornton Watlass, Clifton on Yore, Burrill with Cowling & Rookwith 1) Thirn, Thornton Watlass, Clifton on Yore & Rookwith Hambleton DC | 1. | 1,600.00 | 1,600.00 | | | | 8.61 | | | | | |
| | 2. | | 89.48 | | | | | | | | | |
| | 3. | | | 87.19 | 76.29 | 87.19 | 98.09 | 119.89 | 141.69 | 163.48 | 196.18 | |
| | 4. | | | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - |
| | 7. | | | 65.39 | 76.29 | 87.19 | 98.09 | 119.89 | 141.69 | 163.48 | 196.18 | |
| | | | | | | | | | | | | |

| <u>Parish</u> | Line | 2013/14 Precept £ | 2014/15 Precept £ | 2014/15 Council Tax Band A | | 2014/15 Council Tax Band B | | 2014/15 Council Tax Band C | | 2014/15 Council Tax Band D | | 2014/15 Council Tax Band E | | 2014/15 Council Tax Band F | | 2014/15 Council Tax Band G | | 2014/15 Council Tax Band H | | |
|---------------------------|------|-------------------------|-------------------------|----------------------------|--------|----------------------------|--------|----------------------------|--------|----------------------------|--------|----------------------------|--------|----------------------------|--------|----------------------------|--------|----------------------------|--------|--------|
| | | | | £ | £ | £ | £ | £ | £ | £ | £ | £ | £ | £ | £ | £ | £ | £ | £ | £ |
| 2) Burrill with Cowling | 1. | 130.00 | 130.00 | | | | | | | | 11.97 | | | | | | | | | |
| | 2. | | | | | | | | | 89.48 | | | | | | | | | | |
| | 3. | | | | | 78.91 | 90.18 | 90.18 | 90.18 | 101.45 | 123.99 | 146.54 | 169.08 | 169.08 | 169.08 | 169.08 | 169.08 | 169.08 | 169.08 | 202.90 |
| | 4. | | | | | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | | | | | | | | | | | | | | | | | |
| | 6. | | | | | | | | | | | | | | | | | | | |
| | 7. | | | | | 67.63 | 78.91 | 90.18 | 101.45 | 123.99 | 146.54 | 169.08 | 169.08 | 169.08 | 169.08 | 169.08 | 169.08 | 169.08 | 169.08 | 202.90 |
| | | | | 67.63 | 78.91 | 90.18 | 101.45 | 123.99 | 146.54 | 169.08 | 169.08 | 169.08 | 169.08 | 169.08 | 169.08 | 169.08 | 169.08 | 169.08 | 202.90 | |
| COUNCIL TAX AMOUNT | | | | 67.63 | 78.91 | 90.18 | 101.45 | 123.99 | 146.54 | 169.08 | 169.08 | 169.08 | 169.08 | 169.08 | 169.08 | 169.08 | 169.08 | 169.08 | 202.90 | |
| Thirsk | 1. | 115,000.00 | 118,000.00 | | | | | | | | | | | | | | | | | |
| | 2. | | | | | | | | | 73.01 | | | | | | | | | | |
| | 3. | | | | | 126.38 | 144.44 | 144.44 | 144.44 | 162.49 | 198.60 | 234.71 | 270.82 | 270.82 | 270.82 | 270.82 | 270.82 | 270.82 | 270.82 | 324.98 |
| | 4. | | | | | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | | | | | | | | | | | | | | | | | |
| | 6. | | | | | | | | | | | | | | | | | | | |
| | 7. | | | | | 108.33 | 126.38 | 144.44 | 162.49 | 198.60 | 234.71 | 270.82 | 270.82 | 270.82 | 270.82 | 270.82 | 270.82 | 270.82 | 270.82 | 324.98 |
| | | | | 108.33 | 126.38 | 144.44 | 162.49 | 198.60 | 234.71 | 270.82 | 270.82 | 270.82 | 270.82 | 270.82 | 270.82 | 270.82 | 270.82 | 270.82 | 324.98 | |
| COUNCIL TAX AMOUNT | | | | 108.33 | 126.38 | 144.44 | 162.49 | 198.60 | 234.71 | 270.82 | 270.82 | 270.82 | 270.82 | 270.82 | 270.82 | 270.82 | 270.82 | 270.82 | 324.98 | |
| Thornthorpe | 1. | 800.00 | 800.00 | | | | | | | | 7.13 | | | | | | | | | |
| | 2. | | | | | | | | | 89.48 | | | | | | | | | | |
| | 3. | | | | | 75.14 | 85.88 | 85.88 | 85.88 | 96.61 | 118.08 | 139.55 | 161.02 | 161.02 | 161.02 | 161.02 | 161.02 | 161.02 | 161.02 | 193.22 |
| | 4. | | | | | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | | | | | | | | | | | | | | | | | |
| | 6. | | | | | | | | | | | | | | | | | | | |
| | 7. | | | | | 64.41 | 75.14 | 85.88 | 96.61 | 118.08 | 139.55 | 161.02 | 161.02 | 161.02 | 161.02 | 161.02 | 161.02 | 161.02 | 161.02 | 193.22 |
| | | | | 64.41 | 75.14 | 85.88 | 96.61 | 118.08 | 139.55 | 161.02 | 161.02 | 161.02 | 161.02 | 161.02 | 161.02 | 161.02 | 161.02 | 161.02 | 193.22 | |
| COUNCIL TAX AMOUNT | | | | 64.41 | 75.14 | 85.88 | 96.61 | 118.08 | 139.55 | 161.02 | 161.02 | 161.02 | 161.02 | 161.02 | 161.02 | 161.02 | 161.02 | 161.02 | 193.22 | |
| Thormanby | 1. | 110.00 | 110.00 | | | | | | | | 2.37 | | | | | | | | | |
| | 2. | | | | | | | | | 89.48 | | | | | | | | | | |
| | 3. | | | | | 71.44 | 81.64 | 81.64 | 81.64 | 91.85 | 112.26 | 132.67 | 153.08 | 153.08 | 153.08 | 153.08 | 153.08 | 153.08 | 153.08 | 183.70 |
| | 4. | | | | | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | | | | | | | | | | | | | | | | | |
| | 6. | | | | | | | | | | | | | | | | | | | |
| | 7. | | | | | 61.23 | 71.44 | 81.64 | 91.85 | 112.26 | 132.67 | 153.08 | 153.08 | 153.08 | 153.08 | 153.08 | 153.08 | 153.08 | 153.08 | 183.70 |
| | | | | 61.23 | 71.44 | 81.64 | 91.85 | 112.26 | 132.67 | 153.08 | 153.08 | 153.08 | 153.08 | 153.08 | 153.08 | 153.08 | 153.08 | 153.08 | 183.70 | |
| COUNCIL TAX AMOUNT | | | | 61.23 | 71.44 | 81.64 | 91.85 | 112.26 | 132.67 | 153.08 | 153.08 | 153.08 | 153.08 | 153.08 | 153.08 | 153.08 | 153.08 | 153.08 | 183.70 | |

| Parish | Line | 2013/14 Precept £ | 2014/15 Precept £ | 2014/15 | | 2014/15 | | 2014/15 | | 2014/15 | | 2014/15 | |
|--|------|-------------------------|-------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|---------|--|
| | | | | Council Tax Band A £ | Council Tax Band B £ | Council Tax Band C £ | Council Tax Band D £ | Council Tax Band E £ | Council Tax Band F £ | Council Tax Band G £ | Council Tax Band H £ | | |
| Thornton le Beans, Crosby and Cotcliffe Hambleton DC | 1. | 2,000.00 | 2,000.00 | 69.28 | 80.83 | 92.37 | 103.92 | 127.01 | 150.11 | 173.20 | 207.84 | | |
| | 2. | | | - | - | - | - | - | - | - | - | | |
| | 3. | | | - | - | - | - | - | - | - | - | | |
| | 4. | | | - | - | - | - | - | - | - | - | | |
| | 5. | | | - | - | - | - | - | - | - | - | | |
| | 6. | | | - | - | - | - | - | - | - | - | | |
| | 7. | | | 69.28 | 80.83 | 92.37 | 103.92 | 127.01 | 150.11 | 173.20 | 207.84 | | |
| | | | | | | | | | | | | | |
| Thornton le Moor and Thornton le Street Hambleton DC | 1. | 1,900.00 | 1,854.73 | 65.96 | 76.95 | 87.95 | 98.94 | 120.93 | 142.91 | 164.90 | 197.88 | | |
| | 2. | | | - | - | - | - | - | - | - | - | | |
| | 3. | | | - | - | - | - | - | - | - | - | | |
| | 4. | | | - | - | - | - | - | - | - | - | | |
| | 5. | | | - | - | - | - | - | - | - | - | | |
| | 6. | | | - | - | - | - | - | - | - | - | | |
| | 7. | | | 65.96 | 76.95 | 87.95 | 98.94 | 120.93 | 142.91 | 164.90 | 197.88 | | |
| | | | | | | | | | | | | | |
| Tollerton | 1. | 8,500.00 | 8,500.00 | 73.26 | 85.47 | 97.68 | 109.89 | 134.31 | 158.73 | 183.15 | 219.78 | | |
| | 2. | | | - | - | - | - | - | - | - | - | | |
| | 3. | | | - | - | - | - | - | - | - | - | | |
| | 4. | | | - | - | - | - | - | - | - | - | | |
| | 5. | | | - | - | - | - | - | - | - | - | | |
| | 6. | | | - | - | - | - | - | - | - | - | | |
| | 7. | | | 73.26 | 85.47 | 97.68 | 109.89 | 134.31 | 158.73 | 183.15 | 219.78 | | |
| | | | | | | | | | | | | | |
| Topcliffe | 1. | 6,800.00 | 6,800.00 | 71.15 | 83.01 | 94.87 | 106.73 | 130.45 | 154.17 | 177.88 | 213.46 | | |
| | 2. | | | - | - | - | - | - | - | - | - | | |
| | 3. | | | - | - | - | - | - | - | - | - | | |
| | 4. | | | - | - | - | - | - | - | - | - | | |
| | 5. | | | - | - | - | - | - | - | - | - | | |
| | 6. | | | - | - | - | - | - | - | - | - | | |
| | 7. | | | 71.15 | 83.01 | 94.87 | 106.73 | 130.45 | 154.17 | 177.88 | 213.46 | | |
| | | | | | | | | | | | | | |

| Parish | Line | 2013/14 Precept £ | 2014/15 Precept £ | 2014/15 Council Tax | | | | | | 2014/15 Council Tax Band H £ | | | |
|--------------------------|------|-------------------------|-------------------------|---------------------|-------------|-------------|-------------|-------------|-------------|---------------------------------------|-------------|---|---------------------------|
| | | | | Band A £ | Band B £ | Band C £ | Band D £ | Band E £ | Band F £ | | Band G £ | | |
| Welbury | 1. | 900.00 | 874.00 | | | | 7.36 | | | | | | |
| | 2. | | 89.48 | | | | 96.84 | 118.36 | 139.88 | 161.40 | | | 193.68 |
| | 3. | | | 64.56 | 75.32 | 86.08 | | | | | | | |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 64.56 | 75.32 | 86.08 | 96.84 | 118.36 | 139.88 | 161.40 | | | 193.68 |
| | | | | | | | | | | | | | COUNCIL TAX AMOUNT |
| Well | 1. | 1,500.00 | 1,500.00 | | | | 14.27 | | | | | | |
| | 2. | | 89.48 | | | | 103.75 | 126.81 | 149.86 | 172.92 | | | 207.50 |
| | 3. | | | 69.17 | 80.69 | 92.22 | | | | | | | |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 69.17 | 80.69 | 92.22 | 103.75 | 126.81 | 149.86 | 172.92 | | | 207.50 |
| | | | | | | | | | | | | | COUNCIL TAX AMOUNT |
| West Tanfield (and East) | 1. | 6,300.00 | 7,188.00 | | | | 30.52 | | | | | | |
| | 2. | | 89.48 | | | | 120.00 | 146.67 | 173.33 | 200.00 | | | 240.00 |
| | 3. | | | 80.00 | 93.33 | 106.67 | | | | | | | |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 80.00 | 93.33 | 106.67 | 120.00 | 146.67 | 173.33 | 200.00 | | | 240.00 |
| | | | | | | | | | | | | | COUNCIL TAX AMOUNT |
| Whorlton | 1. | 9,400.00 | 7,500.00 | | | | 28.18 | | | | | | |
| | 2. | | 89.48 | | | | 117.66 | 143.81 | 169.95 | 196.10 | | | 235.32 |
| | 3. | | | 78.44 | 91.51 | 104.59 | | | | | | | |
| | 4. | | | - | - | - | - | - | - | - | - | - | - |
| | 5. | | | - | - | - | - | - | - | - | - | - | - |
| | 6. | | | - | - | - | - | - | - | - | - | - | - |
| | 7. | | | 78.44 | 91.51 | 104.59 | 117.66 | 143.81 | 169.95 | 196.10 | | | 235.32 |
| | | | | | | | | | | | | | COUNCIL TAX AMOUNT |
| | | | | 1,235,213.92 | | | | | | | | | 1,230,521.68 |

Budget Consultation 2014/15Summary

The Budget Consultation was carried out between 6 December 2013 and 17 January 2014 and well-publicised to all residents and businesses across Hambleton District.

From the 179 responses received, the largest majority responded from the Northallerton area. The bulk of respondents were residents, rather than businesses, and the 45-59 year age group attracted the majority of responses.

Question four lists 12 service areas and respondents were asked to indicate the order of importance to them. The Waste service, incorporating household, green, kerbside and street cleansing, attracted the highest importance, followed closely by Environmental Health and Community Safety.

Leisure, Planning, Economic Development and Public Car Parks all ranked predominantly of moderate importance whereas Benefits and the Housing Service ranked predominantly with least importance.

Question five asked respondents if they would support increasing council tax to invest in council services. Although there were more against than in support, the majority responded as 'maybe' explaining in their response that it would be dependent on which service and/or investment level.

Question six lists four services; Leisure, Public car parks, Recycling and Environmental Health and asks respondents to indicate their support for increasing fees and charges in these services. Out of those who indicated their support for increasing charges, Leisure attracted the majority of responses suggesting the admission costs are kept affordable while balancing the costs of up-to-date facilities.

Finally, when asked for any further suggestions on how the council could increase income or reduce costs, more popular proposals ranged from reviewing Council Tax and Benefit claims to considering Waste, Recycling and Leisure charges. However the majority of comments received were in relation to staffing and management costs and the efficiency of the running of the authority.

Budget Consultation 2014/15

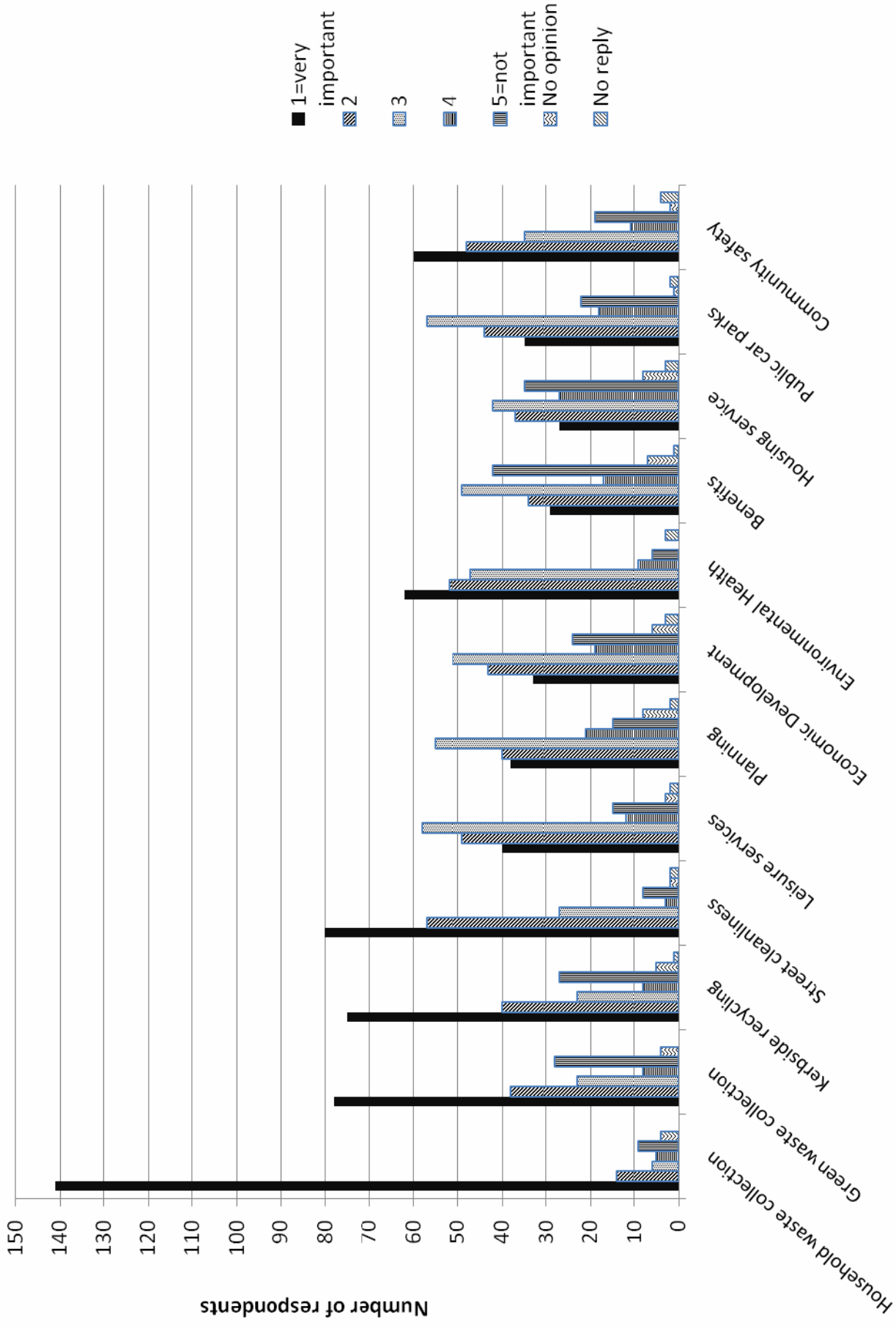
6 December 2013 - 17 January 2014
39 paper and 140 online responses received = 179 total

| Q1 | Which of the following towns do you live in or closest to? | |
|----|--|-------------------|
| | 31 (17.1%) | Bedale |
| | 17 (9.4%) | Easingwold |
| | 77 (42.5%) | Northallerton |
| | 30 (16.6%) | Stokesley |
| | 25 (13.8%) | Thirsk |
| | 1 (0.6%) | Prefer not to say |

| Q2 | Are you responding as a ...? | |
|----|------------------------------|------------------------|
| | 156 (85.2%) | Resident |
| | 24 (13.1%) | Business |
| | 2 (1.1%) | Voluntary organisation |
| | 1 (0.5%) | Stakeholder group |
| | 0 (0.0%) | Prefer not to say |

| Q3 | Which age group do you belong to? | |
|----|-----------------------------------|-------------------|
| | 0 (0.0%) | under 18 years |
| | 0 (0.0%) | 19-24 years |
| | 49 (27.4%) | 25-44 years |
| | 80 (44.7%) | 45-59 years |
| | 47 (26.3%) | 60 years and over |
| | 3 (1.7%) | Prefer not to say |

| Q4 | Please indicate the importance to you of the following services: (1=very important and 5=not important) | | | | | | | |
|-----------|--|-------------|------------|------------|------------|------------|-------------------|-----------------|
| | | 1 | 2 | 3 | 4 | 5 | No opinion | No reply |
| | Household waste collection <i>(black bin)</i> | 141 (78.8%) | 14 (7.8%) | 6 (3.4%) | 5 (2.8%) | 9 (5.0%) | 4 (2.2%) | 0 (0.0%) |
| | Green waste collection <i>(green bin)</i> | 78 (43.6%) | 38 (21.2%) | 23 (12.8%) | 8 (4.5%) | 28 (15.6%) | 4 (2.2%) | 0 (0.0%) |
| | Kerbside recycling <i>(blue box and bag)</i> | 75 (41.9%) | 40 (22.3%) | 23 (12.8%) | 8 (4.5%) | 27 (15.1%) | 5 (2.8%) | 1 (0.6%) |
| | Street cleanliness <i>(including litter collection, graffiti removal, fly-tipping)</i> | 80 (44.7%) | 57 (31.8%) | 27 (15.1%) | 3 (1.7%) | 8 (4.5%) | 2 (1.1%) | 2 (1.1%) |
| | Leisure services <i>(including leisure centres, arts and culture, sports development, children's play, healthy lifestyles)</i> | 40 (22.3%) | 49 (27.4%) | 58 (32.4%) | 12 (6.7%) | 15 (8.4%) | 3 (1.7%) | 2 (1.1%) |
| | Planning <i>(including planning applications and planning policy)</i> | 38 (21.2%) | 40 (22.3%) | 55 (30.7%) | 21 (11.7%) | 15 (8.4%) | 8 (4.5%) | 2 (1.1%) |
| | Economic Development <i>(support to businesses, management of council offices and land)</i> | 33 (18.4%) | 43 (24.0%) | 51 (28.5%) | 19 (10.6%) | 24 (13.4%) | 6 (3.4%) | 3 (1.7%) |
| | Environmental Health <i>(including licensing, food hygiene inspections, nuisance complaints, private water supplies, pest control)</i> | 62 (34.6%) | 52 (29.1%) | 47 (26.3%) | 9 (5.0%) | 6 (3.4%) | 0 (0.0%) | 3 (1.7%) |
| | Benefits <i>(housing benefits and council tax reduction)</i> | 29 (16.2%) | 34 (19.0%) | 49 (27.4%) | 17 (9.5%) | 42 (23.5%) | 7 (3.9%) | 1 (0.6%) |
| | Housing service <i>(housing option advice, homelessness, provision of affordable housing)</i> | 27 (15.1%) | 37 (20.7%) | 42 (23.5%) | 27 (15.1%) | 35 (19.6%) | 8 (4.5%) | 3 (1.7%) |
| | Public car parks <i>(pay & display, free car parks)</i> | 35 (19.6%) | 44 (24.6%) | 57 (31.8%) | 18 (10.1%) | 22 (12.3%) | 1 (0.6%) | 2 (1.1%) |
| | Community safety <i>(including anti-social behaviour, domestic abuse, alcohol awareness)</i> | 60 (33.5%) | 48 (26.8%) | 35 (19.6%) | 11 (6.1%) | 19 (10.6%) | 2 (1.1%) | 4 (2.2%) |



| Q5 | Would you support increasing Council Tax to invest in Council services? | |
|-----------|--|------------|
| | 39 (21.8%) | Yes |
| | 67 (37.4%) | No |
| | 70 (39.1%) | Maybe |
| | 1 (0.6%) | No opinion |
| | 2 (1.1%) | No reply |

| Q6 | Would you support increasing fees and charges to facilitate investment in the following services? | | | | | |
|-----------|--|-------------|-------------|--------------|-------------------|-----------------|
| | | Yes | No | Maybe | No opinion | No reply |
| | Leisure | 49 (27.4 %) | 71 (39.7%) | 47 (26.3%) | 11 (6.1%) | 1 (0.6%) |
| | Public car parks | 36 (20.1%) | 103 (57.5%) | 31 (17.3%) | 6 (3.4%) | 3 (1.7%) |
| | Recycling | 41 (22.9%) | 84 (46.9%) | 40 (22.3%) | 12 (6.7%) | 2 (1.1%) |
| | Environmental Health | 42 (23.5%) | 77 (43.0%) | 43 (24.0%) | 12 (6.7%) | 5 (2.8%) |

POLICY ON BALANCES AND RESERVES**1.0 BACKGROUND:**

- 1.1 Section 25 of the Local Government Act 2003 requires the Chief Financial Officer to report to Members on the robustness of the estimates and the adequacy of the reserves for which the budget provides.
- 1.2 The purpose of this Annex is to:-
- support the statement required to conform to Section 25
 - confirm the use of the Council's balances and reserves, and
 - re-affirm the Council's policy on the level of balances and reserves
- 1.3 The Council currently maintains a number of balances and reserves, each of which has a purpose approved by Members. Each of the balances and reserves will be considered in turn later in this Annex.
- 1.4 The Chartered Institute of Public Finance and Accountancy (CIPFA) considers that a case for introducing a statutory minimum level of reserves, even in exceptional circumstances has not been made. The Institute believes that Local Authorities, on the advice of their finance directors, should make their own judgements on such matters taking into account all the relevant local circumstances. Such circumstances vary and there is a broad range within which authorities might reasonably operate depending on their particular circumstances.
- 1.5 There is no definitive guidance as to the minimum level of balances or reserves, either as an absolute amount or as a proportion of expenditure, since each local authority is independent, operates in a unique local environment and the decision is one of a number of inter-related decisions taken as part of its financial strategy. Section 32 of the Local Government Act 1992 requires billing authorities (such as Hambleton) to have regard to the level of reserves needed for meeting estimated future expenditure when calculating the budget requirement. Budgets are based upon forecasts of pay and price inflation, changes in interest rates, and the demand for and levels of service to be provided. The purpose of balances and reserves is to provide for unexpected changes from these forecasts and to provide for the financing of some expenditure. Consequently the provision of an appropriate level of balances and reserves is a fundamental part of prudent financial management over the medium term.

2.0 BALANCES AND RESERVES:

- 2.1 Each of the Council's balances and reserves is considered below.
- 2.2 General Fund Working Balance
- 2.2.1 Setting the level of this general reserve is just one of several related decisions in the formulation of the medium-term financial strategy and the budget for a particular year. Account should be taken of the key financial assumptions underpinning the budget alongside a consideration of the authority's financial management arrangements. In addition to the cash flow requirements of the authority the following factors should be considered:-

Budget Assumptions

- treatment of inflation
- interest rates
- treatment of demand led pressures (e.g. take-up of housing benefits)
- levels of income
- financial risks inherent in significant funding partnerships
- the availability of other funds to deal with emergencies
- estimates of the level of and timing of capital receipts, S106 moneys and general cashflows

Financial Standing and Management

- the overall financial standing of the authority
- the authority's track record in budget and financial management
- the capacity to manage in-year budget pressures
- the strength of financial information and reporting arrangements
- the authority's financial procedure rules and budgetary flexibility
- the adequacy of insurance arrangements to cover major unforeseen risks

Adequacy of inflation

- 2.2.2 Budgetary provision is made for inflation in respect of pay, prices and contract expenditure. The 2014/15 budgets contain a sum of £250,000 for such inflation. An adverse variance of 1% in the assumptions made to these forms of expenditure could result in additional expenditure of £125,000.

Adequacy of interest rate assumption

- 2.2.3 The Council is a debt free authority and has substantial funds available for investment. The amount under investment however is sensitive to changes in interest rates especially given the short-term nature (less than 1 year) of most of the investment activity and the need to retain some cash liquidity for day to day purposes. The events occurring in the banking and financial markets in 2009/10 shows how unpredictable this area can be. Fortunately for the Council, most of its investments are in fixed term deposits. The 2014/15 budget assumes an average of 1% over the year but during this time some core cash investments will need re-investing. The budgets were prepared in a period where interest rates have remained at an all time low and have been stable at 0.5%. It is now unlikely that there will be a further reduction in interest rates to 0% and even more unlikely (although technically possible) for there to be a negative interest rate. However, an adverse variance of 1% in interest rates would affect investment income by approximately £300,000. This would be borne by the Council Taxpayers Reserve.

Treatment of demand led pressures

- 2.2.4 Demand volatility can affect both expenditure (e.g. take up of housing benefits) and income (eg number of planning applications). Housing Benefits and Council Tax support are significant items of expenditure estimated at £22.6m in 2014/15. In 2014/15 the Localised Council Tax Support Scheme presents a particular risk to the Councils reserves position, increases in council tax support claimants in year will be funded by the Council, subsidy at a reduced rate will not be received until the following year. If payments increase by 1% the cash flow implications would be in the order of £226,000.

Levels of income

2.2.5 The major income budgets (for fees and charges) in 2014/15 are those relating to:-

| | £ |
|--------------------------|-----------|
| - Leisure Services | 2,782,970 |
| - Development Control | 700,000 |
| - Premises Development | 703,900 |
| - Parking Charges | 759,200 |
| - Local Taxation | 285,230 |
| - Markets | 199,780 |
| - Licensing | 153,290 |
| - Land Charges | 96,720 |
| - Environmental Services | 153,550 |
| - Planning Services | 45,720 |
| - Waste Collection | 118,404 |

Total income from fees and charges is budgeted to be £6.031m in 2014/15. The economy is clearly still experiencing difficulties at the moment and recovery is expected to be slow. A moderate fall in demand of say 3% would lead to a reduction in income of about £180,936.

External Partnerships

2.2.6 Members are aware that the Council acts as the 'Accountable Body' for a number of partnerships. With the potential for these to grow in number the financial exposure increases and whilst the Council's own management arrangements are maintained under review and subject to audit it is nevertheless felt prudent to allow for some form of contingency in the event of any partnership expenditure/claim being deemed ineligible. The Building Control Partnership in particular is vulnerable as a result of the downturn in the housing market. A figure of £20,000 is suggested for this purpose.

Responding to emergencies

2.2.7 Examples of emergencies in the past include flooding and the outbreak of foot and mouth disease. As a local authority the Council can in certain cases gain financial protection from the Government's Bellwin Scheme. However, this only reimburses 85% of eligible expenditure above a specified threshold (for Hambleton the 2011/12 threshold is £15,952), and until the grant monies are received the Council is required to fund the expenditure. Again, it would be prudent to include a provision for emergencies within the Council's general balances. A figure of £150,000 is suggested (this is similar to the gross cost of the flooding in June 2005).

Capital financing and general cashflows

2.2.8 The Council maintains a capital programme which is supported by external funding and on-going capital receipts. The timing of such receipts rarely matches the expenditure profile, often lagging by months.

2.2.9 Similarly the timing of the Council's income, principally from Council Tax and Business Rate income, does not always match the Council's outgoings (mainly salaries, capital and precept payments). This is particularly the case

in February and March when income from Council Tax and Business Rates reduces significantly as the normal instalments cease.

2.2.10 Consequently it is necessary to maintain a large amount for cash flow purposes, thereby reducing the need to frequently draw back funds. A sum of £1,000,000 is recommended for this purpose.

2.2.11 On this basis it would appear that a General Fund Working Balance of around £2,227,000 is required. However, it would be extremely unlikely that all the events listed above would materialise at the same time and past experience has shown that a figure of £2,000,000 has proved adequate. ***It is recommended that the Council maintain a sum of £2,000,000 as its General Fund Working Balance.*** A level of £2m equates to approximately 4.4% of the Council's gross annual budget requirement. This combined with the Council's internal financial controls should ensure the authority recognises financial 'issues' early and has the capacity to respond accordingly.

2.3 Council Taxpayers Reserve

2.3.1 The purpose of this reserve is currently "To support revenue spending on community projects and on enhancing service delivery". ***It is recommended that the purpose of the Council Taxpayers Reserve is maintained.***

2.3.2 The level of the reserve is considered as part of every review of the financial strategy, and needs to be sufficient to fulfil its purpose over the life of the strategy. Clearly over time the level of the reserve will diminish. However, in order for the Council Taxpayer to receive the maximum benefit from the reserve, this should be in a structured and considered way in accordance with expectations of the level of Council Tax assumed in the financial strategy.

2.4 Repairs and Renewals Fund

2.4.1 The purpose of this reserve is "To provide revenue support to assist funding of the repairs and renewals". ***It is recommended that the purpose of the Repairs and Renewals Fund is maintained.***

2.4.2 The reserve was established from what was the Capital Fund with monies added to it from the Council Tax Payers Reserve. The reserve will be maintained for the duration of the Financial Strategy.

2.5 Computer Fund

2.5.1 The purpose of this reserve is "To provide revenue support to assist funding of computer related purchases". ***It is recommended that the purpose of the Computer Fund is maintained.***

2.5.2 The reserve was established from monies transferred from the Council Tax Payers Reserve. ***It is recommended that the reserve will be maintained for the duration of the Financial Strategy.***

2.6 Community Safety Partnership Reserve

2.6.1 The purpose of this reserve is currently "To receive surpluses and deficits from the Community Safety Partnership Accounts". ***It is recommended that***

the purpose of the Community Safety Partnership Reserve is maintained.

2.6.2 The reserve is kept as good accounting practice and is not expected to have a significant balance in it.

2.7 One-Off Fund

2.7.1 The purpose of this reserve is “To improve or sustain service delivery”. ***It is recommended that the purpose of the One-Off Fund is maintained.***

2.7.2 This reserve is maintained to provide funding for service improvements or unexpected events. It incorporates the former Revenue Efficiency Reserve, Shared Service Efficiency Reserve and the Cyclical Payments Reserve. It is recommended therefore that the minimum balance on this Reserve be kept at £200,000. This is considered adequate, and is sustainable within the current financial strategy. In normal circumstances, however, the level of the fund could be substantially higher than this.

2.8 Hambleton Strategic Partnership Reserve

2.8.1 The purpose of this reserve is currently “To receive surpluses and deficits from the Hambleton Strategic Partnership Accounts”. ***It is recommended that the purpose of the Hambleton Strategic Partnership Reserve is maintained.***

2.8.2 The reserve is kept as good accounting practice and is not expected to have a significant balance in it.

2.9 Grants Fund

2.9.1 The purpose of this reserve is currently “To fund revenue grants to organisations on an annual basis”. ***It is recommended that the purpose of the Grants Fund is maintained.***

2.9.2 The level of the fund was initially established to provide for three years funding, and will therefore have a reducing balance over the period. It is expected that the fund will run low in funds by 2018/19 and therefore a review will be needed before this time.

2.10 New Homes Bonus Reserve

2.10.1 In setting the Financial Strategy for 2014/15 – 2023/24 the Council took the decision to close this reserve and transfer all New Homes Bonus Grant to the Council Tax Payer Reserve.

3.0 LEVEL OF BALANCES AND RESERVES:

3.1 The use of balances and reserves is a critical feature in the Council’s approach to financial management. They enable Council Tax to be maintained at low levels, support the capital programme and deliver service improvements.

3.2 It is considered important therefore that the level of balances is monitored to ensure that adequate levels are maintained to fulfil their purpose. Whilst to a

large extent this is done annually through the review of the resource management plan, which includes the financial strategy, an improvement, introduced six years ago, was the establishment of targets for the level of each reserve which can be monitored. The target established was that each Reserve should have a year end balance which is within a 10% tolerance of the balance reflected in the Council's financial strategy. Performance against the target will continue to be reported to Members as part of the year end procedures.

3.3 Experience has shown however that due to the nature of receipts and payments into and out of the Service Improvement Reserve, it is not possible to accurately forecast the level of this reserve at the year end. A more appropriate target for this reserve would be to ensure that a minimum balance is retained.

3.4 ***It is recommended that the targets for Reserve balances are:***

- a) A minimum balance for the One-Off Fund of £200,000; and***
- b) For all other Reserves, within a 10% tolerance on the year end balance as reflected in the Financial Strategy.***

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HAMBLETON DISTRICT COUNCIL

Report To: Cabinet
11 February 2014

Subject: 2014/15 CAPITAL PROGRAMME BUDGET, TREASURY MANAGEMENT STRATEGY STATEMENT AND PRUDENTIAL INDICATORS 2014/15

All Wards

Portfolio Holder for Resources: Councillor R Kirk

1.0 PURPOSE AND BACKGROUND:

- 1.1 The 10 year Capital Programme 2014/15 to 2023/24 was approved at Cabinet on 3 December 2013, following the approval by Cabinet of the Financial Strategy 2014/15 to 2023/24 on 5 November 2013. It is a legal requirement to ensure that the capital programme is affordable, sustainable and prudent over a 3 year period and the Financial Strategy sets the fiscal parameters for funding the capital programme over 10 years. The financial strategy ensures that there are sufficient reserve funds and capital receipts available over a 10 year period so that the Council can continue with its principle of not borrowing to finance capital expenditure.
- 1.2 The Treasury Management Strategy Statement includes the annual investment strategy and the minimum revenue policy statement and ensures that the funding of the capital programme is affordable, sustainable and prudent. The Treasury Management Strategy manages the cash flow position of the council on a long and short term basis to ensure that cash is available when needed and surplus funds are invested in with low risk counterparties (ensuring security of funding is key), providing adequate liquidity, whilst also considering investment return.
- 1.3 The capital programme and treasury management strategy are monitored through the setting of the Prudential and Treasury Management Indicators on an annual basis prior to the beginning of the new financial year.
- 1.4 This report seeks approval for
 - (a) the capital programme for the coming financial year 2014/15, which is informed by the 10 year capital programme
 - (b) the revised 10 year capital programme 2014/15 to 2023/24
 - (c) the treasury management strategy statement 2014/15
 - (d) the prudential and treasury indicators 2014/15

2.0 2014/15 CAPITAL PROGRAMME BUDGET

- 2.1 The 10 year capital programme 2014/15 to 2023/24 approved by Cabinet on 5 November 2013 detailed capital expenditure at £13,168,155 which was funded by reserves, contributions and capital receipts of £15,656,453. This showed that the 10 year capital programme was affordable sustainable and prudent over a 10 year period, leaving a balance of funding of £2,488,298.
- 2.2 Since the approval of the 10 year capital programme, the 2013/14 capital expenditure has reduced, further capital receipts / contributions are estimated to be received and increased schemes have been included in the 2014/15 capital programme. Therefore the 10 year capital expenditure stands at £13,208,155 an increase of £40,000 which is to be funded from £16,494,209, leaving a balance of funding of £3,286,054.

2.3 The increase of £40,000 capital expenditure in 2014/15 is reflected in the decision made by Cabinet on 3 December 2013 to include the installation of a backup generator at the civic centre. It should also be noted that the 2014/15 capital expenditure has reduced by £63,000 and moved to a future year in the 10 year capital plan as the Bedale Station and Pedestrian Bridge scheme will not occur during the next financial year.

2.4 The 10 Year Capital programme 2014/15 to 2023/24 splits the capital programme into 3 sections which relate to the reserve funding of the capital programme:

| | £ |
|---------------------------|------------------|
| Repairs and Renewals Fund | 5,850,155 |
| Computer Fund | 2,843,000 |
| Capital Receipts Reserve | <u>4,515,000</u> |
| | 13,208,155 |

2.5 The capital programme 2014/15 totals 1,985,350 and is funded from the 3 reserves as follows:

| | £ |
|---------------------------|----------------|
| Repairs and Renewals Fund | 766,350 |
| Computer Fund | 475,000 |
| Capital Receipts Reserve | <u>744,000</u> |
| | 1,985,350 |

2.6 The capital programme 2014/15 is attached at Annex A. This details the capital expenditure cost and also the total cost to the Council, along with associated funding received from third parties in respect of the schemes. In addition, where a scheme appears for a number of years, an estimation of the costs in future years is also given.

2.7 All schemes have been assessed to allow a considered and informed judgement to be made in respect of the Value for Money of each scheme. It is believed that each scheme does represent value for money. The reasons for this judgement are detailed below:-

- each scheme contributes towards the attainment of a particular Business Plan target and a number have clear community benefits;
- a number of schemes generate ongoing revenue savings;
- although the cost of each scheme is indicative, prior to implementation each scheme will follow the Council's procurement process to ensure best value is achieved;
- each scheme has a clear completion date.

2.8 A proposal form for each scheme giving evidence of how value for money has been obtained will be presented to Cabinet in March 2014.

2.9 The 10 year Capital Programme approved by Cabinet on 3 December 2013, the 2014/15 capital programme, will be used to inform the Treasury Management Strategy and the calculation of the prudential indicators for approval by Cabinet and Council on 18 February 2014 along with the Council Tax Setting report.

3.0 2014/15 TREASURY MANAGEMENT STRATEGY AND PRUDENTIAL INDICATORS

3.1 The Treasury Management Strategy sets out a framework for how the Council will manage its investments, cash flows and borrowings for 2014/15. The Treasury Management Strategy Statement including the annual investment strategy, the minimum revenue provision policy statement and Prudential and treasury management indicators is attached at Annex B. Specifically the treasury management strategy:

- Sets out the statutory and regulatory requirements of the Local Government Act 2003, the CIPFA (Chartered Institute of Public Finance and Accounts) Prudential Code, the CIPFA Treasury Management Code of Practice and the Communities and Local Government Minimum Revenue Provision Guidance and also Investment guidance;
- Identifies reporting arrangements and responsibilities;
- Clearly states that the Council's priority for investment are the security of capital, whilst also considering liquidity and rate of return;
- Identifies the type and the limits for investments and counterparties with which those investments can be placed as well as the maximum duration of the investment

3.2 Approval of the Treasury Management Strategy Statement is required by the Local Government Act and code of Practices as detailed above and advice has been taken from the Council's Treasury Management advisors, Capita Asset Services, in constructing this strategy.

3.3 The Treasury Management Strategy Statement for 2014/15 reflects the improved stability of the banking sector and the support given by national governments, as well as a more risk averse approach to the system of credit ratings. The proposed Strategy can be summarised as follows:

- The Council is debt free and it is anticipated that no borrowing will occur during 2014/15 or subsequent years;
- The minimum revenue provision policy is defined but due to the Council being debt free no minimum revenue payments are required to be made.
- The Council continues with its investment priority as being the security of capital and also liquidity of its funds, whilst maximising returns commensurate with risk;
- Investment of surplus funds can be made to other local authorities, nationalised banks, banks which are part of the UK banking system support package, as well as other UK banks and building societies, subject to the application of Capita Asset Services' credit worthiness criteria;
- Investments of surplus funds can be made in foreign banks and institutions of AAA sovereign rated countries subject to Capita Asset Services' credit worthiness criteria;
- Limits for all investments to be placed with specified and non specified investments are:

Individual Limits – These limits will be set at 30% of total investments or £3.0m per counterparty whichever is the higher. There are two exceptions to this policy:

- (a) with counterparties that are backed by the Government – Bank of Scotland, Royal Bank of Scotland, Lloyds, Natwest, Ulster Bank – (and therefore are more secure) there will be a 50% limit or £12m per counterparty which ever is the higher.
- (b) with the Debt Management Agency Deposit there will be an unlimited amount with this organisation due to its high level of security.

Group Limits – this policy recognises that individual counterparties (banks/financial institutions etc), whilst being sound in themselves, may be part of a larger group. This brings with it added risks where parent institutions may be in difficulties. However, if the group limit was the same as the individual limit it would be too restrictive for the placing of investments when applied to our list of approved counterparties. This policy therefore sets the group limit at 60% of fund value. Individual limits for any counterparty within the group will be as stated above. There is one exception to this policy

- (a) where the group is for Government backed institutions the group limit will be 80% of the fund value.

- 3.5 The Treasury Management Strategy Statement 2014/15 also includes the revised Treasury Management Policy Statement which is attached at Annex C and is recommended to be approved by Cabinet and Council in accordance with the revised CIPFA Treasury Management Code of Practice 2011.
- 3.6 The Scheme of Delegation and the Role of the S151 Officer (Director of Resources) in relation to treasury management details that those charged with governance are responsible for treasury management activities within the organisation, this is attached at Annex D and is recommended to be approved by Cabinet and Council
- 3.7 The Prudential and Treasury Management Indicators are detailed in the main body of the Treasury Management Strategy Statement attached at Annex B. It is recommended the Prudential and Treasury Management indicators are approved by Cabinet and Council.

4.0 LINK TO COUNCIL PRIORITIES:

- 4.1 This report links to the efficient use of Council resources, where the capital programme 2014/15 demonstrates value for money in the implementation of the individual capital schemes and the treasury management strategy statement ensure the Council maximises its return on investments. Both the capital programme and treasury management allow more resources to be freed up to invest in the Council's other priorities, values and imperatives.

5.0 RISK ASSESSMENT:

- 5.1 There are two main risks associated with setting the capital programme and the treasury management strategy statement 2014/15:

| Risk | Implication | Prob | Imp | Total | Preventative action |
|--|---|------|-----|-------|--|
| Proposed capital schemes for 2014/15 are not assessed for risk prior to the commencement of the schemes | The Council is unable to control capital expenditure or redirect resources to priority areas | 3 | 5 | 15 | Capital Scheme Proposal Forms are prepared for each individual capital scheme, including the assessment of risk and are attached in Annex A1-A22 |
| Treasury management function is a high risk area due to the volume and level of large investment money transactions. | The value of the investment could be lost, liquidity of the Council could be reduced and yield not maximised. | 3 | 5 | 15 | The Local Government Act 2003 (as amended), supporting regulations, the CIPFA Prudential Code and the CIPFA Treasury Management in the Public Services Code of Practice (the code) are all adhered to as required. |

Prob = Probability, Imp = Impact, Score range is Low = 1, High = 5

6.0 FINANCIAL IMPLICATIONS:

- 6.1 The financial implications are contained within the body of the report.

7.0 LEGAL IMPLICATIONS:

7.1 The Council is legally required to set a balanced 3 year capital programme budget and treasury management strategy statement as set out in Local Government Act 2003. This Council has set a 10 Year Capital Plan approved at cabinet on 3 December 2013 to assist with medium term financial planning, budget and council tax setting for 2014/15 and future years. This report provides detail of the Capital programme 2014/15 and also includes the requirements for the Treasury Management Strategy Statement.

7.2 Treasury Management activities have to conform to the Local Government Act 2003, the Local Authorities (Capital; Finance and Accounting) (England) Regulations 2003 (SI 2003/3146), which specifies that the Council is required to have regard to the CIPFA Prudential Code and the CIPFA Treasury Management Code of Practice and also the Local Authorities (Capital Finance and Accounting) (England) (Amendment) Regulations 2008 (SI 2008/414), which clarifies the requirements of the Minimum Revenue Provision guidance.

8.0 EQUALITY/DIVERSITY ISSUES:

8.1 Some capital schemes have specific implications for Equalities. The equalities implications of the individual schemes will be assessed by individual departments once the capital programme 2014/15 has been approved and the schemes are further developed. Any implications will be identified in the individual schemes project plans.

9.0 RECOMMENDATIONS:

9.1 It is recommended to Council that:-

- 1) the capital programme 2014/15 detailed in Annex A be approved for implementation;
- 2) the revised 10 year Capital Programme be approved, as detailed in paragraph 2.2
- 3) the Treasury Management Strategy attached at Annex B be approved
- 4) the Prudential and Treasury Indicators attached at Annex B in the body of the Treasury Management Strategy Statement be approved
- 5) the revised Treasury Management Policy Statement at Annex C be approved
- 6) the scheme of delegation and role of the s151 officer attached at Annex D be approved

JUSTIN IVES

Background papers:

Author ref: LBW

Contact: Louise Branford-White
Finance Manager
Direct Line No: 01609 767024

110214 TMSS & Capital Programme201415

| Capital Programme Schemes 2014/15 | | | | | ANNEX A | |
|---|--|--------------------------|--------------------------------------|-----------------------------|---|------------------------------|
| Cabinet Member/ Responsible Officer | Repairs & Renewals Fund Capital Schemes | 2014/15 | | | Ongoing Revenue (Savings) / Costs per year £ | Estimated completion date |
| | | Indicative Value £ | Third Party Contributi on £ | Cost to the Council £ | | |
| Clr Philips | Housing, Planning and Waste Management | | | | | |
| MJ | Purchase of bins and boxes for refuse and recycling | 36,000 | 0 | 36,000 | 0 | 2014/15 |
| Clr Mrs Shepherd | Leisure and Health | | | | | |
| DG | Leisure Equipment Lease Buy | 200,000 | 200,000 | 0 | 0 | 2014/15 |
| DG | Air Conditioning - Legislation requirement leisure | 15,000 | 0 | 15,000 | 0 | 2014/15 |
| Clr Napton | Customer Services and Asset Management | | | | | |
| MR | Public lighting replacement | 51,000 | 0 | 51,000 | 0 | 2014/15 |
| MR | Revenue Repairs and Renewals | 399,350 | 0 | 399,350 | 0 | 2014/15 |
| Clr Wilkinson | Support Services and Economic Development | | | | | |
| MR | Civic Centre - Carpet Replacement | 10,000 | 0 | 10,000 | 0 | 2014/15 |
| MR | Civic Centre - Internal Painting | 5,000 | 0 | 5,000 | 0 | 2014/15 |
| MR | Civic Centre - Window Replacements | 10,000 | 0 | 10,000 | 0 | 2014/15 |
| MR | Civic Centre - Backup Generator | 40,000 | 0 | 40,000 | 600 | 2014/15 |
| | Repairs & Renewals Fund Capital Programme 2014/15 | 766,350 | 200,000 | 566,350 | 600 | |
| Cabinet Member/ Responsible Officer | Computer Fund Capital Schemes | 2014/15 | | | Ongoing Revenue (Savings) / Costs per year £ | Estimated completion date |
| | | Indicative Value £ | Third Party Contributi on £ | Cost to the Council £ | | |
| Clr Wilkinson | Support Services and Economic Development | | | | | |
| Jl | ICT Improvements | 375,000 | 0 | 375,000 | 0 | 2014/15 |
| Jl | Web / Intranet Development | 100,000 | 0 | 100,000 | 0 | 2014/15 |
| | Computer Fund Capital Programme 2014/15 | 475,000 | 0 | 475,000 | 0 | |
| Cabinet Member/ Responsible Officer | Capital Receipts Reserve Capital Schemes | 2014/15 | | | Ongoing Revenue (Savings) / Costs per year £ | Estimated completion date |
| | | Indicative Value £ | Third Party Contributi on £ | Cost to the Council £ | | |
| Clr Philips | Housing, Planning and Waste Management | | | | | |
| MJ | Central depot external lighting improvements | 20,000 | 0 | 20,000 | 365 | 2014/15 |
| MJ | Central Depot - Security Fencing | 8,000 | 0 | 8,000 | 0 | 2014/15 |
| MJ | Disabled Facilities Grant | 150,000 | 100,000 | 50,000 | 0 | 2014/15 |
| Clr Mrs Shepherd | Leisure and Health | | | | | |
| DG | Hambleton All Weather Pitch Refurbishment | 131,000 | 19,000 | 112,000 | 0 | 2014/15 |
| DG | Stokesley All Weather Pitch Refurbishment | 11,000 | 0 | 11,000 | 0 | 2014/15 |
| DG | Hambleton Leisure Centre Improvement Scheme | 20,000 | 0 | 20,000 | 0 | 2015/16 |
| DG | All Leisure Centres - Digital Transaction Software | 24,000 | 0 | 24,000 | 0 | 2014/15 |
| Clr Napton | Customer Services and Asset Management | | | | | |
| MR | Car Park Restatements | 45,000 | 0 | 45,000 | 0 | 2014/15 |
| MR | Car Parks - Thirsk Cobbles | 75,000 | 0 | 75,000 | 0 | 2014/15 |
| MR | Bedale Gateway Car Park | 20,000 | 0 | 20,000 | 2,000 | 2014/15 |
| MR | Adoptions - Thirsk Phases 2 & 3 | 200,000 | 0 | 200,000 | 0 | 2014/15 |
| MR | Adoptions - Electric Bollards - Thirsk & Northallerton | 40,000 | 0 | 40,000 | 0 | 2014/15 |
| | Capital Receipts Reserve Capital Programme 2014/15 | 744,000 | 119,000 | 625,000 | 2,365 | |
| Cabinet Member/ Responsible Officer | Total Capital Programme 2014/15 | 2014/15 | | | Ongoing Revenue (Savings) / Costs per year £ | Estimated completion date |
| | | Indicative Value £ | Third Party Contributi on £ | Cost to the Council £ | | |
| Clr Philips | Housing, Planning and Waste Management | 214,000 | 100,000 | 114,000 | 365 | 2014/15 |
| Clr Mrs Shepherd | Leisure and Health | 401,000 | 219,000 | 182,000 | 0 | 2014/15 & 2015/16 |
| Clr Napton | Customer Services and Asset Management | 830,350 | 0 | 830,350 | 2,000 | 2014/15 |
| Clr Wilkinson | Support Services and Economic Development | 540,000 | 0 | 540,000 | 600 | 2014/15 |
| | Total Capital Programme 2014/15 | 1,985,350 | 319,000 | 1,666,350 | 2,965 | |

**TREASURY MANAGEMENT STRATEGY STATEMENT -
MINIMUM REVENUE POSITION STRATEGY and
ANNUAL INVESTMENT STRATEGY 2014/15**

1.0 INTRODUCTION:

1.1 Background

1.1.1 The Council is required to operate a balanced budget, which broadly means that cash raised during the year will meet cash expenditure. Part of the treasury management operation is to ensure that this cash flow is adequately planned, with cash being available when it is needed. Surplus monies are invested in low risk counterparties or instruments commensurate with the Council's low risk appetite, providing adequate liquidity initially before considering investment return.

1.1.2 The second main function of the treasury management service is the funding of the Council's capital plans. These capital plans provide a guide to the borrowing need of the Council, essentially the longer term cash flow planning to ensure that the Council can meet its capital spending obligations. This management of longer term cash may involve arranging long or short term loans, or using longer term cash flow surpluses. On occasion any debt previously drawn may be restructured to meet Council risk or cost objectives.

1.1.3 CIPFA defines treasury management as:

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

1.2 Reporting Requirements

1.2.1 The Council is required to receive and approve, as a minimum, three main reports each year, which incorporate a variety of policies, estimates and actuals. These reports are required to be adequately scrutinised by Members before being recommended to the Council. This role is undertaken by Cabinet.

Prudential and Treasury Indicators and Treasury Strategy (This report)

1.2.2 The first, and most important report covers:

- the capital plans (including prudential indicators);
- a Minimum Revenue Provision Policy (how residual capital expenditure is charged to revenue over time);
- the Treasury Management Strategy (how the investments and borrowings are to be organised) including treasury indicators; and
- an investment strategy (the parameters on how investments are to be managed).

A Mid Year Treasury Management Report

1.2.3 This will update members with the progress of the capital position, amending prudential indicators as necessary, and whether the treasury strategy is meeting the strategy or whether any policies require revision. In addition, this Council will receive quarterly update reports.

An Annual Treasury Report

1.2.4 This provides details of a selection of actual prudential and treasury indicators, including investment activity, and actual treasury operations compared to the estimates within the strategy.

1.3 Treasury Management Strategy for 2014/15

1.3.1 The strategy for 2014/15 covers two main areas:

(a) Capital Issues

- the capital plans and the prudential indicators
- the Minimum Revenue Provision (MRP) policy

(b) Treasury Management Issues

- the current treasury position
- treasury indicators which will limit the treasury risk and activities of the Council
- prospects for interest rates
- the borrowing strategy
- policy on borrowing in advance of need
- debt rescheduling
- the investment strategy
- credit worthiness policy
- policy on use of external service providers

1.3.2 These elements cover the requirements of the Local Government Act 2003, the CIPFA Prudential Code, the CIPFA Treasury Management Code and and the Communities and Local Government Minimum Revenue Provision Guidance and also Investment guidance.

2.0 THE CAPITAL PRUDENTIAL INDICATORS 2014/15 – 2016/17:

2.1 The Council's capital expenditure plans are the key driver of treasury management activity. The output of the capital expenditure plans are reflected in prudential indicators, which are designed to assist Members overview and confirm capital expenditure plans.

Capital Expenditure

2.2 This prudential Indicator is a summary of the Council's capital expenditure plans, both those agreed previously, and those forming part of this budget cycle. Members are asked to approve the capital expenditure forecasts.

2.3

| Capital Expenditure £000 | 2012/13 Actual | 2013/14 Estimate | 2014/15 Estimate | 2015/16 Estimate | 2016/17 Estimate |
|-------------------------------------|---------------------------|-----------------------------|-----------------------------|-----------------------------|-----------------------------|
| Total | 1,128,686 | 2,480,600 | 1,985,350 | 1,522,959 | 1,715,833 |

2.3 Other long term liabilities. The above financing need excludes other long term liabilities, such as PFI and leasing arrangements which already include borrowing instruments. The Council has no PFI schemes.

2.4 The table below summarises the above capital expenditure plans and how these plans are being financed by capital or revenue resources. Any shortfall of resources results in a funding need (borrowing). Hambleton District Council is debt free and it is not anticipated that borrowing will occur in the foreseeable future.

| Capital Expenditure £000 | 2012/13 Actual | 2013/14 Estimate | 2014/15 Estimate | 2015/16 Estimate | 2016/17 Estimate |
|--|---------------------------|-----------------------------|-----------------------------|-----------------------------|-----------------------------|
| Total | 1,128,686 | 2,480,600 | 1,985,350 | 1,522,959 | 1,715,833 |
| Financed by: | | | | | |
| Capital receipts | 743,151 | 1,436,718 | 645,000 | 466,000 | 765,000 |
| Capital grants | 342,428 | 328,717 | 119,000 | 200,000 | 100,000 |
| Capital reserves | | 715,165 | 1,021,350 | 856,959 | 850,833 |
| Revenue | 43,107 | - | 200,000 | - | - |
| Net financing need for the year | - | - | - | - | - |

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

- 2.5 The second prudential indicator is the Council's Capital Financing Requirement (CFR). The CFR is simply the total historic outstanding capital expenditure which has not yet been paid for from either revenue or capital resources. It is essentially a measure of the Council's underlying borrowing need. Any capital expenditure above, which has not immediately been paid for, will increase the CFR. The CFR remains at zero as the Council is debt free, has no underlying borrowing requirement from the past and is not anticipated to borrow in the foreseeable future.

If there was a balance outstanding on the CFR, the CFR would not increase indefinitely as the minimum revenue provision (MRP) is a statutory annual revenue charge which broadly reduces the borrowing need in line with each assets life.

The CFR includes any other long term liabilities (e.g. PFI schemes, finance leases). Whilst these increase the CFR, and therefore the Council's borrowing requirement, these types of scheme include a borrowing facility and so the Council is not required to separately borrow for these schemes. The Council currently has no such schemes within the CFR.

- 2.7 The Council is asked to approve the CFR projections below:-

| £000 | 2012/13 Actual | 2013/14 Estimate | 2014/15 Estimate | 2015/16 Estimate | 2016/17 Estimate |
|---|---------------------------|-----------------------------|-----------------------------|-----------------------------|-----------------------------|
| Capital Financing Requirement | | | | | |
| CFR – non housing | - | - | - | - | - |
| CFR - housing | - | - | - | - | - |
| Total CFR | - | - | - | - | - |
| Movement in CFR | - | - | - | - | - |
| Movement in CFR represented by | | | | | |
| Net financing need for the year (above) | - | - | - | - | - |
| Less MRP and other financing movements | - | - | - | - | - |
| Movement in CFR | - | - | - | - | - |

Minimum Revenue provision (MRP) Policy Statement

2.8 It is a statutory requirement that the Council reports on the Minimum Revenue Position and explains this policy. However, Hambleton District Council is debt free and therefore the minimum revenue provision will be zero. Under statute, the minimum revenue provision describes that the Council is required to pay off an element of the accumulated General Fund capital spend each year (the CFR) through a revenue charge (the Minimum Revenue Provision - MRP), although it is also allowed to undertake additional voluntary payments if required (voluntary revenue provision - VRP).

2.9 Communities of Local Government (CLG) Regulations have been issued which require the full Council to approve a **Minimum Revenue Provision (MRP) Statement** in advance of each year. This is required even though the Council is debt free. Under statute, there are 4 options provided to Councils so each Council can select the most appropriate policy to be adopted, so long as there is a prudent provision. The Council is recommended to approve the following Minimum Revenue Provision Statement:

For capital expenditure incurred before 1 April 2008, or which in the future will be Supported Capital Expenditure, the MRP policy will be:

- **Based on CFR** – MRP will be based on the CFR. This option provides for an approximate 4% reduction in the borrowing need (CFR) each year.

From 1 April 2008 for all unsupported borrowing (including PFI and finance leases) the MRP policy will be:

- **Asset Life Method** – MRP will be based on the estimated life of the assets, in accordance with the regulations (this option must be applied for any expenditure capitalised under a Capitalisation Direction). This option provides for a reduction in the borrowing need over approximately the asset's life.

2.10 Repayments included in annual Public Finance Initiatives (PFI) or finance leases are applied as Minimum Revenue Provision (MRP), though this Council does not expect to have these repayments in 2014/15 or in the foreseeable future.

Core funds and expected investment balances

2.12 The application of resources (capital receipts, reserves etc.) to either finance capital expenditure or other budget decisions to support the revenue budget will have an ongoing impact on investments unless resources are supplemented each year from new sources (asset sales etc.). Detailed below are estimates of the year end balances for each resource and anticipated day to day cash flow balances.

| Year End Resources £000 | 2012/13 Actual | 2013/14 Estimate | 2014/15 Estimate | 2015/16 Estimate | 2016/17 Estimate |
|-----------------------------|-------------------|---------------------|---------------------|---------------------|---------------------|
| Fund balances / reserves | 17,818,277 | 15,912,022 | 15,796,737 | 14,618,403 | 14,064,561 |
| Capital receipts | 4,643,892 | 4,103,074 | 3,915,074 | 3,899,074 | 3,430,174 |
| Provisions | - | - | - | - | - |
| Other | -462,169 | -15,096 | 88,189 | -17,477 | 5,265 |
| Total core funds | 22,000,000 | 20,000,000 | 19,800,000 | 18,500,000 | 17,500,000 |
| Under/over borrowing | - | - | - | - | - |
| Expected investments | 22,000,000 | 20,000,000 | 19,800,000 | 18,500,000 | 17,500,000 |

Affordability Prudential Indicators

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

Actual and estimates of the ratio of financing costs to net revenue stream. This indicator identifies the trend in the cost of capital (borrowing and other long term obligation costs net of investment income) against the net revenue stream.

| % | 2012/13 Actual | 2013/14 Estimate | 2014/15 Estimate | 2015/16 Estimate | 2016/17 Estimate |
|---------|-------------------|---------------------|---------------------|---------------------|---------------------|
| Non-HRA | - | - | - | - | - |

The estimates of financing costs include current commitments and the proposals in this report. This indication is zero because the Council has no borrowing.

Estimates of the incremental impact of capital investment decisions on council tax. This indicator identifies the revenue costs associated with proposed changes to the three year capital programme compared to the Council's existing approved commitments and current plans. The assumptions are based on the budget, but will invariably include some estimates, such as the level of Government support, which are not published over a three year period.

Incremental impact of capital investment decisions on the band D council tax

| £ | 2012/13 Actual | 2013/14 Estimate | 2014/15 Estimate | 2015/16 Estimate | 2016/17 Estimate |
|-----------------------------|-------------------|---------------------|---------------------|---------------------|---------------------|
| Council tax - band D | £0.05 | £0.07 | £0.22 | £0.13 | £0.47 |

3.0 TREASURY MANAGEMENT STRATEGY:

- 3.1 The capital expenditure plans set out in Section 2 provide details of the service activity of the Council. The treasury management function ensures that the Council's cash is organised in accordance with the the relevant professional codes, so that sufficient cash is available to meet this service activity. This will involve both the organisation of the cash flow and, where capital plans require, the organisation of appropriate borrowing facilities. The strategy covers the relevant treasury / prudential indicators, the current and projected debt positions and the annual investment strategy.

3.2 **Current Portfolio Position on Borrowing**

- 3.2.1 The Council's treasury portfolio position at 31 March 2013 with forward projections are summarised below. The table shows the actual external debt (the treasury management operations), against the underlying capital borrowing need (the Capital Financing Requirement - CFR), highlighting any over or under borrowing. This Council is debt free and it is not anticipated to borrow in the foreseeable future, therefore the current and future debt position is zero.

| £m | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
|--|---------|----------|----------|----------|----------|
| | Actual | Estimate | Estimate | Estimate | Estimate |
| External Debt | | | | | |
| Debt at 1 April | - | - | - | - | - |
| Expected change in Debt | - | - | - | - | - |
| Other long-term liabilities (OLTL) | - | - | - | - | - |
| Expected change in OLTL | - | - | - | - | - |
| Actual debt at 31 March | - | - | - | - | - |
| The Capital Financing Requirement | - | - | - | - | - |
| Under / (over) borrowing | - | - | - | - | - |

| Total investments at 31 March | | | | | |
|--------------------------------------|-------------------|-------------------|-------------------|-------------------|-------------------|
| Investments | 22,000,000 | 21,500,000 | 20,000,000 | 19,100,000 | 17,800,000 |
| Investment change | (500,000) | (1,500,000) | (900,000) | (1,300,000) | |

| | | | | | |
|----------------------------------|-------------------|-------------------|-------------------|-------------------|-------------------|
| Net Debt (Net Investment) | 22,000,000 | 21,500,000 | 20,000,000 | 19,100,000 | 17,800,000 |
|----------------------------------|-------------------|-------------------|-------------------|-------------------|-------------------|

- 3.2.2 Within the prudential indicators there are a number of key indicators to ensure that the Council operates its activities within well defined limits. One of these is that the Council needs to ensure that its gross debt, does not, except in the short term, exceed the total of the CFR in the preceding year plus the estimates of any additional CFR for 2014/15 and the following two financial years. This allows some flexibility for limited early borrowing for future years, but ensures that borrowing is not undertaken for revenue purposes.
- 3.2.3 The Director of Resources reports that the Council complied with this prudential indicator in the current year and does not envisage difficulties for the future as the Council does not anticipate to borrow in the foreseeable future. This view takes into account current commitments, existing plans, and the proposals in the budget report.
- 3.3 **Treasury Indicators: Limits to Borrowing Activity**
- 3.3.1 **The Operational Boundary.** This is the limit beyond which external debt is not normally expected to exceed. In most cases, this would be a similar figure to the CFR, but may be lower or higher depending on the levels of actual debt. The Council has no borrowing and does not expect to borrow for the foreseeable future, however to give the Council complete flexibility these limits are set at the beginning of each financial year.

| Operational boundary £m | 2013/14 Estimate | 2014/15 Estimate | 2015/16 Estimate | 2016/17 Estimate |
|------------------------------------|-----------------------------|-----------------------------|-----------------------------|-----------------------------|
| Debt | 4,000 | 4,000 | 4,000 | 4,000 |
| Other long term liabilities | 600 | 600 | 600 | 600 |
| Total | 4,600 | 4,600 | 4,600 | 4,600 |

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

1. This is the statutory limit determined under section 3 (1) of the Local Government Act 2003. The Government retains an option to control either the total of all councils' plans, or those of a specific council, although this power has never yet been exercised.
2. The Council is asked to approve the following Authorised Limit, even though the Council is debt free and does not intend to borrow in the foreseeable future. This limit is set to give the Council complete flexibility:

| Authorised limit £000 | 2013/14 Estimate | 2014/15 Estimate | 2015/16 Estimate | 2016/17 Estimate |
|------------------------------|-----------------------------|-----------------------------|-----------------------------|-----------------------------|
| Debt | 5,000 | 5,000 | 5,000 | 5,000 |
| Other long term liabilities | 1,000 | 1,000 | 1,000 | 1,000 |
| Total | 6,000 | 6,000 | 6,000 | 6,000 |

3.4 Prospects for Interest Rates

3.4.1 The Council has appointed Capita Asset Services as its treasury advisor and part of their service is to assist the Council to formulate a view on interest rates. The following table gives Capita Asset Services central interest rate view.

| Annual Average % | Bank Rate | PWLB Borrowing Rates | | |
|-------------------------|----------------------|-----------------------------|----------------|----------------|
| | | 5 year | 25 year | 50 year |
| March 2014 | 0.50 | 2.50 | 4.40 | 4.40 |
| June 2014 | 0.50 | 2.60 | 4.50 | 4.50 |
| Sept 2014 | 0.50 | 2.70 | 4.50 | 4.50 |
| Dec 2014 | 0.50 | 2.70 | 4.60 | 4.60 |
| March 2015 | 0.50 | 2.80 | 4.60 | 4.70 |
| June 2015 | 0.50 | 2.80 | 4.70 | 4.80 |
| Sept 2015 | 0.50 | 2.90 | 4.80 | 4.90 |
| Dec 2015 | 0.50 | 3.00 | 4.90 | 5.00 |
| March 2016 | 0.50 | 3.10 | 5.00 | 5.10 |
| June 2016 | 0.75 | 3.20 | 5.10 | 5.20 |
| Sept 2016 | 1.00 | 3.30 | 5.10 | 5.20 |
| Dec 2016 | 1.00 | 3.40 | 5.10 | 5.20 |
| March 2017 | 1.25 | 3.40 | 5.10 | 5.20 |

Until 2013, the economic recovery in the UK since 2008 had been the worst and slowest recovery in recent history. However, growth has rebounded during 2013 to surpass all expectations, propelled by recovery in consumer spending and the housing market. Forward surveys are also currently very positive in indicating that growth prospects are strong for 2014, not only in the UK economy as a whole, but in all three main Capital Asset Services', services, manufacturing and construction. This is very encouraging as there

does need to be a significant rebalancing of the economy away from consumer spending to construction, manufacturing, business investment and exporting in order for this start to recovery to become more firmly established. One drag on the economy is that wage inflation continues to remain significantly below Consumer Prices Index (CPI) inflation so disposable income and living standards are under pressure, although income tax cuts have ameliorated this to some extent. This therefore means that labour productivity must improve significantly for this situation to be corrected by the warranting of increases in pay rates. The US, the main world economy, faces similar debt problems to the UK, but thanks to reasonable growth, cuts in government expenditure and tax rises, the annual government deficit has been halved from its peak without appearing to do too much damage to growth.

The current economic outlook and structure of market interest rates and government debt yields have several key treasury management implications:

- As for the Eurozone, concerns have subsided considerably in 2013. However, sovereign debt difficulties have not gone away and major concerns could return in respect of any countries that do not dynamically address fundamental issues of low growth, international uncompetitiveness and the need for overdue reforms of the economy (as Ireland has done). It is, therefore, possible over the next few years that levels of government debt to Gross Domestic Product (GDP) ratios could continue to rise to levels that could result in a loss of investor confidence in the financial viability of such countries. This could mean that sovereign debt concerns have not disappeared but, rather, have only been postponed. Counterparty risks therefore remain elevated. This continues to suggest the use of higher quality counterparties for shorter time periods;
- Investment returns are likely to remain relatively low during 2014/15 and beyond;
- Borrowing interest rates have risen significantly during 2013 and are on a rising trend. The policy of avoiding new borrowing by running down spare cash balances has served well over the last few years. However, this needs to be carefully reviewed to avoid incurring even higher borrowing costs, which are now looming ever closer, where authorities will not be able to avoid new borrowing to finance new capital expenditure and/or to refinance maturing debt, in the near future;
- There will remain a cost of carry to any new borrowing which causes an increase in investments as this will incur a revenue loss between borrowing costs and investment returns

3.5 Borrowing Strategy for 2014/15

3.5.1 The Council is currently debt free and it is anticipated that there will be no capital borrowings required during 2014/15 or the foreseeable future. However, the Council will always endeavour to finance its capital programme in the most economically advantageous way and will consider all options including borrowing. Should borrowing become a preferred option, a report will be brought to Members.

Treasury Management Limits on Activity

3.5.2 There are three debt related treasury activity limits. The purpose of these are to restrain the activity of the treasury function within certain limits, thereby managing risk and reducing the impact of any adverse movement in interest rates. However, if these are set to be too restrictive they will impair the opportunities to reduce costs / improve performance. The indicators are:-

- Upper limits on variable interest rate exposure. This identifies a maximum limit for variable interest rates based upon the debt position net of investments;
- Upper limits on fixed interest rate exposure. This is similar to the previous indicator and covers a maximum limit on fixed interest rates;

- Maturity structure of borrowing. These gross limits are set in place to reduce the Council's exposure to large fixed rate sums falling due for refinancing, and are required for upper and lower limits.

3.5.3 The Council is asked to approve the following treasury indicators and limits: in the table below. It should be noted that as the Council is debt free and it is not anticipated to take borrowing in the foreseeable future only fixed investment interest rates have been stated. With regards to the maturity structure of borrowing there may be a very rare occasion when overnight temporary borrowing occurs, so an upper limit of 100% has been set.

| £000 | 2014/15 | 2015/16 | 2016/17 |
|--|--------------|--------------|--------------|
| Interest rate Exposures | | | |
| | Upper | Upper | Upper |
| Limits on Fixed Interest Rates: | 90% | 90% | 90% |
| • Investments Only | | | |
| Limits on Variable Interest Rates | 50% | 50% | 50% |
| • Investments Only | | | |
| Maturity Structure of interest rate borrowing 2014/15 | | | |
| | Lower | Upper | |
| Under 12 months | 0% | 100% | |
| 12 months to 2 years | 0% | 0% | |
| 2 years to 5 years | 0% | 0% | |
| 5 years to 10 years | 0% | 0% | |
| 10 years to 20 years | 0% | 0% | |
| 20 years to 30 years | 0% | 0% | |
| 30 years to 40 years | 0% | 0% | |
| 40 years to 50 years | 0% | 0% | |

3.6 Policy on Borrowing in Advance of Need

3.6.1 The Council is currently debt free and therefore does not anticipate to borrow in advance of need during 2014/15. If the Council does borrow in advance of need it will not borrow more, than or in advance of its needs, purely in order to profit from the investment of the extra sums borrowed. Any decision to borrow in advance will be within forward approved Capital Financing Requirement estimates, and will be considered carefully to ensure that value for money can be demonstrated and that the Council can ensure the security of such funds.

3.6.2 Risks associated with any borrowing in advance activity will be subject to prior appraisal and subsequent reporting through the quarterly, mid-year or annual reporting mechanism.

3.7 Debt Rescheduling

3.7.1 The Council has no debt outstanding and therefore does not need to consider debt rescheduling as part of this Strategy.

3.8 Annual Investment Strategy

3.8.1 Investment Policy

- 3.8.2 The Council's investment policy has regard to the CLG's Guidance on Local Government Investments ("the Guidance") and the 2011 revised CIPFA Treasury Management in Public Services Code of Practice and Cross Sectoral Guidance Notes ("the CIPFA TM Code"). The Council's investment priorities will be security first, liquidity second, then return.
- 3.8.3 In accordance with guidance from the CLG and CIPFA, and in order to minimise the risk to investments, the Council has below clearly stipulated the minimum acceptable credit quality of counterparties for inclusion on the lending list. The creditworthiness methodology used to create the counterparty list fully accounts for the ratings, watches and outlooks published by all three ratings agencies with a full understanding of what these reflect in the eyes of each agency. Using the Capita Asset Services ratings service banks' ratings are monitored on a real time basis with knowledge of any changes notified electronically as the agencies notify modifications.
- 3.8.4 Furthermore, the Council's officers recognise that ratings should not be the sole determinant of the quality of an institution and that it is important to continually assess and monitor the financial sector on both a micro and macro basis and in relation to the economic and political environments in which institutions operate. The assessment will also take account of information that reflects the opinion of the markets. To this end the Council will engage with its advisors to maintain a monitor on market pricing such as "Credit Default Swaps" and overlay that information on top of the credit ratings. This is fully integrated into the credit methodology provided by the Council's advisors, Capita Asset Services, in producing their creditworthiness colour codings matrix which show the varying degrees of suggested credit ratings for counterparties. Further details of Capital Assrt Services' Ccreditwothiness policy adopted by the Council is detailed below.
- 3.8.5 Other information sources used will include the financial press, share price and other such information pertaining to the banking sector in order to establish the most robust scrutiny process on the suitability of potential investment counterparties.
- 3.8.6 The aim of the strategy is to generate a list of highly creditworthy counterparties which will also enable divesification and thus avoidance of concentration risk.
- 3.8.9 The intention of the strategy is to provide security of investment and minimisation of risk.
- 3.8.10 Investment instruments identified for use in the financial year are listed in Annex B1 under the 'Specified' and 'Non-Specified' Investment categories.
- 3.8.11 With regards to counterparty limits and the amount of surplus funds to be placed with any one counterparty or group of counterparties, specific advice has been taken from the Council's treasury management advisers (Capital Asset Services) due to the difficulty in placing surplus funds in the current economic environment. Therefore the Counterparty limits are detailed as follows
- **Individual Limits** – These limits will be set at 30% of total investments or £3.0m per counterparty whichever is the higher. There are two exceptions to this policy:
 - (a) with counterparties that are backed by the Government – Bank of Scotland, Royal Bank of Scotland, Lloyds, Natwest, Ulster Bank – (and teherfore are more secure) there will be a 50% limit or £12m per counterparty which ever is the higher.
 - (b) with the Debt Management Agency Deposit there will be an unlimited amount with this organisation due to its high level of security.

- **Group Limits** – this policy recognises that individual counterparties (banks/financial institutions etc), whilst being sound in themselves, may be part of a larger group. This brings with it added risks where parent institutions may be in difficulties. However, if the group limit was the same as the individual limit it would be too restrictive for the placing of investments when applied to our list of approved counterparties. This policy therefore sets the group limit at 60% of fund value. Individual limits for any counterparty within the group will be as stated above. There is one exception to this policy
 - (a) where the group is for Government backed institutions the group limit will be 80% of the fund value.

3.9 Creditworthiness policy

3.9.1 This Council applies the creditworthiness service provided by Capita Asset Services. This service employs a sophisticated modelling approach utilising credit ratings from the three main credit rating agencies - Fitch, Moodys and Standard and Poors. The credit ratings of counterparties are supplemented with the following overlays:-

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

3.9.2 This modelling approach combines credit ratings, credit watches and credit outlooks in a weighted scoring system which is then combined with an overlay of CDS spreads for which the end product is a series of colour coded bands which indicate the relative creditworthiness of counterparties. These colour codes are used by the Council to determine the suggested duration for investments. The Council will therefore use counterparties within the following durational bands:-

- Yellow 5 years *
- Dark Pink 5 years for Enhanced money market funds (EMMF's) with a credit score of 1.25
- Light Pink 5 years for Enhanced money market funds (EMMF's) with a credit score of 1.5
- Purple 2 year
- Blue 1 year (only applies to nationalised or semi nationalised UK Banks)
- Orange 1 year
- Red 6 months
- Green 100 days
- No Colour not to be used

* this category is for UK Government debt or its equivalent, constant Net Asset Value money market funds and collateralised deposits where the collateral is UK Government debt.

The green limit was formerly for 3 months but the Financial Conduct Authority set a requirement in July 2013 for qualifying deposits for bank liquidity buffers of a minimum of 95 days so the green band has been slightly extended to accommodate this regulatory change.

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

3.9.4 Typically the minimum credit ratings criteria the Council use will be a short term rating (Fitch or equivalents) of Short Term rating F1, Long Term rating A-, Viability ratings of A-, and a Support rating of 1. There may be occasions when the counterparty ratings from one rating agency are marginally lower than these ratings but may still be used. In these instances consideration will be given to the whole range of ratings available, or other topical market information, to support their use.

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

- if a downgrade results in the counterparty / investment scheme no longer meeting the Council's minimum criteria, its further use as a new investment will be withdrawn immediately.
- in addition to the use of credit ratings the Council will be advised of information in movements in Credit Default Swap Spreads against the iTraxx benchmark and other market data on a weekly basis. Extreme market movements may result in downgrade of an institution or removal from the Council's lending list.

3.9.6 Sole reliance will not be placed on the use of this external service. In addition this Council will also use market data and market information, information on government support for banks and the credit ratings of that government support.

3.10 **Country Limits**

3.10.1 The Council has determined that it will only use approved counterparties from countries with a minimum sovereign credit rating of AAA from Fitch (or equivalent), other than the UK where there is no limit. The list of countries that qualify using this AAA credit criteria, as at the date of this report, are shown in Annex B2. This list will be added to, or deducted from, by officers should ratings change in accordance with this policy.

3.10.2 On 22 February 2013, the UK lost its AAA sovereign rating and is now rated AA+. However, following advice from Capita Asset Services, the Council's Treasury Management advisors, the Council will still operate with UK counterparties.

3.10.3 The Council has determined that, other than the United Kingdom where no limit will apply, a maximum of 30% of total investments or £3.0m whichever is the lower will be invested in a single institution of a AAA sovereign rated country

3.10.3 In addition, this policy restricts the total of investments in foreign countries to 40% of the total investments.

3.11 **Investment Strategy**

3.11.1 **In-house funds.** Investments will be made with reference to the core balance and cash flow requirements and the outlook for short-term interest rates (i.e. rates for investments up to 12 months).

3.11.2 **Investment returns expectations.** Bank Rate is forecast to remain unchanged at 0.5% before starting to rise from quarter 2 of 2016. Bank Rate forecasts for financial year ends (March) are:

- 2013/2014 0.50%
- 2014/2015 0.50%
- 2015/2016 0.50%
- 2016/2017 1.25%

3.11.3 There are upside risks to these forecasts (i.e. start of increases in Bank Rate occurs sooner) if economic growth remains strong and unemployment falls faster than expected. However, should the pace of growth fall back there could be downside risk particularly if Bank of England inflation forecasts for the rate of fall of unemployment were to prove to be optimistic.

3.11.4 The suggested budgeted investment earnings rates for returns on investments placed for periods up to 100 days during each financial year for the next four years are as follows:

| | |
|---------|-------|
| 2014/15 | 0.50% |
| 2015/16 | 0.50% |
| 2016/17 | 1.00% |
| 2017/18 | 2.00% |

3.11.5 **Investment Treasury Indicator and Limit** - total principal funds invested for greater than 364 days. These limits are set with regard to the Council's liquidity requirements and to reduce the need for early sale of an investment, and are based on the availability of funds after each year-end.

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

| Maximum principal sums invested > 364 days | | | |
|--|----------------|----------------|----------------|
| £000 | 2014/15 | 2015/16 | 2016/17 |
| Principal sums invested > 364 days | £10,000,000 | £9,000,000 | £8,900,000 |

3.11.7 For its cash flow generated balances, the Council will seek to utilise its business reserve instant access and notice accounts, money market funds and short dated deposits (overnight to 100 days) in order to benefit from the compounding of interest.

3.12 **Investment Risk Benchmarking** – The Council is a member of Capital Asset Services treasury management benchmarking club to assist in the measuring of treasury management performance which enables comparison with other Council's for risk and return. This will be reported to members on a quarterly basis during the financial year.

3.13 **Policy on the Use of External Service Providers** – the Council uses Capital Asset services as its external treasury management advisers. The Council recognises that responsibility for treasury management decisions remains with the Council at all times and will ensure that undue reliance is not placed upon our external service providers. It also recognises that there is value in employing external providers of treasury management services in order to acquire access to specialist skills and resources. The Council will ensure that the terms of their appointment and the methods by which their value will be assessed are properly agreed and documented, and subjected to regular review.

3.14 **Member Training** - Training will be provided to Members on Treasury Management, in particular regarding their role, responsibility and scrutiny, by both Council Officers and Capital Asset Services, the Council's Treasury Management advisers.

TREASURY MANAGEMENT PRACTICE – TMP1
CREDIT AND COUNTERPARTY RISK MANAGEMENT
- SPECIFIED AND NON-SPECIFIED INVESTMENTS AND LIMITS

1.0 SPECIFIED INVESTMENTS:

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

2.0 NON-SPECIFIED INVESTMENTS:

2.1 These are any investments which do not meet the Specified Investment criteria. A maximum of 80% will be held in aggregate in non-specified investment

3.0 INVESTMENT INSTRUMENTS:

3.1 A variety of investment instruments will be used, subject to the credit quality of the institution, and depending on the type of investment made, it will fall into one of the above categories.

3.2 The criteria, time limits and monetary limits applying to institutions or investment vehicles are:

A) – SPECIFIED

| <i>Institution / Counterparty</i> | <i>Minimum 'High' Credit Criteria</i> | <i>Use</i> |
|--|--|------------------------------|
| Debt Management Agency Deposit Facility | UK Sovereign rating | In-house |
| Term deposits – local authorities | UK Sovereign rating | In-house |
| Term deposits – banks and building societies | Coded: Orange on Capital Asset Services' Matrix. Fitch's rating: Short-term F1+, Long- term AA-, Individual B, Support 2 Or equivalent rating from Standard & Poors and Moody's | In-house |
| UK Part nationalised banks | Coded: Blue on Capital Asset Services' Matrix. Fitch's rating: Short-term F1+, Long- term AA-, Individual B, Support 2 Or equivalent rating from Standard & Poors and Moody's | In-house and Fund Mangers |
| Banks part nationalised by high credit rated (sovereign rating) countries – non UK | Coded: Blue on Capital Asset Services' Matrix. Fitch's rating: Long-term AAA, Or equivalent rating from Standard & Poors and Moody's | In-house and Fund Mangers |

| <i>Institution / Counterparty</i> | <i>Minimum 'High' Credit Criteria</i> | <i>Use</i> |
|--|---|---|
| Collateralised deposit | Coded: Orange on Capital Asset Services' Matrix / UK Sovereign rating | In-house and Fund Mangers |
| Certificates of deposits issued by banks and building societies covered by UK Government guarantee | Coded: Orange on Capital Asset Services' Matrix / UK Sovereign rating | In-house and Fund Mangers |
| Certificates of deposits issued by banks and building societies | F Coded: Orange on Capital Asset Services' Matrix / Fitch's rating: UK sovereign rating or Short-term F1+, Long-term AA-, Individual B, Support 2 or equivalent rating from Standard&Poors and Moodys | In-house and Fund Mangers |
| UK Government Gilts | Coded: Orange on Capital Asset Services' Matrix / UK Sovereign rating | In-house buy and hold and Fund Managers |
| Bonds issued by multilateral development banks | Coded: Orange on Capital Asset Services' Matrix / Long term AAA | In-house buy and hold and Fund Managers |
| Bonds issued by a financial institution which is guaranteed by the UK government | Coded: Orange on Capital Asset Services' Matrix / UK Sovereign rating | In-house buy and hold and Fund Managers |
| Sovereign bond issues (other than the UK govt) | Coded: Orange on Capital Asset Services' Matrix / Sovereign rating | In-house buy and hold and Fund Managers |
| Treasury Bills | Coded: Orange on Capital Asset Services' Matrix / UK Sovereign rating | Fund Managers |
| Collective Investment Schemes structured as Open Ended Investment Companies (OEICs): - | | |
| 1. Government Liquidity Funds | Short-term F1, Long-term AAA | In-house and Fund Managers |
| 2. Money Market Funds | Short-term F1, Long-term AAA | In-house and Fund Managers |
| 3. Enhanced cash funds | Short-term F1, Long-term AAA | In-house and Fund Managers |
| 4. Bond Funds | Long-term AAA | In-house and Fund Managers |
| 5. Gilt Funds | Long-term AAA | In-house and Fund Managers |
| 6. Property Funds | Long-term AAA | In-house and Fund Managers |

NON-SPECIFIED INVESTMENTS:

A maximum of 100% can be held in aggregate in non-specified investment

1. Maturities of ANY period

| Institution / Counterparty | Minimum Credit Criteria | Use | Max % of total investments | Max. maturity period |
|--|--|---|-----------------------------------|-----------------------------|
| Term deposits – banks and building societies | Coded: red (6mths) and green (3mths) on Capital Asset Services' Matrix. Fitch's rating: Short-term F1, Long-term A-, Or equivalent rating from Standard & Poors and Moody's | In-house | 80% | 3-6 Months |
| Fixed term deposits with variable rate and variable maturities: -Structured deposits | Coded: orange (1yr) red (6mths) and green (3mths) on Capital Asset Services' Matrix. Fitch's rating: Short-term F1, Long-term A-, Or equivalent rating from Standard & Poors and Moody's | In-house | 40% | 1 Year |
| Certificates of deposits issued by banks and building societies NOT covered by UK Government guarantee | Coded: orange (1yr) red (6mths) and green (3mths) on Capital Asset Services' Matrix. Fitch's rating: Short-term F1, Long-term A-, Or equivalent rating from Standard & Poors and Moody's | In-house buy and hold and Fund Managers | 30% | 1 Year |
| Commercial paper issuance covered by a specific UK Government explicit guarantee | UK Sovereign rating | In-house and Fund Managers | 30% | 1 Year |
| Commercial paper other | Coded: orange (1yr) red (6mths) and green (3mths) on Capital Asset Services' Matrix. Fitch's rating: Short-term F1, Long-term A-, Or equivalent rating from Standard & Poors and Moody's | In-house | 30% | 1 Year |

| Institution / Counterparty | Minimum Credit Criteria | Use | Max % of total investments | Max. maturity period |
|---|--|----------------------------|-----------------------------------|-----------------------------|
| Corporate Bonds | Coded: orange (1yr) red (6mths) and green (3mths) on Capital Asset Services' Matrix. Fitch's rating: Short-term F1, Long-term A-, Or equivalent rating from Standard & Poors and Moody's | In-house and Fund Managers | 30% | 1 Year |
| Other debt issuance by UK banks covered by UK Government guarantee | UK Government explicit guarantee | In-house and Fund Managers | 30% | 1 Year |
| Floating Rate Notes: the use of these investments would constitute capital expenditure unless they are issued by a multi lateral development bank | Long-term AAA | Fund Managers | N/A – Capital Expenditure | N/A – Capital Expenditure |
| Property fund: the use of these investments would constitute capital expenditure | -- | Fund Managers | N/A – Capital Expenditure | N/A – Capital Expenditure |

2. Maturities in excess of 1 year

| Institution / Counterparty | Minimum Credit Criteria | Use | Max % of total investments | Max. maturity period |
|---|---|----------------------------|-----------------------------------|-----------------------------|
| Term deposits – local authorities | -- | In-house | 30% | > 1 year |
| Term deposits – banks and building societies | Coded: Purple(2yrs)) on Capital Asset Services' Matrix. Fitch's rating: Short-term F1+, Long-term AA-, Support 2 Or equivalent rating from Standard & Poors and Moody's | In-house | 30% | > 1 year |
| Certificates of deposits issued by banks and building societies covered by UK explicit Government guarantee | UK Sovereign | In house and Fund Managers | 30% | > 1 year |
| Certificates of deposits issued by banks and building societies | Coded: Purple(2yrs) on Capital Asset Services' Matrix / Short-term F1+, Long-term AA-, Support 2 | In house and Fund Managers | 30% | > 1 year |

| Institution / Counterparty | Minimum Credit Criteria | Use | Max % of total investments | Max. maturity period |
|---|--|----------------------------|-----------------------------------|-----------------------------|
| UK Government Gilts | UK Sovereign rating | In-house and Fund Managers | 30% | > 1 year |
| Bonds issued by multilateral development banks | Long term AAA | In-house and Fund Managers | 30% | > 1 year |
| Sovereign bond issues (i.e. other than the UK govt) | Long term AAA | In-house and Fund Managers | 30% | > 1 year |
| Collective Investment Schemes structure as open Ended Investment Companies (OEICs) | | | | |
| 1. Enhanced Cash Money Market Funds (Credit score of 1.25) | Coded: Dark Pink (5yrs) on Capital Asset Services' Matrix Short-term F1, Long-term AAA Or equivalent rating from Standard & Poors and Moody's | In-house and Fund Managers | 30% | > 1 year |
| 2. Enhanced Cash Money Market Funds (Credit score of 1.5) | Coded: Light Pink (5yrs) on Capital Asset Services' Matrix Short-term F1, Long-term AAA Or equivalent rating from Standard & Poors and Moody's | In-house and Fund Managers | 30% | > 1 year |
| 3. Bond Funds | Long-term AAA | In-house and Fund Managers | 30% | > 1 year |
| 4. Gilt Funds | Long-term AAA | In-house and Fund Managers | 30% | > 1 year |

4.0 **ACCOUNTING TREATMENT OF INVESTMENTS:**

- 4.1 The accounting treatment may differ from the underlying cash transactions arising from investment decisions made by this Council. To ensure that the Council is protected from any adverse revenue impact, which may arise from these differences, the accounting implications of new transactions will be reviewed before they are undertaken.
- 4.2 All forward deposits that are made will take into account the maximum maturity period limits detailed in the tables above. If a forward deposit is made, the forward period plus the deal period should not exceed one year in aggregate.

APPROVED COUNTRIES FOR INVESTMENT
Current List as at 13 January 2014

Capita Asset Services has advised that each Council should only use approved counterparties from countries with a minimum sovereign credit rating determined by the Council. This Council has determined that it will only use those countries with the highest sovereign rating of AAA. This list will be monitored at least weekly (and for information purposes only includes other sovereign ratings)

Based on lowest available rating

AAA

- **Australia**
- **Canada**
- **Denmark**
- **Finland**
- **Germany**
- **Luxembourg**
- **Norway**
- **Singapore**
- **Sweden**
- **Switzerland**

AA+

- Netherlands
- Hong Kong
- USA
- UK

AA

- Abu Dhabi (UAE)
- Qatar
- France

AA-

- Belgium
- Saudi Arabia

The treasury management policy statement & Clauses to be formally adopted

Clauses to be formally adopted

1. This organisation will create and maintain, as the cornerstones for effective treasury management:

- a treasury management policy statement, stating the policies, objectives and approach to risk management of its treasury management activities
- suitable treasury management practices (TMPs), setting out the manner in which the organisation will seek to achieve those policies and objectives, and prescribing how it will manage and control those activities

The content of the policy statement and TMPs will follow the recommendations contained in Sections 6 and 7 of the Code, subject only to amendment where necessary to reflect the particular circumstances of this organisation. Such amendments will not result in the organisation materially deviating from the Code's key principles.

2. This organisation (i.e. full council) will receive reports on its treasury management policies, practices and activities, including, as a minimum, an annual strategy and plan in advance of the year, a mid-year review and an annual report after its close, in the form prescribed in its TMPs.

3. This organisation delegates responsibility for the implementation and regular monitoring of its treasury management policies and practices to Cabinet, and for the execution and administration of treasury management decisions to the Director of Resources (S151 Officer), who will act in accordance with the organisation's policy statement and TMPs.

4. This organisation nominates Cabinet to be responsible for ensuring effective scrutiny of the treasury management strategy and policies.

The treasury management policy statement

This organisation defines its treasury management activities as:

1. The management of the organisation's investments and cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks.
2. This organisation regards the successful identification, monitoring and control of risk to be the prime criteria by which the effectiveness of its treasury management activities will be measured. Accordingly, the analysis and reporting of treasury management activities will focus on their risk implications for the organisation, and any financial instruments entered into to manage these risks.
3. This organisation acknowledges that effective treasury management will provide support towards the achievement of its business and service objectives. It is therefore committed to the principles of achieving value for money in treasury management, and to employing suitable comprehensive performance measurement techniques, within the context of effective risk management.

TREASURY MANAGEMENT SCHEME OF DELEGATION

(i) Full Council

- receiving and reviewing reports on treasury management policies, practices and activities
- approval of annual strategy and annual outturn

(ii) Cabinet

- approval of/amendments to the Council's adopted clauses, treasury management policy statement and treasury management practices (recommendations to Council)
- budget consideration and approval (recommendations to Council)
- approval of the division of responsibilities
- receiving and reviewing regular monitoring reports and acting on recommendations
- receiving and scrutinizing annual treasury management strategy, annual outturn, quarterly reports and also adhoc reports on treasury management policies, practices and activities

(iii) Audit and Governance Committee

- reviewing the treasury management policy and procedures and making recommendations to Cabinet.

(iv) Director of Resources (Section 151 Officer)

- Reviewing the treasury man management policy and procedures and making recommendations to the responsible body.
- all operational decisions are delegated by the Council to the Director of Resources who operates within the framework set out in this strategy and through the Treasury Management Policies and Practices
- Approving the selection of external service providers and agreeing terms of contract in accordance with the delegations in financial regulations

THE TREASURY MANAGEMENT ROLE OF THE SECTION 151 OFFICER

The S151 Officer

- recommending clauses, treasury management policy/practices for approval, reviewing the same regularly, and monitoring compliance
- submitting regular treasury management policy reports
- submitting budgets and budget variations
- receiving and reviewing management information reports
- reviewing the performance of the treasury management function
- ensuring the adequacy of treasury management resources and skills, and the effective division of responsibilities within the treasury management function
- ensuring the adequacy of internal audit, and liaising with external audit
- recommending the appointment of external service providers

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HAMBLETON DISTRICT COUNCIL

Report To: Cabinet
11 February 2014

Subject: 2013/14 QUARTER 3 REVENUE MONITORING REPORT

All Wards
Portfolio Holder for Support Services and
Economic Development: Councillor P R Wilkinson

1.0 PURPOSE AND BACKGROUND:

- 1.1 The purpose of this report is to update Members on the revenue budget position of the Council (revenue and reserve funds) at quarter 3, the end of December 2013.
- 1.2 The quarter 3 monitoring for the capital programme and treasury management position is contained in a separate report on this cabinet agenda.
- 1.3 This report focuses on three key areas:-
 - (a) The changes to the revenue budget
 - (b) Additional grant income received
 - (c) Reserve funds position

2.0 REVENUE BUDGET:

- 2.1 The Council set its budget on 12 February 2013 for 2013/14 at £7,691,460 in line with the approved Financial Strategy. At Cabinet on 3 September 2013, the quarter 1 revenue monitoring report revised the budget to £7,432,820. This was as a result of changes approved by cabinet and the savings review of £244,110.
- 2.2 At quarter 2, the changes of £59,570 revised the 2013/14 position only and increased the budget to £7,492,390. The approved budget at quarter 2 in accordance with the Council portfolio themes is detailed below:

| Quarter 2 | £ |
|---|------------------|
| Customer services & Asset Management | 1,547,230 |
| Housing, Planning & Waste Management | 3,698,100 |
| Leisure & Health | 1,183,040 |
| Support Services & Economic Development | 974,430 |
| Drainage Board levies | 89,590 |
| Net Revenue Expenditure | 7,492,390 |

3.0 BUDGET POSITION TO December 2013:

- 3.1 The table below sets out the impact of the financial recommendations at quarter 3 for 2013/14 budget and also compares the Budget Outlook at quarter 3 with the Financial Strategy. The changes to the 2013/14 budget are subject to Cabinet approval in this report.

| | 2013/14 £ | 2014/15 £ | 2015/16 £ | 2016/17 £ | 2017/18 £ |
|---|------------------|------------------|------------------|------------------|------------------|
| Budget Outlook – Financial Strategy approved by Cabinet 5 November 2013: | | | | | |
| | 7,492,390 | 7,721,147 | 7,279,347 | 6,893,613 | 7,022,379 |
| 2014/15 Budget Savings | - | -258,000 | - | - | - |
| Reduction in Members | - | - | -66,693 | -12,668 | - |
| Fees & Charges | - | - | -110,477 | -168,473 | -170,707 |
| Inflation | - | - | 198,536 | 202,507 | 206,557 |
| Parking Enforcement | - | - | 28,000 | - | - |
| National Insurance changes for opted out scheme | - | - | - | 150,000 | - |
| Management Review | - | -33,800 | -186,600 | -42,600 | - |
| New Homes Bonus - Top slice reduction | - | - | -248,500 | - | - |
| Business Rate Pooling | - | -150,000 | - | - | - |
| Changes to be approved by this Cabinet: | | | | | |
| Customer services & Asset Management | 27,750 | - | - | - | - |
| Housing, Planning & Waste Management | 62,330 | - | - | - | - |
| Leisure & Health | 85,570 | - | - | - | - |
| Support Services & Economic Development | -48,410 | - | - | - | - |
| Budget Outlook Quarter 3 | 7,619,630 | 7,279,347 | 6,893,613 | 7,022,379 | 7,058,229 |
| Financial Strategy Target | 7,691,460 | 7,463,147 | 7,399,725 | 7,334,718 | 7,268,086 |
| (Surplus) / Shortfall | (71,830) | (183,800) | (506,112) | (312,339) | (209,587) |

- 3.2 The recommended changes to the 2013/14 budget in quarter 3 total an increase to the budget of £127,240. The main increases are seen in Leisure Services at £69,680 in relation to the capital improvement works resulting in reduced income during this period and also £39,790 in relation to a reduction in planning fees income received. These budget changes are one off and effect 2013/14 financial year only. The following paragraphs provide more detail of the budget changes in each portfolio theme.
- 3.3 **Customer Services & Asset Management** – the increase of £27,250 is mainly due to changes in the income forecast for off-street car parking. Lower than anticipated income at car parks is a reduction of £14,000 and a decrease in the number of car parking permits sold is a reduction of £12,000.
- 3.4 **Housing, Planning & Waste Management** – the increase of £62,330 is due to changes to the budget forecast in operational services, planning, vehicle transport costs, homelessness prevention and the building control partnership.
- 3.5 In operation services, waste collection, recycling and street scene contribute to a fall in income of £34,040. Also in operational services increased budget of £12,000 is required for new protective clothing under Health & Safety Legislation.

- 3.6 In planning, reduced planning fee income of £60,000 is estimated but this is offset by increased income charges received relating to S106 funds and consultancy fees recovered from planning applications, resulting in an increase of £39,790.
- 3.7 Vehicle transport costs have decreased by £30,000 as new vehicles have been purchased later in the financial year than originally anticipated.
- 3.8 In homelessness prevention there is a small reduction of £3,500 as a grant to Key House will not occur in 2013/14.
- 3.9 The building control partnership is funded by five district council where Hambleton District Council is one of those five members. The partnership is budgeted for on an annual basis and continues as a going concern. When the partnership does not break even, each of the Councils contributes additional funding. In 2013/14, this additional contribution is estimated at £10,000.
- 3.10 **Leisure & Health** – the increased budget requirement of £85,570 relates to a £69,680 forecast loss of income in the Leisure Centres – Stokesley, Thirsk and Bedale – whilst the capital improvement works are being completed and £15,890 in Hambleton Leisure Centre for a loss of income due to reduced membership and lower swimming numbers.
- 3.11 The capital improvement works were carried out in December 2013, when the Leisure Centres are forecast to be used less frequently, to reduce the potential loss of income as much as possible. It is calculated that the capital improvement works made to the three Leisure Centres valued at £562,729 will enhance the use of the Leisure Centres in the coming years. It is estimated that this loss in income will be recouped over 2 year period. This has already been taken into account when forecasting the budget for 2014/15 and beyond.
- 3.12 The further loss of income from Hambleton Leisure Centre of £15,890 is due to the continued lack of use of the leisure Centre for both membership and swimming. As explained at quarter 2 monitoring there is a national decline of swimming participation where the impact is greater at Hambleton Leisure Centre than first anticipated. In addition membership has fallen in connection with the local economic environment and the closure of 2 major local employers in the area– Rural Payments Agency and Northallerton Prison.
- 3.13 **Support Services and Economic Development** – the reduction in the budget of £48,410 is largely due to three main factors. An increase in income received of £15,330 from letting out a larger number of the Workspaces than originally forecast and therefore a reduction to the budget of £11,580 as increased occupancy at the Workspaces results in less vacant property costs being the responsibility of the Council. The Capital scheme to develop further car parking at Evolution site is still under negotiation and therefore £8,000 rent cost has not been incurred. In addition, salary savings of £12,070 in Business & Community and £3,000 in legal also contribute to the budget decrease.
- 3.14 The revised changes to the budget at quarter 3 are in the recommendations section of this report for approval by Cabinet and Council.

4.0 SENSITIVITY ANALYSIS:

- 4.1 Further to the recommended changes to the budget in this quarter 3 monitoring report, this report also highlights where there are areas of budget uncertainty. Annex A attached details this sensitivity analysis. At this time there is too much uncertainty surrounding these figures to included them as an adjustment to the budget but this information can give members early warning of possible issues that may arise in the future. All areas will continue to be monitored closely and an update provided at Outturn.

5.0 OTHER MATTERS – GRANTS:

- 5.1 The following grants and contributions have been received by the Council since the Quarter 2 Revenue Monitoring report and have been paid into the One Off Fund reserve:

| Description | Amount £ |
|--|---------------|
| Planning income from S106 Case – Barker-v-Hambleton District Council | 31,000 |
| Total Income at Quarter 3 | 31,000 |

6.0 RESERVE FUNDING:

- 6.1 The position of the reserves fund programme at quarter 3 for 2013/14 is detailed below.

6.2 One Off Fund

The balance on the one off fund at the beginning of quarter 3 is £1,408,653. In Quarter 3, to December 2013, income of £31,000 was received into the one-off fund and can be seen in paragraph 5.1 above. Income to be removed from the one off fund totalled £71,636 mainly due to homelessness Government grant not being received separately from Government support grant. Further movements on the one off fund have already been approved in specific Cabinet reports. The one off fund movements are detailed in the table below.

| Movement 2013/14 to / from One-Off Fund | Amount | Cabinet Approval |
|--|----------------|------------------|
| Balance Brought Forward on One Off Fund | 1,408,653 | |
| ADD: Income from S106 case | 31,000 | |
| LESS: Income to be removed from the One Off Fund | | |
| Homelessness Grant no longer received from Government | 71,067 | To Be Approved |
| Adjustment to transfer in quarter 2 from Strategic Partnership reserve | 570 | To Be Approved |
| | | |
| LESS: Funds approved in previous Cabinet reports | 657,407 | |
| Balance Carried Forward on the One Off Fund | 710,609 | |

- 6.3 If cabinet approves the recommended movements in this report the balance on the One Off fund will be £710,609.

6.4 Council Tax Payers Reserve

The movement on the Council tax payers reserve in 2013/14 will be an increase of £63,000, to £8,509,927. This is lower than originally anticipated by £155,000 due to the fall in investment income earned this year as explained at quarter 2.

6.5 Revenue Grants Fund

The balance at the beginning of 2013/14 was £412,575, at quarter 3 £83,036 of funding has been committed, where £45,700 has been committed on an ongoing basis and £37,336 has been allocated for 2013/14 only. Originally £46,690 was allocated on an ongoing basis but £1,240 has been returned to the Grants Fund as Welcome to Yorkshire is now being funded through revenue. It is anticipated that further grants will be distributed during quarter 4 2013/14 up to £100,000 in line with the Financial Strategy 2014/15 approved at Cabinet 5 November 2013.

6.6 Strategic Forum Reserve

The Hambleton Strategic Partnership Reserve was merged with the Strategic Forum Reserve at quarter 2 with a balance of £14,544. The total reserve has been allocated to grants for the Community.

6.7 New Homes Bonus Reserve

The balance brought forward at the beginning of 2013/14 on the new homes bonus reserve was £743,884. During quarter 3, £83,000 has been allocated to the review relating to Empty Properties. This is beneficial to the Council as it will increase the new homes bonus allocation in future years, well in excess of this cost.

6.8 Other Reserves

There has been no movement on the other reserves held by the Council at quarter 3 2013/14 and the balances are as follows: Community Safety Reserve £71,499 and the Capital Fund £3,865,178.

7.0 LINK TO COUNCIL PRIORITIES:

7.1 The monitoring of the financial budget throughout the year and reporting the financial year end position assists in ensuring the Council's service requirements are met and contributes to the achievement of the priorities set out in the Council Plan.

8.0 RISK ASSESSMENT:

8.1 Risk in not approving the recommendation

| Risk | Implication | Prob* | Imp* | Total | Preventative action |
|---|--|--------------|-------------|--------------|---|
| The Council spends significantly above the financial strategy | The ability of the Council to continue to provide and improve services is seriously affected | 4 | 5 | 20 | Undertake a review of budgets and report back to Cabinet with proposals |
| Budgets are not updated | The Council is unable to control its spend or redirect resources to priority areas. | 3 | 5 | 15 | Continue with regular budget and efficiency monitoring with regular reports to Chief Officers Management Team and Members |

Prob = Probability, Imp = Impact, Score range is Low = 1, High = 5

9.0 FINANCIAL IMPLICATIONS:

9.1 The financial implications are dealt with in the body of the report.

10.0 LEGAL IMPLICATIONS:

10.1 It is a legal requirement under s25 of the Local Government Act 2003 to set a balance budget and monitor the financial position throughout the year.

11.0 EQUALITY/DIVERSITY ISSUES:

11.1 There are no specific equality implications to this report.

12.0 RECOMMENDATIONS:

12.1 It is recommended that Council approve:

- (1) the budget adjustments at paragraph 3.2 which total a budget increase of £127,240, to £7,619,630 in 2013/14;
- (2) income of £71,637 to be removed from the one-off in relation to the homelessness grant no longer received as detailed in paragraph 6.2;
- (3) allocation of £83,000 from the new homes bonus reserve for the empty properties review as detailed in paragraph 6.7
- (4) all movements in the reserves be noted as detailed in paragraphs 6.2 to 6.6.

JUSTIN IVES

Author ref: LBW

Contact: Louise Branford-White
Corporate Finance Manager
Direct Line No: 01609 767024

Background papers: Budget Monitoring Q3 working papers

110214 201314 Q3 Revenue Monitoring+AnnexA

Budget 2013/14 Sensitivity Analysis – potential savings / costs

| Portfolio Area | Area of Sensitivity | Commentary |
|---|----------------------|---|
| Housing, Planning & Waste Management | Vehicle charges | An increase in the fluctuation of fuel prices will impact on the budget. |
| | Planning Fees | There is potential a further shortfall in planning fees to be received, this will be closely monitored. At quarter 3 planning fees have been reported as a £60,000 shortfall. |
| Support Services & Economic Development | Revenues & benefits | Possible under spend due to the repatriation of the service on 1 January 2014. Definitive figure will be known when costs have been finalised and re-allocated. |
| | Housing Benefits | There continues to be an increase in the number of new or changed claims being received resulting in increased benefit payments. Whilst most of this additional cost will be met from increased benefit subsidy, the budget is so large that a small increase in percentage terms can lead to a large amount in monetary terms. |
| | Council Tax Benefits | Potential Net Overspend due to the changes in the Council Tax benefit scheme. Position will be finalised at year end on completion of the collection fund. |

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HAMBLETON DISTRICT COUNCIL

Report To: Cabinet
11 February 2014

Subject: 2013/14 Q3 CAPITAL MONITORING AND TREASURY MANAGEMENT MID
YEAR REVIEW REPORT

All Wards
Portfolio Holder for Support Services and
Economic Development: Councillor P R Wilkinson

1.0 PURPOSE AND BACKGROUND:

- 1.1 The purpose of this report is to provide Members with the quarter 3 update at 31 December 2013 on the progress of the capital programme 2013/14 and the treasury management position. A full schedule of the capital programme 2013/14 schemes is attached at Annex A, together with the relevant update on progress of each scheme.
- 1.2 Capital expenditure is intrinsically linked with treasury management as the way that the capital programme is funded, directly effects the treasury management arrangements of the Council. This Council currently does not borrow for a capital purpose; instead capital expenditure is funded by grants, capital receipts and reserves. The use of the Council's funds affects the daily treasury management cash flow position, the requirement to investment these surplus funds and the income earned.

2.0 CAPITAL PROGRAMME SUMMARY:

- 2.1 The capital programme for 2013/14 approved by Cabinet before the beginning of the financial year was £1,985,500. In July 2013, Cabinet approved the £709,364 capital schemes to be rolled forward from 2012/13 to be added to the 2013/14 capital programme, therefore totalling £2,694,864. At quarter 1, on 3 September 2013, Cabinet approved the revisions to the capital programme to £2,711,639 and at quarter 2 the 2013/14 capital programme approved by Cabinet on 3 December 2013 was revised down to £2,616,899.
- 2.2 At quarter 3, a net decrease to the capital programme of £136,299 is detailed that results in a revised capital programme budget of £2,480,600.
- 2.3 The net decrease of £136,299, to be approved in this report, is made up of:-
(a) increase in expenditure of £2,700 to be supported from Council reserves;
(b) decrease in scheme expenditure of £48,999.
(c) reduction in scheme expenditure of £90,000, as works now completed by third party
- 2.2 Table 1 below outlines the variances reported against each portfolio area.

| Portfolio | Current Approved Expenditure Q2 £ | Revised projected Outturn Q3 £ | Variance Increase/ (decrease) £ | Budget Movement £ | Request for additional funding £ | Funding no longer required £ |
|---|--------------------------------------|-----------------------------------|------------------------------------|----------------------|-------------------------------------|---------------------------------|
| Housing, Planning and Waste Management | 474,555 | 411,201 | (63,354) | (19,000) | | (44,354) |
| Leisure and Health | 883,607 | 867,619 | (15,988) | (15,000) | | (988) |
| Customer Services and Asset Management | 598,319 | 527,362 | (70,957) | (71,000) | 2,700 | (2,657) |
| Support Services and Economic Development | 660,418 | 659,418 | (1,000) | | | (1,000) |
| Corporate | 0 | 15,000 | 15,000 | 15,000 | | |
| Total | 2,616,899 | 2,480,600 | (136,299) | (90,000) | 2,700 | (48,999) |

Table 1: Capital Programme Quarter 3 2013/14

2.3 To 31 December 2013 capital expenditure of £1,085,693 had been incurred or committed representing 42% of the revised quarter 3 capital programme position. Large schemes in the capital programme have been tendered during October / November, with capital works occurring during December 2013. Therefore, these schemes and other schemes are on target to complete during quarter 4 of 2013/14.

2.4 The proposed changes to the Capital Programme, detailed for each of the 4 portfolio areas, are attached at Annex B.

3.0 **FUNDING THE CAPITAL PROGRAMME:**

3.1 The funding resources available for the ten year period from 2013/14 to 2022/23 at 31 March 2013, as included in the Statement of Accounts 2012/13, was £8,509,070. Additional capital grant income will be received over the next 10 years from Government and other contributions but the current total funding position is shown below:-

| | |
|---------------------|------------------|
| | £ |
| Capital Receipts | 4,567,306 |
| Capital Grants | 76,586 |
| Capital Fund | <u>3,865,175</u> |
| Total 31 March 2013 | 8,509,070 |

3.2 For 2013/14, at quarter 3, the capital programme of £2,480,600 is being funded from £328,717 external grants/contributions and £2,151,883 from reserves. At year end in accordance with accounting practice the funds will be used from the capital receipts, unapplied grants or capital fund reserves.

3.3 The position regarding spending and resources for the 10 year capital plan is as follows:-

| | |
|---|------------------|
| | £ |
| Total 10 Year Funding at 1 April 2013 (as above) | 8,509,070 |
| Add: 2013/14 anticipated capital receipts | 560,000 |
| Add: 2013/14 anticipated Capital Grants | 328,717 |
| Less: 2013/14 anticipated spend at Q2 | <u>2,480,600</u> |
| Total 31 March 2014 | 6,917,187 |
| Add: Future years capital receipts | 2,222,000 |
| Add: Future years grant income | 1,668,000 |
| Add: Future years revenue contribution | 200,000 |
| Add: Future Transfer from Council tax payers reserve to Repairs & maintenance & Computer Fund | 5,981,022 |

| | |
|--|------------------|
| Less: Repairs expenditure 2014/15 – 2023/24 | 5,013,155 |
| Less: Capital Plan spend 2014/15 - 2023/24 (Approved Cabinet 3 December 2013) | <u>8,569,000</u> |
| Remaining Resources | 3,406,054 |

3.4 The overall funding position continues to be closely monitored to ensure the overall capital programme remains affordable and sustainable over the 10 year approved capital plan. The 10 year capital plan 2014/15 to 2023/24 was approved by Cabinet on 3 December 2013.

4.0 TREASURY MANAGEMENT QUARTER 3 UPDATE 2013/14:

4.1 The Treasury Management quarter 3 update 2013/14 is attached at Annex C and provides Members with an update on the:-

- (a) treasury management legislative requirement
- (b) economy and interest rates
- (c) investment strategy
- (e) borrowing position
- (f) Compliance with prudential and treasury indicators

4.2 The investment portfolio at quarter 3 was £26,330,000 with an average interest rate return of 0.77%. For surplus funds invested for 3 months or more, a return of 0.80% was achieved which was 0.40% greater than the 3 month benchmark at 0.40%.

4.3 The economic and interest rate environment, where the base rate continues to at an historic low of 0.5%, continues to result in interest rates being earned on the Council's surplus funds being relatively low. The income earned on surplus funds for 2013/14 is estimated at £300,000.

4.4 To ensure that the Council is proactive in the area of treasury management the Council has joined Capital Asset Services (the Council's investment advisors) regional benchmarking club. This compares Hambleton District Council's investment portfolio position to other District Councils. At the end of September, the average return on the Council's investment portfolio was 0.80%, this compares with an average for other District Council's of 0.78%. By the end of December 2013, comparative data from other Councils was not available at the time of writing the report and will be reported at the next available opportunity.

4.5 The Council remains debt free; no borrowing has been taken in 2013/14.

4.6 The Council has operated within the treasury and prudential indicators set out at Annex E. The Director of Resources – S151 Officer - confirms that the approved limits within the Annual Investment Strategy were not breached during the first six months of 2013/14.

4.7 It should be noted that the Council's treasury management advisors changed their name from Sector to Capital Asset Services in September 2013. The contract between the Council and Capita Asset Services remains the same, with the contract arrangements to be reviewed in March 2015.

5.0 LINK TO COUNCIL PRIORITIES:

5.1 All schemes approved as part of the capital programme have been evaluated against key corporate priorities. Schemes are only undertaken and approved by cabinet in accordance with the Council Plan and supporting project initiation documentation.

5.2 Treasury Management supports all aspects of the Council's priorities as with good management of surplus funds, investment interest earned can be used to support Council services.

6.0 RISK ASSESSMENT:

6.1 There are two main risk associated with the capital programme and treasury management:-

| Risk | Implication | Prob | Imp | Total | Preventative action |
|--|--|------|-----|-------|--|
| Capital budgets are not monitored, expenditure is above budget and the funding position is unknown | The Council is unable to control capital expenditure or redirect resources to priority areas | 3 | 5 | 15 | Continue with regular budget monitoring with regular reports to Chief Officers, Management team and Members |
| Treasury management investment of surplus funds occurs with unsound institutions | The value of the investment could be lost | 3 | 5 | 15 | Use of treasury management advisers, good investment creditworthiness rating criteria policy approved by Council and regular monitoring reporting to Members |

Prob = Probability, Imp = Impact, Score range is Low = 1, High = 5

6.2 There are no risks associated with approving this report. However, the risks associated with not receiving regular monitoring reports are potentially more serious.

7.0 FINANCIAL IMPLICATIONS:

7.1 The financial implications are dealt with in the body of the report.

8.0 LEGAL IMPLICATIONS:

8.1 Treasury Management activities and the Capital programme conform to the Local Government Act 2003 and the Council has adopted the Chartered Institute of Public Finance and Accountancy (CIPFA) Prudential Code and the CIPFA Treasury Management Code of Practice.

9.0 EQUALITY/DIVERSITY ISSUES:

9.1 The capital programme seeks to address key equality issues that affect the Council and the public. The main scheme that specifically addressed equalities in the capital programme 2013/14 is the disabled facilities grant scheme.

10.0 RECOMMENDATIONS:

10.1 It is recommended that Council:-

- (1) approve the net decrease of £136,299 in the capital programme to £2,480,600 and the detailed capital programme attached at Annex A;
- (2) approve the movements in the capital programme detailed in Annex B and below:-
 - (a) increase in expenditure of £2,700 to be supported from Council reserves;
 - (b) decrease in expenditure of £48,999, reduction in Council funding

- (c) reduction in scheme expenditure of £90,000, works completed by third party
- (3) approve the Capital Funding position and available reserve to support further capital schemes over the next 10 years at £3,406,054;
 - (4) approve the treasury management activity at Annex C and that there were no changes to the investment criteria at quarter 3;
 - (5) approve the prudential and treasury indicators at Annex E and that there were no changes at quarter 3

JUSTIN IVES

Background papers: None

Author ref: LBW

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Direct Line No: 01609 767024

110214 201314 Q3 CapitalMonitoring+TreasuryManagement+AnnexesBCD

| Capital Programme Schemes 2013/14 (including 2012/13 schemes B/Fwd) | | | | | | | | | | | ANNEX A |
|---|---|---------------------------------|--------------------------|---------------------|-------------------------|---------------------------|-----------------|---|---------------------------|--|---------|
| Title: | Original Approved Expenditure 13/14 including Schemes Rolled Fwd from 2012/13 | Current Approved Expenditure Q2 | Third Party Contribution | Cost to the Council | Expenditure at 31/12/13 | Anticipated Expenditure £ | Variance | Change in Funding Taken/(Returned) to Capital Reserve | Estimated completion date | Explanation | |
| | £ | £ | £ | £ | £ | £ | £ | £ | | | |
| Housing, Planning and Waste Management | | | | | | | | | | | |
| Domestic Violence Refuge | 121,000 | 120,928 | 0 | 120,928 | 120,928 | 120,928 | 0 | 0 | | | |
| Purchase of bins and boxes for refuse and recycling | 36,000 | 36,000 | 0 | 36,000 | 11,608 | 36,000 | 0 | 0 | Ongoing | Orders have been placed. Budget to be spent by end of March | |
| Disabled Facilities Grants | 183,910 | 242,627 | 158,717 | 83,910 | 70,075 | 198,273 | -44,354 | -44,354 | Ongoing | Committed expenditure of £49,000 with a further commitment of £77,800., Delay in work due to staffing issues with the Home Improvement Agency. | |
| Depot wash bay | 18,000 | 18,000 | 0 | 18,000 | 0 | 18,000 | 0 | 0 | 28/02/14 | Design work in progress, works to complete by March 2014 | |
| Central depot external lighting improvements | 8,000 | 8,000 | 0 | 8,000 | 3,249 | 8,000 | 0 | 0 | 28/02/14 | Orders placed, scheme ongoing. | |
| Central depot door improvements | 15,000 | 15,000 | 0 | 15,000 | 12,688 | 15,000 | 0 | 0 | 17/09/13 | Completed/Awaiting Invoices | |
| Vehicle workshop adaptations | 25,000 | 25,000 | 10,000 | 15,000 | 11,210 | 15,000 | -10,000 | -10,000 | 28/02/14 | Work commenced. Capital expenditure decreased by £10,000 as works on the capital projected to be completed by third party not by Hambleton District Council. | |
| Waste and Street Scene Clocking System | 9,000 | 9,000 | 0 | 9,000 | 0 | 0 | -9,000 | -9,000 | 31/06/2014 | Project approved at Q1 and currently ongoing. Specification and different system's being reviewed. Project to roll forward into 2014/15. | |
| Total Scheme Value Housing, Planning and Waste Management | 406,910 | 474,555 | 168,717 | 305,838 | 229,758 | 411,201 | (63,354) | (53,354) | | | |
| Leisure and Health | | | | | | | | | | | |
| Pool Filters SLC & BLC | 125,000 | 109,271 | 109,271 | 0 | 30,474 | 90,271 | -19,000 | 0 | 31/03/14 | Work completed in December has come under budget by £19,000. (At Q2 Cabinet approved an under spend of £15,279 in accordance with tender documents). Therefore at Q3, £15,000 is to be used to fund overspend on Bedale Leisure Centre improvement scheme and £4,000 on Stokesley Leisure Centre. | |
| Plant Tiles BLC | 47,039 | 47,039 | 47,039 | 0 | 26,807 | 26,807 | 0 | 0 | 30/09/13 | Work to be completed in March 2014 | |
| Plant Controls & Air Handling | 26,807 | 26,807 | 26,807 | 0 | 26,807 | 26,807 | 0 | 0 | 30/09/13 | Complete, overspend reported at Q2 | |
| Combined Heat & Power Unit SLC / BLC / TSP | 70,761 | 70,761 | 70,761 | 0 | 69,773 | 69,773 | -988 | -988 | 30/06/13 | Complete, underspend to be returned to the reserve at Q3 | |
| Gym equipment refresh | 24,000 | 24,000 | 0 | 24,000 | 0 | 24,000 | 0 | 0 | 31/03/14 | Orders placed, scheme ongoing | |
| Air conditioning - Legislative requirement | 15,000 | 15,000 | 0 | 15,000 | 0 | 15,000 | 0 | 0 | 31/10/13 | Scheme Moved to Corporate Section Below | |
| Hambleton leisure centre dehumidifier | 9,000 | 9,000 | 0 | 9,000 | 0 | 9,000 | 0 | 0 | 31/12/13 | Work completed, awaiting invoices | |
| Hambleton and Stokesley leisure centres - changing room tiles | 10,000 | 10,000 | 0 | 10,000 | 388 | 10,000 | 0 | 0 | 31/12/13 | Work completed December 2013, awaiting invoices | |
| Thirsk and Sowerby leisure centre improvement scheme | 250,000 | 250,000 | 160,000 | 90,000 | 2,000 | 250,000 | 0 | 0 | 31/12/13 | Work completed December 2013, awaiting invoices | |
| Bedale leisure centre improvement scheme | 240,000 | 120,000 | 120,000 | 0 | 5,497 | 135,000 | 15,000 | 0 | 31/03/14 | Work to be carried out in February 2014. Works forecast to be overspent by £15,000, due to issues discovered when removing the floor. This is suggested to be covered by the underspend from the Bedale Leisure Centre Pool Filters. At Q2, Works to Flood lit pitch of £120,000 were approved to be rolled forward into 2014/15 as matched funding of £80,000 to be received next year. Work carried out in December. Overspend of £4,000 due to unforeseen works to be carried out to the floor, to be funded from underspend on Pool Filtration Scheme. At Q2, overspend of £15,729 reported and also funded from Pool Filtration Scheme under spend. | |
| Stokesley leisure centre improvement scheme | 158,000 | 173,729 | 0 | 173,729 | 20,850 | 177,729 | 4,000 | 0 | 31/12/13 | Scheme. At Q2, overspend of £15,729 reported and also funded from Pool Filtration Scheme under spend. | |
| Hambleton leisure centre PA system | 8,000 | 8,000 | 0 | 8,000 | 0 | 8,000 | 0 | 0 | 31/12/13 | Work completed, awaiting invoices | |
| Hambleton LC Improvement Scheme | 20,000 | 20,000 | 0 | 20,000 | 2,465 | 20,000 | 0 | 0 | Ongoing | Preliminary work on development of Hambleton Leisure Centre, partial scheme in 2014/15 b/fwd into 2013/14 at quarter 1 | |
| Total Scheme Value Leisure and Health Services | 982,800 | 883,607 | 160,000 | 723,607 | 188,254 | 867,619 | -15,988 | -988 | | | |
| Customer Services and Asset Management | | | | | | | | | | | |
| Car Parks - Thirsk Cobbles | 76,250 | 80,105 | 0 | 80,105 | 80,105 | 82,805 | 2,700 | 2,700 | 30/06/13 | Complete - Overspend £3,855 reported and approved at Q1. In addition £2,700 in relation to retention to be paid in 2014/15 requires approval at Q3 to be taken from the capital reserve | |
| Car Parks - Thirsk Cobbles | | 25,000 | 0 | 25,000 | 0 | 25,000 | 0 | 0 | 31/03/14 | Bring partial funding forward from 2014/15 capital programme to commence works in 2013/14, approved at Q2 | |
| Car Parks - Reinstatements | 47,890 | 51,000 | 0 | 51,000 | 51,000 | 51,000 | 0 | 0 | 30/06/13 | Complete - Overspend of £3,110 reported and approved at quarter 1 | |
| Car Parking Charges - Directional Signs | 6,510 | 6,510 | 0 | 6,510 | 6,475 | 6,475 | -35 | -35 | 30/06/13 | Work Completed, slight underspend to be returned to the capital reserve | |
| Adoptions - Northallerton Thurston Rd | 130,037 | 129,490 | 129,490 | 0 | 129,490 | 129,490 | 0 | 0 | 31/07/13 | Work Completed - no retention - adoption sent back to NYCC and underspend reported at Q2 | |
| Ellerbeek Court, Stokesley Adoption Works | 73,645 | 73,645 | 73,645 | 0 | 9,800 | 73,645 | 0 | 0 | 31/03/14 | Work on-site complete, NYCC have confirmed works are satisfactory, await adoption certificate from NYCC. At this time invoices will be paid | |
| Car Park tariff changes | 15,500 | 15,500 | 0 | 15,500 | 14,639 | 14,639 | -861 | -861 | 31/10/13 | Work Complete, underspend returned to the capital reserve | |

PROPOSED CHANGES TO THE CAPITAL PROGRAMME:

- 1.1 The proposed changes to the capital programme, detailed for each of the portfolio areas are listed below:-
- 1.2 Housing, Planning and Waste Management – 2 schemes require adjustments at Quarter 3:-
- (a) Disabled Facilities Grant – This scheme has been revised down at quarter 3 to spend £198,273 using a Government grant of £158,717. The under spend is due to staffing issues at the home improvement agency and therefore £44,354 of funding will be returned to the Council's reserve.
 - (b) Vehicle Workshop Adaptations - £10,000 of capital expenditure is to be completed and paid for by a third party. Therefore the Capital expenditure of the scheme will decrease from £25,000 to £15,000 but there is no change in the funding position as the third party was always a contributor.
 - (c) Waste and Street Scene Clocking System - £9,000 is to be transferred into 2014/15 at the end of the financial year. A variety of systems are being reviewed to achieve the optimal solution for the Council and the tender specification is being finalised.
- 1.3 Leisure & Health – 5 schemes have changed at Quarter 3:-
- (a) Pool Filters at Stokesley and Bedale Leisure Centres – The works completed on this scheme in December 2013 have resulted in a further under spend of £19,000 to £90,271. It should be noted that £15,000 is to be used to fund the over spend for the Bedale Leisure Centre improvement scheme and £4,000 for the improvement scheme at Stokesley Leisure Centre. Details are below. (At quarter 2 the scheme was reduced by £15,729 to £109,271 due to the tender receive having lower costs than estimated).
 - (b) Combined Heat & Power Units at Stokesley, Bedale and Thirsk Leisure Centres – The scheme has completed on time and under budget by £988. These funds will be returned to the capital reserve.
 - (c) Air Conditioning Legislative Requirement – This scheme is in the capital programme on an ongoing basis. In 2013/14 it was planned to complete works in Leisure Services, however urgent works were completed elsewhere. This scheme covers all 4 portfolio areas and therefore a new Corporate area of the Capital programme has been created. Further details are seen below at paragraph 1.6(a).
 - (d) Bedale Leisure Centre Improvement Scheme – The Scheme at £120,000 is estimated to overspend by £15,000 due to issues that were discovered when the floor was removed. The increase expenditure is proposed to be funded from part of the under spend from the Pool Filters schemes as detailed above in 1.4(a).
 - (e) Stokesley Leisure Centre Improvement Scheme – The scheme at £173,729 is estimated to overspend by £4,000 due to unforeseen works to be carried out to the floor. It is proposed that the required funds of £4,000 be transferred from the under spend on the Stokesley Leisure Centre Pool Filters scheme, as described above in 1.4(a).
- 1.4 Customer Services and Asset Management – 4 schemes require to be adjusted at quarter 3:-

- (a) Car Parks – Thirsk Cobbles – The scheme has completed and £2,700 will potentially be paid in 2014/15 for retention related costs. Funds need to be approved from the capital reserve.
 - (b) Car Parks – Reinstatements – This scheme has come under budget by £35 and will be returned to the capital reserve.
 - (c) Car Park Tariff Changes – This scheme has come under budget by 5% and £861 will be returned to the capital reserve.
 - (d) CCTV Control Room Upgrade – This scheme has completed 17% under budget and £1,761 will be returned to the capital reserve.
 - (e) CCTV Control Room Upgrade – Wireless Network - £71,000 is to be transferred into 2014/15 at the end of the financial year. The business case continues to be developed and cost proposals are waited to be received.
- 1.5 Support Services and Economic Development – 1 scheme has changed at quarter 3:
- (a) Thirsk New Tourist Information Centre (TIC) – £2,000 has been paid for retention works after discussion with the third party, thereby returning £1,000 to the capital reserve.
- 1.6 Corporate scheme – 1 scheme has been included at quarter 3:-
- (a) Air Conditioning Legislative Requirement – This scheme is in the capital programme on an ongoing basis. In 2013/14 it was planned to complete works in Leisure Services, however due to urgent works required in ICT, the £15,000 of funding has been used for this purpose at a cost of £14,467. The scheme has been moved to a new Corporate area as this capital project covers all 4 portfolio areas. The works in Leisure Services may commence later in this financial year when further funding will be brought forward from 2014/15. Therefore the scheme remains estimated to expend £15,000 this year.
- 1.7 Capital schemes are monitored on a monthly basis and reported to Cabinet quarterly, ensuring that the majority of schemes are held within budget or reported to Council at the earliest opportunity.
- 1.8 New Schemes added to the capital programme all have supporting Project Initiation Documentation to ensure projects are affordable, sustainable and prudent.

TREASURY MANAGEMENT POSITION 2013/14 – QUARTER 1**1.0 LEGISLATIVE REQUIREMENT:**

- 1.1 The CIPFA (Chartered Institute of Public Finance and Accountancy) Code of Practice for Treasury Management recommends that members be updated on treasury management activities regularly (Treasury Management Strategy Statement, Annual and Mid-year reports, as well as quarterly updates). This report therefore ensures this Council is implementing best practice in accordance with the Code.
- 1.2 The regulatory environment places responsibility on members for the review and scrutiny of treasury management policy and activities. This quarter 3 report therefore updates Members on the current treasury management position
- 1.3 The Council's capital expenditure plans at quarter 3 continue to be financed by either external grants or contributions, capital receipts received in the year or capital reserves. The changes in the capital expenditure plans as detailed in the first half of this report are not financed by borrowing and therefore there is no affect on the Council's underlying need to borrow.
- 1.4 In 2013/14 the Council's treasury position (excluding finance leases) is to continue to be debt free. No borrowing has been taken in 2013/14 to date.
- 1.5 The capital financing requirement, which is the amount of borrowing required to support the capital expenditure programme, is zero for this Council. All capital expenditure as detailed in the paragraphs above is supported from grants, contributions and reserves. The following table shows the treasury management position as at 31 December 2013:-

| | 31 Dec 13 £m | Rate % |
|--------------------------------------|-------------------------|-------------------|
| Capital Financing Requirement | 0 | 0.0 |
| Borrowing | 0 | 0.0 |
| Investments | 26.330 | 0.77 |

Table 1: Borrowing and Investment position at 31 December 2013

- 1.6 The table shows that changes in the capital expenditure programme only affects the treasury management position through the surplus funds that are available to the Council to invest, to earn investment income.

2.0 THE ECONOMY, INTEREST RATES AND TREASURY MANAGEMENT STRATEGY:

- 2.1 The economic background, interest rate forecast and summary outlook, which sets the environment in which the Council's treasury management operates is attached at Annex D.

3.0 ANNUAL INVESTMENT STRATEGY 2013/14 –QUARTER 3:

- 3.1 **Investment Policy** – the Council's investment policy is governed by the Department for Communities and Local Government guidance, which was implemented in the Treasury Management Strategy Statement (TMSS) for 2013/14, and includes the Annual Investment Strategy approved by Cabinet on 19 March 2013. This Policy sets out how surplus funds are invested and placed with highly credit rated financial institutions, using Capita Asset Services' suggested credit-worthiness approach. This includes the use of Country

sovereign credit ratings as well as individual financial institution credit ratings and Credit Default Swap (CDS) overlay information provided by Capita Asset Services .

3.2 The Treasury Management Strategy Statement sets out the Council's investment priorities as being:-

- Security of capital;
- Liquidity; and
- Yield

3.3 The Council's priority is security of its surplus funds when investing with financial institutions. However the Council will always aim to achieve the optimum return (yield) on investments commensurate with proper levels of liquidity and of course security.

3.4 **Investments held by the Council** - in the current economic climate it is considered appropriate to keep all investments short term to cover cash flow needs, but also seek out value available in even though core cash funds were available for investment for more than one year. This is due to the continued uncertainty in the market and security being of prime importance. The investments cover cash flow needs but also seek out value available in higher interest rates in periods up to 12 months.

3.5 Investment rates available in the market have continued at historically low levels with the base rate remaining at 0.5% since March 2009. Investment rates have continued to fall during the third quarter of 2013/14 as a result of the Funding for Lending Scheme introduced by the Government and described at Annex D in the economic background and Interest rate review.

3.6 The average level of funds available for investment purposes during quarter 3 was £30,704,291. The level of funds available was mainly dependent on the timing of precept payments, receipt of grants and progress on the Capital Programme. The Council held core cash balances of £26,000,000 and £330,000 cash flow movement balances. Total investment balance at 31 December 2013 was £26,330,000.

3.7

| Benchmark | Benchmark Return | Council Performance | Investment Interest Earned |
|------------------|-------------------------|----------------------------|-----------------------------------|
| 7 day | 0.35% | 0.65% | £29,848 |
| 3 month | 0.40% | 0.80% | £207,598 |

Table 2: Investment performance for quarter 3 – latest information 31 December 2013

3.8 The table shows that the Council monitors its core cash against 3 month LIBID – London Inter bank Investment Rates – and its cash flow investments against the 7 day rate. The Council outperformed the 3 month benchmark by 0.40% and the 7 day benchmark by 0.30%.

3.9 The Council's budgeted investment return for 2013/14 was revised at quarter 2 and approved in the Q2 Revenue Monitoring report to £300,000. Performance for investments interest earned at quarter 3 for the first nine months of 2013/14 was £237,446. This return at quarter 3 2013/14 is in line with the revised budget.

4.0 BORROWING 2013/14 –QUARTER 3:

4.1 The following borrowing information is provided to ensure Members are updated with the interest rates available for borrowing and are kept informed with regards to the current position. Capita Asset Services – the Council’s treasury management advisers – 25 year Public Works Loans Board (PWLB) target rate for new long term borrowing for the quarter remained at 4.40%.

4.2 The table below shows the Public Works Loans Board interest rates which were available for loans during quarter 2 of 2013/14. The Public Works Loans Board is the mechanism by which the Government allows local authorities to borrow at slightly lower interest rates than are available to other institutions. Certainty rates, as detailed in the table, are interest rates available to local authorities if they inform the Government of their borrowing requirements at the beginning of the financial year and are 0.002% (or 20 basis points) below Public Works Loans Board rates. This was introduced by the Government in October 2012.

| | 1 Year | 5 Year | 10 Year | 25 Year | 50 Year |
|---------|---------------|---------------|----------------|----------------|----------------|
| Low | 1.08% | 2.23% | 3.35% | 4.16% | 4.18% |
| Date | 17/12/2013 | 31/10/2013 | 31/10/2013 | 30/10/2013 | 18/07/2013 |
| High | 1.23% | 2.78% | 3.90% | 4.47% | 4.43% |
| Date | 27/12/2013 | 30/12/2013 | 30/12/2013 | 27/12/2013 | 27/12/2013 |
| Average | 1.13% | 2.43% | 3.59% | 4.32% | 4.31% |

Table 3: Public Works Loan Board (PWLB) certainty rates, quarter ended 31 December 2013

4.3 **Treasury Borrowing** – the Council remains debt free and undertook no external borrowing for cash flow purposes or capital financing purposes in the first nine months of 2013/14.

4.4 **Rescheduling of Borrowing** – the Council has no debt and therefore undertook no rescheduling of debt during 2013/14.

4.5 **Repayment of borrowing** – the Council has no external loans and therefore no repayments were necessary.

5.0 COMPLIANCE WITH PRUDENTIAL AND TREASURY INDICATORS:

5.1 It is a statutory duty for the Council to determine and keep under review the affordable borrowing limits. The Council’s approved Treasury and Prudential Indicators (affordability limits) were approved in the Treasury Management Strategy Statement by Cabinet on 19 March 2013.

5.2 During the financial year to date the Council has operated within the Treasury and Prudential Indicators approved and are shown in Annex E.

5.3 Officers can confirm that the approved limits within the Annual Investment Strategy were not breached during the quarter ended 31 December 2013.

ECONOMIC BACKGROUND, INTEREST RATE FORECAST AND SUMMARY OUTLOOK

ECONOMIC BACKGROUND

- After strong UK growth of 0.7% in quarter 2 and 0.8% in quarter 3, it appears that UK Gross Domestic product (GDP) is likely to have grown at an even faster pace in quarter 4 of 2013. Forward surveys are also very encouraging in terms of strong growth and there are positive indications that recovery is broadening away from reliance on consumer spending and the housing market into construction, manufacturing, business investment and exporting. This strong growth has resulted in unemployment falling much faster towards the threshold of 7%, set by the Monetary Policy Committee (MPC) before it said it would consider any increases in Bank Rate, than it expected last August when that threshold was initially set. Accordingly, markets are expecting a first increase in early 2015 though recent comments from Monetary Policy Committee (MPC) members have emphasised they would want to see strong growth well established, and an increase in real incomes, before they would consider raising Bank Rate.
- Also encouraging has been a sharp fall in inflation (Consumer Prices Index (CPI)) to 2.1% in November and forward indications are that inflation will continue to be subdued. The return to strong growth has also helped lower forecasts for the increase in Government debt by £73bn over the next five years, as announced in the Autumn Statement, and fostered optimism for achieving a balance in the cyclically adjusted budget within five years, a year earlier than previously forecast.
- The big news in financial markets was that the Federal Reserve, in December, felt sufficiently confident that the premise for strong growth had been established in America that it could start to taper its asset purchases by reducing them by \$10bn per month from January 2014. These encouraging growth scenarios in the USA and UK led to a sharp jump up, in December, in short dated gilts; this, accordingly, impacted 5 and 10 year Public Works Loans Board (PWLB) rates.

INTEREST RATE FORECAST

The Council's treasury advisor, Capita Asset Services, has provided the following forecast:

| | Mar-14 | Jun-14 | Sep-14 | Dec-14 | Mar-15 | Jun-15 | Sep-15 | Dec-15 | Mar-16 | Jun-16 | Sep-16 | Dec-16 | Mar-17 |
|-----------------------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|
| Bank rate | 0.50% | 0.50% | 0.50% | 0.50% | 0.50% | 0.50% | 0.50% | 0.50% | 0.50% | 0.75% | 1.00% | 1.00% | 1.25% |
| 5yr PWLB rate | 2.50% | 2.60% | 2.70% | 2.70% | 2.80% | 2.80% | 2.90% | 3.00% | 3.10% | 3.20% | 3.30% | 3.40% | 3.40% |
| 10yr PWLB rate | 3.60% | 3.70% | 3.80% | 3.80% | 3.90% | 3.90% | 4.00% | 4.10% | 4.20% | 4.30% | 4.30% | 4.40% | 4.50% |
| 25yr PWLB rate | 4.40% | 4.50% | 4.50% | 4.60% | 4.60% | 4.70% | 4.80% | 4.90% | 5.00% | 5.10% | 5.10% | 5.10% | 5.10% |
| 50yr PWLB rate | 4.40% | 4.50% | 4.50% | 4.60% | 4.70% | 4.80% | 4.90% | 5.00% | 5.10% | 5.20% | 5.20% | 5.20% | 5.20% |

Capita Asset Services undertook a review of its interest rate forecasts in late November, after the Bank of England's latest quarterly Inflation Report. This latest forecast now includes a first increase in Bank Rate in quarter 2 of 2016 (previously quarter 3) and reflects greater caution as to the speed with which the Monetary Policy Committee (MPC) will start increasing Bank Rate than the current expectations of financial markets.

Summary Outlook

Until 2013, the economic recovery in the UK since 2008 had been the worst and slowest recovery in recent history. However, growth has rebounded during 2013 to surpass all expectations, propelled by recovery in consumer spending and the housing market. Forward surveys are currently very positive in indicating that growth prospects are also strong for 2014, not only in the UK economy as a whole, but in all three main sectors, services, manufacturing and construction. This is very encouraging as there does need to be a significant rebalancing of the economy away from consumer spending to construction, manufacturing, business investment and exporting in order for this start to recovery to become more firmly established. One drag on the economy is that wage inflation continues to remain significantly below Consumer Prices Index (CPI) inflation so disposable income and living standards are under pressure, although income tax cuts have ameliorated this to some extent. Labour productivity must improve significantly before increases in pay rates are warranted. With regard to the US, the main world economy, it faces similar debt problems to those of the UK, but thanks to reasonable growth, cuts in government expenditure and tax rises, the annual government deficit has been halved from its peak without appearing to do too much damage to growth, although labour force participation rates remain lower than ideal.

As for the Eurozone, concerns have subsided considerably in 2013. However, sovereign debt difficulties have not gone away and major concerns could return in respect of any countries that do not dynamically address fundamental issues of low growth, international uncompetitiveness and the need for overdue reforms of the economy (as Ireland has done). It is, therefore, possible over the next few years that levels of government debt to Gross Domestic product (GDP) ratios could continue to rise to levels that could result in a loss of investor confidence in the financial viability of such countries. This could mean that sovereign debt concerns have not disappeared but, rather, have only been postponed.

Prudential and Treasury Management Indicators - Quarter 3

It is a statutory duty for the Council to determine and keep under review the affordable borrowing limits. The Council's approved Treasury and Prudential Indicators (affordability limits) are included in the approved Treasury Management Strategy Statement by Cabinet on 19 March 2013.

The main purpose of the indicators is to control how much a Council needs to borrow and as this Council is debt free, the majority of the prudential indicators are nil.

| 1. PRUDENTIAL INDICATORS | 2013/14 | 2013/14 |
|---|------------------------|------------------|
| Extract from budget and rent setting report | Original Budget | Actual Q3 |
| | £'000 | £'000 |
| Capital Expenditure | 1,907 | 2,561 |
| | | |
| Ratio of financing costs to net revenue stream | N/A | N/A |
| | | |
| Net borrowing requirement General Fund | | |
| brought forward 1 April | Nil | Nil |
| carried forward 31 March | Nil | Nil |
| in year borrowing requirement | Nil | Nil |
| | | |
| Capital Financing Requirement 31 March 2103 | Nil | Nil |
| | | |
| Incremental impact of capital investment decisions | £ | £ |
| Increase in Council Tax (band D) per annum | £5.28 | £5.28 |

| 2. TREASURY MANAGEMENT INDICATORS | 2013/14 | 2013/14 |
|--|-----------------|----------------|
| | original | actual |
| | £'000 | £'000 |
| Authorised Limit for external debt - | | |
| borrowing | £5,000 | £5,000 |
| other long term liabilities | £1,000 | £1,000 |
| TOTAL | £6,000 | £6,000 |
| | | |
| Operational Boundary for external debt - | | |
| borrowing | £4,000 | £4,000 |
| other long term liabilities | £600 | £600 |
| TOTAL | £4,600 | £4,600 |
| | | |
| Actual external debt | £0 | £0 |
| | | |
| Upper limit for fixed interest rate exposure | | |
| Net principal re fixed rate borrowing / investments | Nil | Nil |
| | | |
| Upper limit for variable rate exposure | | |
| Net principal re variable rate borrowing / investments OR:- | Nil | Nil |
| | | |
| Upper limit for total principal sums invested for over 364 days (per maturity date) | £11,500 | £11,500 |

| Maturity structure of fixed rate borrowing during 2012/13 | upper limit | lower limit |
|--|-------------|-------------|
| under 12 months | 0% | 0% |
| 12 months and within 24 months | 0% | 0% |
| 24 months and within 5 years | 0% | 0% |
| 5 years and within 10 years | 0% | 0% |
| 10 years and above | 0% | 0% |

HAMBLETON DISTRICT COUNCIL

Report To: Cabinet
11 February 2014

Subject: **COUNCIL PERFORMANCE 2013-14 (QUARTER 3)**

All Wards

Portfolio Holder for Customer Services and Asset Management: Councillor N Knapton

1.0 PURPOSE AND BACKGROUND:

- 1.1 The Council Plan sets out the direction for the Council for the next two years and has been updated to reflect changes to community needs. It shows the Council's goals and gives measurable outcomes. 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.
- 1.2 The council's performance and strategic risks are reported quarterly to the Management Team and Review Boards. The public has access to performance information through these quarterly Performance Reports. This report provides details on progress against the Council's priorities and information on actions to address under performance.

2.0 LINK TO COUNCIL PRIORITIES:

- 2.2 An overview of performance against each Council Priority is attached at Annex 'A'.
- 2.3 In summary, performance at the end of quarter three against the Council Plan was 86% on or above target with 5% within the tolerance range set and 9% below target.
- 2.4 The indicators not meeting performance in the third quarter are :-
 - 2.4.1 The resolution of enquiries at the first point of contact for those contacting the Council by telephone is below target. Work is on-going to make improvements and implementing task analysis to expand the number of services provided through the Contact Centre.
 - 2.4.2 The number of new dwellings completed remains below target, although improved compared to the same quarter last year. There are signs that house building is increasing with building commencing.
 - 2.4.3 The development of an external communications strategy for the Council is behind target.
 - 2.4.4 Planning approval for employment land remains significantly below target with 1.4 hectares of additional employment land being approved. A proactive approach in discussion with developers continues to be adopted.
- 2.5 Targets this quarter showing significant progress include:-
 - 2.5.1 Customer satisfaction in dealing with the Council through face to face contact, telephone calls and via the web site continues to improve and exceeds the targets set.

- 2.5.2 The number of homeless preventions due to actions taken by the Council exceeds the annual target.
- 2.5.3 Supporting the community to participate in sport and active recreation by securing developer contributions and external funding for public open space schemes continue to significantly exceed the annual target. This is supporting the community in developing a range of new facilities and equipment.
- 2.5.4 The range of support initiatives for local business is expanding and continues to receive positive feedback from the local business community.

3.0 CONCLUSIONS:

- 3.1 Performance against the refreshed Council Plan key priorities is on target with the exception of four measures where action plans have been developed to address performance.
- 3.2 The number of new homes and employment land delivered continues to be impacted by the current economic situation. Actions to encourage building to commence are in place and an economic study of the District has been completed to help inform further actions.

3.0 RISK ASSESSMENT:

- 3.1 There are no risks directly associated in approving this report.

4.0 FINANCIAL IMPLICATIONS:

- 4.1 There are no direct financial effects from this report.

5.0 LEGAL IMPLICATIONS:

- 5.1 There are no direct legal implications arising from this report.

6.0 EQUALITY/DIVERSITY ISSUES

- 6.1 An Equalities Impact Assessment was not completed in compiling this report as no services changes are recommended within it.

7.0 RECOMMENDATION:

- 7.1 It is recommended that progress made against the Council Plan as detailed in Annex 'A' is endorsed.

MARTYN RICHARDS

Background papers: Council Plan 2011 to 2015 Performance Report 2013/14 for Quarter 3

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Hambleton District Council
COUNCIL PLAN 2013 to 2014
Performance Quarter 3
(1 October 2013 to 31 December 2013)

Introduction

The following information provides the details of performance against the Council Plan Priorities for the third quarter of 2013/14, as reported at the quarterly Review Boards held in January 2014.

Key Priorities:

- Customer Services and Asset Management
- Housing, Planning and Waste Management
- Leisure and Health
- Support Services and Economic Development

Customer Services & Asset Management

AIM (1) : To put our customers first and provide high quality, value for money services that meet the needs of our communities

We will meet this aim by monitoring customer feedback and satisfaction levels to ensure the delivery of an easy to use, easy to access, responsive service.

| Indicator | Target | Quarter 1 | Quarter 2 | Quarter 3 (to end Nov'13) | Q3 Actions/comment |
|--|----------------------------------|---|---|--|---|
| a) Increase resolution of enquiries at the first point of contact via – <ul style="list-style-type: none"> • Face to face • Telephone | 80% 50% Average 65% | 78% (Footfall 14438) 45% (Calls 23042) Average 62% | 79% (Footfall 14,333) 38.5% (Calls 23,803) Average 58.8% | 79.4% (Footfall 30,589) 38% (Calls 23,517) Average 58.7% | After a peak in customer contact and demand during October, there was a slight decrease in the number of visitors and callers during November 2013. Work is on-going to make improvements and increase first point of contact resolution by task analysis to expand the number of services provided through the Contact Centre. |
| b) Improve and ensure consistently high levels of customer satisfaction through – <ul style="list-style-type: none"> • Face to Face • Telephone • Website | 90% 85% 45% | 94% (1061 feedback) 94% (284 feedback) 58% (281 feedback) | 94% (959 feedback) 98% (2638 feedback) 55% (211 feedback) | 93.3% (2,590 feedback) 96.8% (4,137 feedback) 57% (627 feedback) | Performance exceeds target. |
| c) Upheld complaints leading to service improvements | 95% | 94.8% (29 complaints) | 100% (18 complaints) | 95% (21 complaints) | Performance is on target. |

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|--|--|--|--|---|--|
| d) Improve the total number of contacts by Web (monthly): | | Visit to web Apr 13 - 19,748 May 13 - 20,552 Jun 13 - 16,050 | Visits to web Jul'13 – 17,908 Aug'13 – 18,252 Sep'13 – 17,588 | Visits to web Not available at present | Performance is to be monitored to show the “trend” to enable monitoring of the impact of actions to improve the web site information. |
| e) Track the total number of contacts by channel to monitor channel shift. | | Customer Services access channels face to face 35% (14,418) telephone 55.9% (23,027) self serve 9.1% (3,749) | Customer Services access channels face to face 34.3% (14,312) telephone 57.1% (23,826) self service 8.9% (3,589) | Customer Services access channels face to face 35% (9,497) telephone 56.2% (15,249) self-service 8.8% (2,387) | The web site is currently being reviewed to ensure it is fit for purpose for the customer. In addition a review of all service during 2014 will be undertaken to enable more information to be accessed via the web and at the first point of contact, this data will enable this to be monitored. |

AIM (2): Encouraging our residents to become more involved in making decisions and delivering services which impact on their local communities. We will meet this aim by :-

| Indicator | Quarter 1 - 3 | Q3 Actions/comment |
|--|--|---|
| Work with our communities so that they can protect and provide local services, facilities and open spaces. | <ol style="list-style-type: none"> 1. Supported a range of initiatives including the inaugural Hambleton Parish Liaison meeting. 2. Seven small scale enhancement projects with European LEADER funding. 3. Publication and distribution of the Ingleby Arncliffe Community Plan. 4. Parish Planning advice to Sessay Parish Council. 5. A successful Home Grown Food Market in Northallerton. 6. Partnership working with HMP Kirklevington to undertake voluntary work to clean up the River Leven. 7. Supporting first responder units in Great Ayton and Stokesley in their recruitment drives. | Performance is on target against the action plan. |

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|---|---|---|
| <p>Provide direct support to the five Area Partnerships so that during 2013/14 they can refresh their Local Action Plans and determine community priorities.</p> <p>We will support the Community led Forums to publish 5 local action plans by April 2014.</p> | <p>8. Asset transfers – Cabinet at their September meeting approved the potential transfer of 4 assets. Initial contact has been made with all 4 groups to establish their position regarding asset transfer.</p> <p>Following the identification of their priorities, action plans are being developed by 4 of the 5 community led forums for delivery in 2014/15.</p> | <p>Performance is on target against the action plan.</p> |
| <p>Provide £100k funding to implement the Big Society at a local level. Consult and engage with our communities to identify needs and support them through the delivery of these initiatives.</p> <p>We will allocate £50,000 by April 2014 through our Investing in Communities fund in 2013-14 and a further £50,000 in 2014-15 to projects which enable communities to identify and meet their own needs – “helping them to help themselves”</p> | <p>We will allocate £50,000 by April 2014 through our Investing in Communities fund in 2013-14 and a further £50,000 in 2014-15 to projects which enable communities to identify and meet their own needs – “helping them to help themselves”</p> <p>A number of projects funded through the Investing in Communities Scheme have been completed in Q3 including:-</p> <ul style="list-style-type: none"> • Northallerton Badminton Club • Thirsk8 Ambassadors • Hambleton Food Share. <p>A total of £2,120 has been claimed to date from the Investing in Communities Fund and a further £8,964 claimed from the Community Grants Programme. An application from Newton On Ouse Parish Council has been received for a Prepared Parishes Grant. They are currently finalising their emergency plan.</p> | <p>Performance is on target against the action plan.</p> <p>Performance is on target against the action plan.</p> |

AIM (3) : Improving the performance and productivity of our services

We will improve our procurement process to ensure value for money and efficiencies are maximised.

| Indicator | Quarter 1 - 3 | Q3 Actions/comment |
|---|---|---|
| Provide information to be reported as part of the YORprocure annual performance data which will enable benchmarking information to be established. | The local business indicator which has been selected as the key benchmark is spend by the Council with businesses in the District. Data is currently being collected within the region and will be available in the New Year. The aim is to compare this spend with the other District authorities within the region to be able to accurately reflect performance and look for ways of improving. | Performance is on target against the action plan. |
| Agreed forward plan of procurement projects with identified lead and reported savings/efficiencies via management team. | The Procurement Forward Plan will include the Capital Programme projects and other significant procurements. A draft Plan has been prepared and is due to be considered by Management Team. | Performance is on target against the action plan. |
| Quarterly up-dated details of contracts (over £10,000) published on the web site, including start/end dates and any currently being procured/dates process to commence. | The first version has been published on the web site and will be subject to continuous review to ensure all contract opportunities are identified. The Information for Businesses section of the web site is being expanded and updated to provide links to further opportunities within the public sector. | Performance is on target against the action plan. |
| Develop procurement strategy to include a programme of training and toolkits/information to ensure efficiencies maximised through procurement and contract management. | A Procurement Strategy has been developed. As part of the development of the Strategy the information and guidance to Officers has been reviewed. The information includes business advice and standard terms and conditions for those companies who do not have their own. Training will be organised in the first quarter of 2014. | Performance is on target against the action plan. |

AIM (4) : To reduce the carbon footprint of the council

Develop and implement further actions to deliver the Carbon Management reduction target for the Council.

| Indicator | Quarter 1 - 3 | Q3 Actions/comment |
|---|--|---------------------------------|
| <p>Q1 Report 2012/13 data Q2 Report on any actions Q3 Report projected profile to end of year Q4 Report any significant issues/actions and project actual out turns.</p> | <p>Based on previous year's figures and actions, the indicator set for 2013-14 is for a further 4% reduction from 2012/13, which will primarily come from the Combined Heat and Power boilers installed in Hambleton leisure centres. An assessment of current carbon reduction, sustainability and energy saving methods utilised within the Council premises has been completed. The report on any possible actions to improve these will be reported in Quarter 4.</p> | <p>Performance is on target</p> |

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Other activity Reported to the Customer Services and Asset Management Review Board in quarter 2:

- A new programme of meetings to bring the work of parish, town and district councils closer started on 7 November 2013 to strengthen engagement with communities in the district.
- A project to see secure wifi networks in Easingwold, Thirsk and Stokesley commenced, this builds on the network implemented by Bedale and Villages Community Forum in 2012 and a scheme being developed in partnership with the Northallerton Retail and Business Forum. Once completed all 5 market towns will have wifi networks available to residents, local business and visitors.
- Tholthorpe was one of 31 schemes to receive a share of the grant programme to help provide a new scout hut to replace the near derelict facilities other local groups supported by the grant include; West Tanfield Memorial Tennis Club; Thirsk and District Community Minibus, Yorkshire Ambulance Community Responders.
- A new 64 space area for long stay parking was created in Northallerton to help people work in and visit the town.
- "Park free Thursday" scheme was successfully introduced during December, this was a suggestion put forward by businesses in the town.
- Hambleton Civic Centre now hosts the monthly North Yorkshire Police Beat Surgeries to enable residents to speak directly to an officer and discuss concerns.
- A campaign to raise awareness and help victims of domestic abuse over the festive season was launched by the Community Safety Partnership to

help everyone to have a happy Christmas.

- Like most rural communities thieves operating in the District tend to target areas outside homes. As part of the crackdown on burglaries the Community Safety Partnership have been working with the police helping to raise awareness and provide information on how to protect property, in particular securing sheds and external storage areas. This supports the distribution of “Countrywatch” warning signs throughout the District during October.
- To help save energy and reduce bills residents were urged to “bag a better boiler” through the Yorkshire Energy Partnership scheme.
- Superfast Broadband coverage maps were made available on the Superfast web site.

Housing Planning & Waste Management

Aim (1) : Meeting Local Housing Needs

To meet the housing needs of all sections of the local community by providing an adequate amount and range of housing, including affordable housing

| Indicator | Quarter 1 - 3 | Q3 Actions/comment |
|-----------------------------------|--|--|
| New Dwellings - 305 in 2013/14 | <p>In Q3 (the following data is to the end of November only) 39 dwellings have been completed giving a cumulative performance since 1 April 2013 of 117 houses completed. This falls below the profiled target but shows an increase on last year.</p> <p>There are signs of an increase in house-building, building has started at Sowerby Gateway (TM2A), Cherry Garth, Thirsk (TH1) and Swaledale Court, Morton on Swale. Development has also been approved at York Trailers, Northallerton and Bedale Road, Aiskew.</p> | <p>Performance is below target although showing an improvement on the previous quarter.</p> <p>Council on 10 December 2013 approved a relaxation of the LDF phasing to enable the Council to be able to demonstrate a robust 5 year supply of deliverable housing sites, (this is a requirement of the National Planning Policy Framework). This should boost housing construction but it will take some time before the impact is seen.</p> |
| Affordable Homes – 130 in 2013/14 | <p>In Q3 there have been no affordable homes released. Taking Q1, Q2 and Q3 together 67 affordable homes have been delivered including 24 rural affordable homes.</p> | <p>Performance is below target.</p> |

Aim (2) : Homelessness Preventions To reduce homelessness by providing direct support to District residents in need.

| Indicator | Quarter 1 – Q3 | Q3 Actions/comment |
|--|---|--|
| 120 preventions by Council intervention in 2013/14 | <p>Actual statistics will not be available until the end of January 2014. However, to the end of November there have been 55 preventions. This is above the profiled target and all indications are that performance will show an improving trend on receipt of the statistics.</p> | <p>The overall preventions figure for Q1, Q2 and Q3 is already significantly above the target.</p> <p>The annual target is to be reviewed to ensure it is appropriate to ensure the vulnerable in the community are not put at risk.</p> |

Aim (3) : Collecting Household Waste and Recycling

To minimise the impact of waste on the environment by increasing the amount of household waste that is recycled.

| Indicator | Quarter 1 – Q3 | Q3 Actions/comment |
|-------------------|--|---|
| 48% by March 2014 | The estimated recycling rate to the end of Q3 is 44.8%; at this point not all the recycling tonnages have been confirmed so this figure will change. | Performance is below target but will improve when all the Q3 performance information is available. Revised income levels due to the increase in paper are being met. Activity to increase recycling is on-going including the development of a waste strategy to plan for future collection methods/materials and inform procurement of recycling contracts and vehicles replacements. |

Aim (4) : Supporting Development

To ensure that the Planning Service supports the sustainable economic growth and development of the District.

| Indicator | Quarter 1 | Quarter 2 | Quarter 3 | Q3 Actions/comment |
|--|---|--|--|------------------------------|
| Major applications determined in 13 weeks – 60% in 2013/14 | In Q1 80% of major applications were determined within 13 weeks, exceeding the Council's target of 60%. | In Q2 16% of major applications were determined within 13 weeks. | In Q3 67% of major applications were determined within 13 weeks. | Performance is above target. |

Other activity in Quarter 3:

- A new scheme to encourage landlords to help young homeless people in the District was highlighted at a free event held at the Forum in Northallerton which provided information on how financial support and help that is available to the homeless.
- An affordable homes seminar aimed at Parish and ward Councillors was hosted by Lord Best in September focusing on ways in which local communities can get involved in delivering housing for local people.
- The Foodshare project was supported by residents, Members and staff from Hambleton who gave food and gifts for distribution to those in need and temporary financial crisis within the District this Christmas.

- To help encourage recycling the old litter bins in the market towns have been replaced with new recycling and litter bins there has also been a schools recycling poster competition with the winning poster to be displayed on the bin wagon.

Leisure and Health

Aim (1) : Promote healthy lifestyles by promoting Council leisure facilities so that more people are participating in physical activity and who feel they are in good health

Promote the Council leisure facilities to encourage attendance from all age groups such that attendance matches the demographic profile of the District.

| Indicator | Quarter 1 | Quarter 2 | Quarter 3 | Q3 Actions/comment |
|--|--|--|---|--|
| Usage against demographic profile (from 2011 Census): 9.9% of all visits by 0-10yrs 11.6% of all visits... by 10-19yrs 19.4% of all visits... by 60-74yrs | 23.83% of all visits by 0-10yrs; 12.9% of all visits by 10-19yrs; 14.15% of all visits by 60-74yrs | 26.21% of all visits by 0-10yrs 10.5% of all visits by 10-19yrs 15.22% of all visits by 60-74yrs | 27.1% of all visits by 0-10yrs 9.7% of all visits by 10-19yrs 14.8% of all visits by 60-74yrs | Performance is within target with the exception of the higher age band, where actions are being taken to encourage greater participation e.g. Capital Improvement Scheme planned at Northallerton will see a studio created to enable low intensity sessions to be scheduled, in addition a programme of events to encourage exercise is being undertaken and reviewed on an on-going basis. |

Aim (2) : Supporting the community to participate in sport and active recreation

| Indicator | Quarter 1 | Quarter 2 | Quarter 3 | Actions/comment |
|--|-------------------------|---|---|-----------------------------|
| Allocation and release of £100,000 of developer contribution money to public open space, sport and recreation projects. | £8,410 allocated in Q1. | £22,591 allocated (cumulative) £76,330 released (cumulative) | £53,765 allocated (cumulative) £76,330 released (cumulative) | Performance exceeds target |
| Support the community/voluntary sector to secure £50,000 of external funding for public open space, sport and recreation projects. | £15,000 secured in Q1 | £41,580 secured (cumulative) | £105,500 secured (cumulative) | Performance exceeds target. |

Aim (3) : To improve the way we communicate

| Indicator | Quarter 1 | Quarter 2 | Quarter 3 | Q3 Actions/comment |
|--|---|---|-----------------|-------------------------------|
| Develop and implement an external communications strategy for the Council. | The draft strategy is due for consideration by Cabinet. | Report to be tabled at Cabinet this year. | Awaiting report | Performance is behind target. |

Other activity in Leisure and Health Services Portfolio during Quarter 3:

- The “Big Weekend” was held at the Leisure Centres to help encourage people take up activities and improve their health by using the facilities and sampling some of the courses on offer, like the recently launched martial arts classes. The weekend was a huge success and saw 176 new members join.
- The endAGE partnership initiative saw more than 100 people attend a roadshow in Stokesley for people over 50 to find out about support and facilities available to them locally.
- Over 150 people attended the Hambleton Sports Awards ceremony in October to recognise sports performers, coaches and volunteers for their contribution to their chosen sport.
- Plans for a new £4 million sports village in Sowerby were under the spotlight in November when consultation opened to seek residents views on the initial plans for the 9 acre sites.
- Husthwaite opened its new free to use open air gym thanks to £4,800 LEADER funding; this is part of a wider project to promote physical fitness in the community.
- Over 70 people attended an event to promote disability sport. The “Ability Day” was supported by many agencies and some of our Paralympic competitors to encourage those with a disability to try and “have a go” at some of the sports available.
- For the third year running Hambleton agencies joined forces to run the “winter weather” campaign to protect the vulnerable in the community in the event of severe weather. This includes information and check lists on how to prepare and how to help those who may not be able to travel or move out of their homes.
- The Council’s firm stance on fly tipping was enforced when a York man was fined for dumping furniture.
- A challenge was set in December at the Leisure Centres to test cyclists on the 20th stage of the Tour de France, the winners were awarded a

coveted Yellow Jersey. This followed a “spinning taster day” run in Northallerton Town Centre in October.

- Hambleton joined the National campaign “Conversation about alcohol” which aims to raise awareness of the amount people drink and the harm excessive drinking can cause.
- Businesses across the District were urged to use the Food Standards Agency Hygiene rating scheme to let their customers know how important hygiene is to them and how successful they are at achieving the standard. In addition businesses were asked their views on how the District does in regards to enforcement of health and safety in the workplace.
- Leisure, Health and Businesses joined forces to discuss the opportunities available when the Tour de France comes to Yorkshire.

Support Services & Economic Development

Aim (1) : To provide financial sustainability.

We will meet this aim by implementing arrangements to ensure the Council's financial sustainability throughout the period of the current spending review and beyond.

| Indicator | Quarter 1 | Quarter 2 | Quarter 3 | Q3 Actions/comment |
|------------------------------|--|--|--|---------------------------|
| Collection of Business Rates | In Q1 36.55% was collected compared with a figure of 37.25% in Q1 for 2012/13. | In Q2 62.56% was collected compared with a figure of 63.34% in Q2 for 2012/13 | In Q3 81.28% was collected compared with a figure of 81.33% in Q3 for 2012/13. | Performance is on target. |
| Council Tax Collection | In Q1 30.86% was collected which is the same as the Q1 figure in 2012/13. | In Q2 59.24% was collected compared with a figure of 59.49% in Q2 for 2012/13. | In Q3 78.24% was collected compared with a figure of 78.64% in Q3 for 2012/13. | Performance is on target. |
| Capital Programme | 100% of the in year capital programme has been approved. | Target met Q1 | Target met in Q1. | Target met in Q1. |

| Aim (2) : To minimise the impact to the Council and community of the changes to Welfare Reform. | |
|--|---|
| The changes will be significant and pose significant risks to the Council and the Community. In order to monitor and manage this impact performance against the following will be monitored and managed. | |
| Indicator | Quarter 1 – 3 (to Nov'13) |
| To ensure we deliver a high quality service to our citizens we will improve processing times in line with North Yorkshire Authorities. | <p>In Q1 the processing time (monthly) for new claims was 38.94 days against a target of 16 days. For changes in claims the processing time (monthly) was 21.52 days.</p> <p>In Q2 the average processing times for new claims were still very high. The in-month figure for September is showing a marked improvement at 18.9 days as opposed to the average of 33.55 days. This is due mainly to work being outsourced.</p> <p>In Q3 the current situation on the backlog was:</p> <ul style="list-style-type: none"> • New claims 5 from 6/12/13 • Change in Circumstances 298 from 13/11/13. • Northgate (outsourced) work 222 from 21/10/13 <p>The average processing times for the 2 months of Q3 show an improving trend. Additional work has been outsourced to Northgate in an effort to ensure that any backlog is kept to a minimum when the service separates in January 2014.</p> |
| To maximise the opportunities to detect and prevent fraud | <p>In Q1 £38,000 of fraud was identified.</p> <p>In Q2 £62,037 currently identified.</p> <p>In Q3 to 30 Nov'13 £85,867 currently identified</p> |
| | Q3 Actions/comment |
| | Performance is within target with actions to improve in place. |
| | Performance is on target. |

Aim (3) : To implement the Local Tax scheme and ensure all properties are taxed to minimise impact to the community and Council.

To ensure the best financial outcome for the Council in this and following years the following measures will be taken:-

| Indicator | Quarter 1- 3 | Q3 Actions/comment |
|---|--|---|
| <p>We will monitor the amount of Council Tax Reduction we pay out versus the amount estimated for the year to ensure the best possible outcome in future years.</p> | <p>The end of year budget figure (annual) = £4,466,000. The figure for CT Reduction as at Annual Billing on 1 April 2013 (annual) = £4,268,265. Variation from CT Reduction figure at 1 April 2013 (monthly) = Q1 £4,323,758.</p> <p>Q2 The amount of CTR awarded has now levelled off as the backlog of claims has been addressed. Based on the initial profiling there is £204,074 that can be allocated.</p> <p>Q3 Performance to 30 November 2013: The amount of Council Tax Reduction awarded has reduced over the last 2 months. This may still be the effect of seasonal work. December normally shows an increase in the level of benefit awarded so the figure of £4,466,000.00 needs to be seen with a word of caution as December is not included in this figure.</p> | <p>Performance is on target.</p> <p>Note: that the closure of both the Prison and the RPA Offices could have a significant impact on this figure.</p> |
| <p>We will monitor the ratio between the total rateable value and the number of businesses in the area to ensure that any changes to this are reflected in the target set by Government for future years.</p> | <p>The total rateable value (monthly) = Base as at 31 March 2013 = £66,274,934 compared to the Q1 figure of £66,267,619.</p> <p>Q2 has seen a reduction in the total Rateable Value of £110,425 (0.166%). Mainly due to 2 properties:</p> <ul style="list-style-type: none"> • one reduced by £47,500 • one from £67,000 reduced to £0 – property undergoing major renovations. <p>Q3 The actual number of properties in rating has increased slightly. Performance to 30 November 2013: The total Rateable Value has increased by £170,000 over the last 2 months and is now £67,000 higher than the base figure as at 01 April 2013. The increase relates to a number of properties. The actual number of properties in rating has increased slightly.</p> | <p>Performance is on target.</p> |

| Aim (4) : To support local economic growth. | | |
|--|--|---|
| To support local economic growth by:- | | |
| Indicator | Quarter 1 - 3 | Q3 Actions/comment |
| Through the local planning processes approving 40 hectares of employment land by March 2015 mainly in the five Market Towns to facilitate opportunities for local economic growth. | <p>For Q1 .113 of a hectare approved. .</p> <p>In Q2 over 2 hectares of additional employment land was approved (20,369 m2). This was mainly from an expansion of Stokesley Business Park (19,674 m2), a site which is allocated in the Local Development Framework. A total of 541 m2 however will be lost at Leeming Bar as part of the village centre regeneration under allocation BM4. This results in a District wide net gain figure of 19,828 m2.</p> <p>In Q3 the net additional floor space provided, between 01/10/2013 and 18/12/2013 is 1,439.2 square metres. This includes an extension to a workshop at Sutton on the Forest, construction of an industrial building at Aiskew and construction of a warehouse extension in Topcliffe.</p> | Performance remains below target. |
| Providing workspaces and improving the average occupancy levels in the industrial and managed workspaces. | <p>In Q1 90.5% occupancy rates on industrial premises has been achieved against the target of 95% and for Managed Workspaces 77% against the target of 75%.</p> <p>In Q2 92.9% occupancy rates on industrial premises has been achieved against the target of 95% and Managed Workspaces achieved 77% occupancy against the target of 75%.</p> <p>In Q3 occupancy rates on industrial premises was 88.6% (target 95%)</p> <p>A drop on the previous quarter is due to units remaining empty at Binks close and further units becoming empty at Lumley Close, Thirsk (1 unit) and Bedale Craft Yard (1 unit). The units at Thirsk and Bedale have enquiries on them and should be occupied quite quickly. Unfortunately 2 further units will become vacant at Binks Close in January with no enquiries at present so the trend is downwards.</p> <p>In Q3 occupancy in Managed Workspace was 76.7% (target 77%)</p> | Performance is within target for Managed Workspace and below target for Industrial Units. |

| | | |
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| | <p>A slight drop on the previous quarter due to 3 suites being vacated at Evolution – income continues to be supported by room bookings. Unfortunately 2 suites will become vacant at Momentum in February which will contribute to a further downward trend.</p> <p>In Q2 there are 15 apprentices within the Council and 7 apprentices in local small businesses. 7 businesses have been approved for grant assistance and are searching for apprentices.</p> <p>Q3 15 within the Council; 12 Business Apprentices in place; and 6 businesses approved grants searching for apprentices.</p> | |
| <p>Enabling young people to get into work by providing apprenticeships within the Council. Providing support to small businesses, in particular micro businesses, for apprenticeships.</p> | | Performance is on target. |
| <p>Aim (5) : To become more 'business friendly' as a Council and help businesses to locate, stay and grow in Hambleton.</p> | | |
| <p>To achieve this aim the following measures will be taken:-</p> | | |
| <p>Indicator 1</p> <p>Improve communication and engagement with businesses through local business forums, networking and using a range of communication methods.</p> | <p>Quarter 1 - 3</p> <p>In Q1 baseline position for the Council in relation to engagement with business across the District has been completed.</p> <p>Q2 see actions taken in "Networks and Forums" below</p> <p>Q3 The business engagement strategy has been completed and following consultation with other Council teams and a small group of businesses for their input, the strategy is now to be discussed by Management Team.</p> <p>Engaged with 10 larger companies (key accounts) and 88 individual companies.</p> <p>See target b) for examples of engagement.</p> <p>The Business Engagement Officer has contacted teams with specific business queries to be resolved.</p> | <p>Q3 Actions/comment</p> <p>Performance is on target against the action plan.</p> |

| | | |
|--|--|---|
| <p>Action will be taken across the Council to ensure that we understand and are responsive to business needs</p> | <p>In Q2 the business engagement strategy has been completed and meetings are being set up with other Council teams to share this for input and comments. At the same time the strategy will be shared with a small group of businesses for their input.</p> <p>In Q3 the Business Engagement Officer has contacted teams with specific business queries to be resolved.</p> | <p>Performance is on target against the action plan.</p> |
| <p>Development of a range of measures to support the sustainability of micro-businesses in the District.</p> | <p>Networks and Forums: Five mini Tour de France road shows have been delivered across the market towns with over 150 businesses attending. Aimed at microbusinesses to ensure they are prepared and can benefit from the Grand Depart. A further 5 road shows will be delivered in the Spring of 2014.</p> <p>Hambleton Women's Business Zone has been established the first meeting was at Evolution Business Centre in Northallerton on 9th October.</p> <p>The North Northallerton Business group has now held 2 meetings where 80 businesses attended; this complements the Northallerton Retail and Business Forum, which focusses on the town centre.</p> <p>The Hambleton Strategic Business Forum hosted a meeting in November 2013 which was attended by 25 businesses (this was maximum capacity for the room available).</p> <p>Individual business support: Engaged with 88 individual companies; retail display workshops successfully involved Lewis and Cooper, the Save the Children shop in Northallerton, Rural Arts North Yorkshire, House and Home, Chapman's Pets and Arty Party; 14 attendees at Evolution workshop.</p> | <p>To advertise opportunities to do business with the Council the contracts register has been published. As contracts are reviewed, the register is updated to reflect clearly the goods and services that are required and when information on these will be available for potential supplies to be able to quote.</p> <p>The Information for Businesses section of the web site is being expanded and updated to provide links to further opportunities within the public sector.</p> |
| <p>Support will be provided to businesses with tendering and procurement opportunities within the Council and locally and a local contracts register will be delivered</p> | | |

Other activity in quarter 3:

- Businesses were given information and urged to have their say to help inform the economic study of Hambleton at 2 workshops during October. Council Members met with William Hague MP to discuss the future of Northallerton Prison.
- The Council took on its first graduate trainee as part of a 4 year training programme to become an accountant.
- Following the successful introduction of the apprentice scheme as part of the “Changing Lives Building Better Business” project, 2 of the 13 apprentices received top awards for their achievement and 5 have secured permanent jobs with their apprentice employers. The scheme has been extended for a further 12 months.
- Consultation on the Council's budget ran through December to find out what people think of the current priorities, its council tax and its proposals to improve services and increase efficiency. The results of the consultation will be analysed and made available during Q4.
- Buy Local for the best value this Christmas was the theme for the market towns in the run up to the festive season with Christmas Fayres and Farmers Markets being run in addition to the normal markets.
- Paying on line was extended to more services this enable residents to have the choice to be able to book and pay on line.
- Small business Saturday 7 December was part of the national initiative to support small business in the area. A range of activities to help support businesses and encourage shoppers to spend in the district was organised in advance e.g., workshops were held and supported by the Federation of Small Businesses, this included a hands on session for retailers on how to give their window displays the “wow” factor.
- Fraud was put under the spotlight when 2 more successful prosecutions were brought against false claims for benefits. In October.

HAMBLETON DISTRICT COUNCIL

Report To: Cabinet
11 February 2014

Subject: HEALTH AND WELLBEING SERVICE

All Wards
Portfolio Holder for Leisure and Health: Councillor Mrs S Shepherd

1.0 PURPOSE AND BACKGROUND:

- 1.1 On the 1 April 2013 Public Health responsibilities reverted back to North Yorkshire County Council.
- 1.2 Public Health has two broad outcomes to achieve:
- increased healthy life expectancy
 - reduced differences in life expectancy and healthy life expectancy between communities
- 1.3 One of the key health factors for early deaths is obesity which can increase blood pressure, cholesterol, impede physical activity and reduce self esteem. These factors can lead to heart disease, type 2 diabetes, strokes, certain cancers and depression, plus many other long term illnesses.
- 1.4 Public Health has identified that for many health related outcomes it's about prevention rather than cure, which is of particular importance when trying to tackle obesity. This is an area of work that Council has a wealth of experience in delivering, eg exercise by prescription, weight management programmes and increasing physical activity.
- 1.5 This is also an area of work that cannot be dealt with in isolation and organisations need to work in partnership to make a real difference. This has prompted a discussion with Public Health to explore the Council's role in delivering community based interventions that would contribute to tackling increasing obesity trends in Hambleton.
- 1.6 Following several months of negotiations Public Health has agreed to invest £50,000 for 2 years to enable the Council to design and deliver an accessible lifestyle adult weight management service which supports overweight and obese adults to lose weight and learn how to maintain a healthier weight in the long term.
- 1.7 The funding will be used to employ a Health and Wellbeing Co-ordinator and supporting costs; equipment; marketing and promotional material; and subsidies to enable the service to be free to the end customer. A copy of the Co-ordinator job description is available on request.

2.0 LINK TO COUNCIL PRIORITIES:

- 2.1 The Health and Wellbeing Service will help the Council address its priorities to promote healthy lifestyles by promoting Council leisure facilities so that more people are participating in physical activity and feel they are in good health; and to support the community to participate in sport and active recreation.

3.0 RISK ASSESSMENT:

3.1 There are no significant risks associated with the content of this report.

4.0 FINANCIAL IMPLICATIONS:

4.1 There are no financial implications to the Council's budget as all the costs will be met by North Yorkshire County Council's Public Health funding.

5.0 LEGAL IMPLICATIONS:

5.1 There are no legal implications in relation to this report.

6.0 EQUALITY/DIVERSITY ISSUES:

6.1 This new service will be accessible to all people who meet the eligibility. The service will target all residents with a Body Mass Index (BMI) rating of 25 and over, where their weight is having a negative impact on their health.

7.0 RECOMMENDATION:

7.1 It is recommended that the funding package offered by North Yorkshire County Council Public Health be accepted.

DAVID GOODWIN

Background papers: Health and Wellbeing Co-ordinator job description

Author ref: LW

Contact: Lisa Wilson
Community Leisure Manager
Direct Line No: 767149

110214 HealthandWellbeingService

HAMBLETON DISTRICT COUNCIL

Report To: Cabinet
11 February 2014

Subject: **REGULATION OF COSMETIC PIERCING AND SKIN-COLOURING BUSINESSES**

All Wards

Portfolio Holder for Leisure and Health Services: Councillor Mrs S Shepherd

1.0 PURPOSE OF THE REPORT:

- 1.1 The purpose of this report is to recommend to the Council the making of all encompassing byelaws to control cosmetic piercing, semi-permanent skin colouring, acupuncture, electrolysis and tattooing and the repeal of any byelaws which related only to ear-piercing, electrolysis, tattooing and acupuncture.
- 1.2 The purpose is also to seek approval for an Enforcement Policy to cover the above activities.

2.0 BACKGROUND:

- 2.1 The Council currently has byelaws covering tattooing, acupuncture, ear-piercing and electrolysis. These were approved by Council in March 1986. The nature of the skin-piercing trade has changed considerably since then.
- 2.2 The Council now has the power to make comprehensive byelaws which cover acupuncture, tattooing, semi-permanent skin-colouring, cosmetic piercing and electrolysis. The benefit of the new byelaws would be to update the controls available to regulators in respect of cosmetic piercing (piercing of the body including the ear) and semi-permanent skin-colouring (including Micropigmentation, semi-permanent make up and temporary tattooing), both practices of which are not covered by existing byelaws.
- 2.3 These measures are intended to increase health protection and reduce the risk of transmission of blood-borne virus (BBV) infections such as HIV, hepatitis B, hepatitis C and other infections. Body piercing and semi-permanent skin colouring are practices that are growing in popularity, particularly among young people. The proposed byelaws will provide sufficient extra power to control these activities.
- 2.4 Model Byelaws for the "Regulation of Cosmetic Piercing and Skin-Colouring Businesses" are published by the Department of Health.
- 2.5 The procedure to follow in order to confirm the byelaws is laid down in the Department of Health Guidance.

Enforcement

- 2.6 Three means of controlling practices and personnel would become available:-
 - a) general powers exist for the service of notices and prosecution under the Health and Safety at Work etc. Act 1974. These are considered to be broad powers, but not specifically designed to cover cosmetic piercing etc;

- b) failure to be registered is a contravention of section 16(1) of the 1982 Act; and
- c) failure to comply with the byelaws is a contravention of section 16(7) of the 1982 Act.

2.7 In order to ensure that enforcement is carried out in accordance with the Regulators' Code, and so that those who are regulated can easily understand their responsibilities and the associated consequences, a draft enforcement policy has been produced. This has been subject to a short consultation exercise but no feedback has been received.

3.0 LINK TO CORPORATE PRIORITIES:

3.1 To put our customers first and provide high quality, value for money services that meet the needs of our communities

4.0 RISK ASSESSMENT

4.1 The main risks are in not approving the recommendation.

| Risk | Implication | Prob* | Imp* | Total | Preventative action |
|--|---|--------------|-------------|--------------|--|
| Registered businesses and personnel fail to comply with good practice. | Customers are exposed to the risk of infection and other health & safety hazards associated with new body piercing and skin colouring practices | 4 | 3 | 12 | Enforce the new byelaws in order to bring controls up to date and implement controls relating to body piercing and skin colouring for the first time |

Prob = Probability, Imp = Impact, Score range is Low = 1, High = 5

5.0 FINANCIAL IMPLICATIONS AND EFFICIENCIES:

5.1 As many body-piercing and semi-permanent skin colouring practices are carried out on premises already used for tattooing and ear-piercing, additional costs are considered minor in the enforcement of byelaws and will be contained within existing resources.

5.2 Registration fees are agreed annually as part of the overall Fees and Charges process. The fee is a one-off charge at the time of registration and is not likely to result in increased fee income as premises are already registered. There is a cost implication in relation to advertising of making the byelaws. There is no cost for the application to the Department of Health for approval.

6.0 LEGAL IMPLICATIONS:

6.1 The scheme needs to be operated within the existing legislative framework. Existing byelaws, will be deleted and replaced by the single new Model Byelaws.

7.0 SECTION 17 CRIME AND DISORDER ACT 1998:

7.1 There are no implications

8.0 EQUALITY/DIVERSITY ISSUES:

8.1 There are no equality implications.

9.0 RECOMMENDATION:

9.1 That Cabinet recommend that:-

- a) the Council pass a resolution authorising the making of byelaws in the form of the Model Byelaws and carry out the necessary procedure and apply to the Department of Health for confirmation; and
- b) Council approves the Cosmetic Piercing and Semi-permanent Colouring Enforcement Policy.

DAVID GOODWIN

Background papers: Local Government (Miscellaneous Provisions) Act 1982
Department of Health. "Regulation of Cosmetic Piercing and Skin-
Colouring Businesses. 2004.

Author ref: PM

Contact: Philip Mepham
Environmental Health Manager

110214 Cosmetic piercing



HAMBLETON DISTRICT COUNCIL
ENVIRONMENTAL HEALTH SERVICE

ACUPUNCTURE, TATTOOING, SEMI-
PERMANENT SKIN-COLOURING,
COSMETIC PIERCING AND ELECTROLYSIS
ENFORCEMENT POLICY

SK.D.7

Date of issue:

Version Control

| <i>Version No.</i> | <i>Amended by</i> | <i>Date</i> |
|--------------------|-------------------|-------------|
| 1.0 | Philip Mepham | 9/10/13 |
| | | |
| | | |

1.0 Introduction

1.1 Hambleton District Council is an enforcement authority in relation to Cosmetic Piercing and Skin Colouring. Responsibility for enforcement of relevant legislation has been delegated to the Environmental Health Service and the duties and powers are contained in the following legislation:-

- Local Government (Miscellaneous Provisions) Act 1982 (the 1982 Act)
- Local Government Act 2003
- Tattooing of Minors Act 1969
- Health & Safety at Work etc. Act 1974 (HASAWA)
- Management of Health & Safety at Work Regulations 1999
- Control of Substances Hazardous to Health Regulations 2002
- Health Protection (Part 2A Orders) Regulations 2010

1.2 In exercising its duties and powers, the Environmental Health Service will enforce all of the above legislation and will do so in a firm, fair, open, consistent and helpful way in line with the principles of the Department of Business Innovation & Skills Regulators' Code and the Code for Crown Prosecutors.

1.3 This enforcement policy builds on the overall Environmental Health Enforcement Strategy and Policy and explains its application in relation to Cosmetic Piercing and Skin Colouring services.

1.4 This policy applies to all aspects of the service within the boundaries of Hambleton District Council.

2.0 Relevant Documents

2.1 In addition to the above primary legislation, and its associated secondary legislation, the Service will have regard to the following guidance produced externally and relevant to the enforcement activity.

- Local Government Act 2003. Regulation of Cosmetic Piercing and Skin Colouring Businesses. Department of Health. February 2004
- Tattooing and body piercing guidance. Public Health England. July 2013 Model Byelaws. Acupuncture, tattooing, semi-permanent skin-colouring, cosmetic piercing and electrolysis. Department of Health.
- Blood-borne virus in the workplace. Guidance for employers and employees. Health & Safety Executive.
- Hairdressing and Beauty Industry Authority publications.

3.0 Responsibility

3.1 All authorised officers are responsible for compliance with this policy in relation to the use of their enforcement powers.

4.0 The Cosmetic Piercing and Skin-Colouring Enforcement Policy Statement

4.1 The Policy of Hambleton District Council is to take all necessary steps to ensure that all establishments and individuals that are required to be registered under section 14 or 15 of the 1982 Act are registered and that the premises and personnel involved in such activities comply with legislation and good practice.

4.2 In order to implement this Policy, the Environmental Health Service will ensure that Authorised Officers are adequately trained and experienced for the purposes of enforcing the relevant legislation. They will liaise with all relevant bodies to help ensure the efficient enforcement of the legislation. Where appropriate, the Service will also call upon the expertise of others to assist the process.

4.3 The Environmental Health Service will:-

- a) produce, apply and regularly review conditions attached to registrations issued by the Council to provide adequate protection to customers of relevant businesses and practitioners;
- b) prepare and distribute to all involved, material explaining the provisions of the law and registration conditions so as to promote a better understanding of the law and greater compliance with the various statutes;
- c) inspect premises and carry out such enquiries as required prior to their registration applications being determined to ensure they will comply with the conditions;
- d) interview and observe practitioners on existing and proposed practices to ensure that good practice is followed;
- e) carry out investigations into allegations of non-compliance with cosmetic piercing and skin-colouring legislation and conditions;
- f) regularly review the District to determine whether premises or businesses exist which ought to be licensed but which are not.

5.0 Authorisations and Delegations

5.1 Decisions about Cosmetic Piercing and Skin-Colouring enforcement are delegated to officers of the Council as follows:-

5.1.1 Environmental Health Manager

- appointment and/or authorisation of officers to exercise statutory functions and exercise of the powers of entry
- exercise of powers in default and recovery of expenses
- in consultation with the Council's Legal Manager, consider the institution of legal proceedings, and approval and amendment of any registration.

N.B. In the absence of the Environmental Health Manager (EHM), the duty will be undertaken by the Environmental Health Team Leader.

5.1.2 Council's Director of Corporate Services

Where considered appropriate and in accordance with this Policy to institute legal proceedings on behalf of the Council in respect of offences against any legislation, including byelaws, which the Council is authorised to enforce.

5.1.3 Authorised Officers

All Environmental Health Officers and Technical Officers who are suitably qualified and experienced are empowered to inspect premises and activities and consider applications for registrations.

5.2 Powers of Entry - all Environmental Health Officers and Technical Officers who are suitably qualified and experienced are authorised to exercise the powers of entry as detailed in their authorisations. In exercising those powers the Environmental Health Officers and Technical Officers will carry identification documents.

5.3 Where differences in application of legislation are not resolved between the Authorised Officer and the regulated entity, it will be the responsibility of the Lead Officer (Commercial) to resolve the matter. In the event of failure to resolve the difference, the matter will be referred to the Environmental Health Manager or, in their absence, the Environmental Health Team Leader.

5.4 Where rights of appeal are specified in legislation, these will be clearly set out in writing at the time the formal documents are served.

6.0 Registration of Cosmetic Piercing and Skin-Colouring Premises and Personnel

6.1 All premises within the scope of this Policy and subject to the legislation listed in paragraph 1.1 above, must be registered at all times during which the relevant business is in operation. For premises to be registered, the relevant conditions must be complied with, or an agreed written programme of improvements must be in place and be in the process of implementation, and all relevant fees must have been paid. All practitioners carrying out registerable activities, or people assisting those practitioners, must comply with relevant byelaws and legislation.

6.2 An inspection programme will be devised and implemented on the basis of the risk inherent to the type of business or type of procedure involved, previous history and level of compliance with existing requirements and perception of management ability to maintain standards in the future. In addition, the programme will be based on inspection requirements and periods set in specific legislation.

6.3 All requests for investigation of unsatisfactory situations will be assessed and a decision made on the extent of the investigation according to the information available or ascertainable.

7.0 The Enforcement Options

7.1 After having due regard to all relevant legislation, information and evidence, the following enforcement options will be considered where applicable:

- a) To take no action
- b) To take informal action
- c) To take statutory action under byelaws, HASAWA and 1982 Act
- d) To prosecute
- e) To recommend refusal, suspension or cancellation of a registration
- f) To seize articles or substances

8.0 No Action

8.1 This course of action is only considered appropriate where, in the officers' opinion, all relevant statutes, byelaws and guidelines are satisfactorily complied with.

9.0 Informal Action

9.1 Informal action is action which will, in the officer's opinion, secure compliance with legislation by offering advice, issuing verbal warnings, and the issue of letters.

9.2 Officers may recommend informal action where:

- a) The previous record of the premises is such that it would be reasonable to expect compliance when informal action is taken.
- b) Confidence in the premises management is high.
- c) The action is part of an ongoing project to improve standards.

9.3 At the conclusion of every visit or investigation the officer will discuss the result of the visit or investigation with the person in control of the premises and issue a report.

9.4 When taking informal action the officer will:

- a) Give all the necessary information to enable all relevant person(s) to understand what is required to remedy the situation and why the action is necessary.
- b) Indicate that any other means that achieve the objectives of compliance will be equally acceptable.
- c) Clearly differentiate between legal requirements and recommendations of good practice.
- d) Arrange to carry out follow-up visits where revisits are necessary to confirm compliance. The timing of these visits will be determined by the

significance of the breaches and should, wherever possible, be carried out by the original inspecting officer.

- 9.5 After investigation of allegations found to be unsubstantiated or anonymous complaints where corroborating evidence is not obtained by the Investigating Officer, no further action will generally be taken. However, the allegation or complaint will remain on the premises file for 3 years.

10.0 Statutory Action

- 10.1 Where there is a contravention of a statutory provision, byelaws or registration condition, and the Officer is satisfied that the remedy of that unsatisfactory situation is unlikely to be achieved by informal means, or there is potential danger to human health, a formal letter will be produced. This will specify the work to be done or the situation to be remedied, stating a timescale for its completion. The contents of this letter and associated timescales will be discussed with the person responsible before the notice is produced.
- 10.2 Where public health needs to be protected but voluntary co-operation to avert a health risk cannot be secured and where other methods of control are ineffective, action will be implemented under the Health Protection (Part 2A Orders) Regulations 2010. These powers can impose restrictions or requirements and are conditional on strict criteria being met.
- 10.3 Extensive powers for the service of improvement and prohibition notices are described in HASAWA.

11.0 Prosecution

- 11.1 The decision to prosecute is a serious matter and will only be considered after consultation with the Environmental Health Team Leader or Environmental Health Manager. The case and the available evidence will be discussed with the Council's Legal Manager prior to any decision regarding the institution of legal proceedings
- 11.2 The relevant criteria to be considered by officers when prosecution is being contemplated are detailed in the Environmental Health Enforcement Strategy and Policy.
- 11.3 Prior to the issue of any prosecution proceedings the EHM or Environmental Health Team Leader must be satisfied (by the authorised officer) that there is relevant, admissible, substantiated and reliable evidence that the offence has been committed by an identifiable body or individual.
- 11.4 There must be a realistic prospect of conviction.
- 11.5 The current Code for Crown Prosecutors issued by the Crown Prosecution Service and the relevant Codes of Practice must be followed.

- 11.6 In addition to being satisfied that there is sufficient evidence a positive decision must be made by the officer based on the factors detailed in section 8 of the Environmental Health Enforcement Strategy and Policy.
- 11.7 The decision to prosecute will be based upon fact and fairness and not upon arbitrary rules not embodied in this policy or the Environmental Health Enforcement Policy and Strategy.
- 11.8 Prosecution will invariably follow any instances of obstruction of an Officer in the course of their duties where appropriate.

12.0 Suspension, cancellation and refusal of a registration

- 12.1 If a person, registered to practice acupuncture, tattooing, semi-permanent skin-colouring, cosmetic piercing and electrolysis is found guilty of an offence by the Magistrates' Court for an offence(s) under section 16 of the 1982 Act the court may, instead of or in addition to imposing a fine, order the suspension or cancellation of his registration. The Court may also order the suspension or cancellation of any registration of the premises in which the offence was committed. There is a right of appeal to the Crown Court.
- 12.2 Where the Court has cancelled the registration of a person following conviction under section 16 of the 1982 Act he shall not be registered again under section 14 or, as the case may be, section 15 of the 1982 Act except with the consent of the Magistrates' Court which convicted him.

13.0 Seizure of articles or substances

- 13.1 Under section 25 of HASAWA, if an Inspector during a visit finds any articles or substances believes it to be a cause of imminent danger or serious personal injury, he may seize it and cause it to be rendered harmless (whether by destruction or otherwise).

HAMBLETON DISTRICT COUNCIL

Report To: Cabinet
11 February 2014

Subject: RISK BASED VERIFICATION POLICY

All Wards
Portfolio Holder for Support Services and
Economic Development: Councillor P R Wilkinson

1.0 PURPOSE AND BACKGROUND:

- 1.1 The Audit Commission's report Protecting the Public Purse 2013 highlighted that over two thirds of loss of public money was due to Housing and Council Tax Benefit fraud at about £120 million. Ensuring the right amount is paid out is crucial in ensuring fairness to both claimants and taxpayers.
- 1.2 Hambleton District Council has for several years voluntarily adopted the Department for Works and Pensions (DWP) Verification Framework for administering Housing/Council Tax Benefit claims. The emphasis of this Policy is to operate a regime of preventing fraud and error entering the system.
- 1.3 Risk Based Verification (RBV) is a method of applying different levels of checks to different circumstances depending upon a mathematical risk profile given to each customer. The higher the deemed risk the higher the amount of resources will be used to establish that the claim is genuine. Risk Based Verification allows the Council more flexibility to take into account local issues and build in checks and balances. This type of approach identifies higher levels of fraud and error whilst reducing the overall cost of verifying claims. Overall time scales for processing claims will improve. The Department for Works and Pensions intends to use a similar process when Universal Credit is introduced.

2.0 LINK TO CORPORATE PRIORITIES:

- 2.1 The Welfare Reform changes represent significant challenges to both the Council and the community. The adoption of this policy will assist in maximising the opportunity to detect and prevent fraud and error.
- 2.2 In addition claims processing will improve with better targeting of resources.

3.0 RISK ASSESSMENT:

- 3.1 The Department for Work and Pensions have confirmed that Risk Based Verification, properly adopted will meet audit requirements. Internal audit processes will have to be amended and the application of Risk Based Verification will part of internal audits review programme alongside the sections own quality assurance measures.

4.0 FINANCIAL IMPLICATIONS AND EFFICIENCIES:

- 4.1 There are no direct financial implications to adopting this Policy.

4.2 The experience of other local authorities is that more fraud and error has been identified at the gateway which would otherwise have entered the benefit system.

4.3 Failure by the local authorities to apply verification standards to claims as stipulated in its policy will cause expenditure to be treated as error. The auditor will, if necessary, extrapolate this error and where appropriate issue a qualification letter.

5.0 LEGAL IMPLICATIONS:

5.1 The risk based verification policy proposed complies with the recommendations from the Department for Work and Pensions.

6.0 EQUALITY/DIVERSITY ISSUES:

6.1 Risk based verification will apply to all new claims for Housing Benefit and Council Tax Reduction. The course of action to be taken following risk analysis is governed by the contents of this policy. As such there should be no equalities impact.

7.0 RECOMMENDATIONS:

7.1 It is recommended that:-

- 1) Cabinet agrees the Policy for approval at Council; and
- 2) Council ask that the Policy is reviewed annually by the Audit, Governance and Standards Committee.

JUSTIN IVES

Background papers: None

Author ref: SG

Contact: Sue Grant
Principal Benefit Officer
Direct Line No: 01609 767220

110214 Risk Based Verification Policy Report

HAMBLETON DISTRICT COUNCIL

RISK BASED VERIFICATION POLICY

Policy Summary:

Risk Based Verification allows a more intense verification activity to be focussed on claims more prone to fraud and error. It will help overcome many of the problems and issues arising from the current verification methods used to assess a new claim for Housing Benefit and Council Tax Support. The current method is labour intensive, slow and inflexible.

Work has been undertaken to classify claims as low, medium or high risk, depending on risk of it being fraudulent or erroneous. Officers are then able to focus their efforts on those high risk cases, capturing more fraud and error while speeding up the processing of low risk applications.

The benefits of Risk Based Verification are that processing time for new claims will be improved, there will be a removal of resource burden for low risk claims, the resource can be deployed into other value added activities, such as overpayment and council tax recovery. Customer satisfaction will be improved by determining and paying benefit quicker. Fraud and error will be identified more quickly, and at the first point of a claim being made.

1.0 Introduction

The verification Framework Policy was initially introduced by the Department for Works and Pension as guidance in line with Social Security Administration Act 1992 for administering Housing and Council Tax Benefit claims. This was a voluntary policy that strongly recommended that local Councils should obtain a substantial amount of documentary evidence, carry out numerous pre-payment checks and visits before making any payment.

The emphasis of this policy is to operate a regime of preventing fraud and error entering the system through the application of Risk Based Verification, applying different levels of checks to benefit claims according to the risk associated with those claims. Thus activity is targeted towards those cases deemed to be the highest risk of involving fraud and error thereby focusing resources more effectively. This will be supplemented with an interventions programme which will target expected future changes.

Risk Based Verification is practised by the Job Centre Plus service and it is intended that this will be carried forward into the new Universal Credit system.

2.0 Background

2.1 Legislation

The Council must adhere both to Housing Benefit and Council Tax Support legislation and the associated case law from the High Court and equivalent. The regulations themselves do not specify what information and evidence should be obtained from a customer to verify the facts of the claim. However, the law does enable each authority to obtain the information it needs to allow an accurate assessment of each claimant's entitlement, both when a claim is first made and when the claim is reviewed.

Housing Benefit Regulation 86 states

“a person who makes a claim, or a person to whom housing benefit has been awarded, shall furnish such certificates, documents, information and evidence in connection with the claim or the award, or any question arising out of the claim or the award, as may reasonably be required by the relevant authority in order to determine that person's entitlement to, or continuing entitlement to housing benefit and shall do so within one month of being required to do so or such longer period as the relevant authority may consider reasonable.”

Furthermore Section 1 of the Social Security (Administration) Act 1992 states that a national Insurance number must either be stated or enough information provided to trace to allocate one. This legislation applies to both customers and their partners.

(1A) No person whose entitlement to any benefit depends on his making a claim shall be entitled to the benefit unless subsection (1B) below is satisfied in relation both to the person making the claim and to any other person in respect of whom he is claiming benefit.

(1B) this subsection is satisfied in relation to a person if –

(a) The claim is accompanied by–

(i) a statement of the person's national insurance number and information or evidence establishing that that number has been allocated to the person; or

(ii) information or evidence enabling the national insurance number that has been allocated to the person to be ascertained; or

(b) the person makes an application for a national insurance number to be allocated to him which is accompanied by information or evidence enabling such a number to be so allocated.

The equivalent legislation regarding Council tax Support can be found in Schedule 8 of the Council Tax Reduction (Prescribed Scheme requirements) Regulations 2012

As these requirements are at the core of the process of administering claims these shall be adhered to at all times and be considered within the Quality Assurance checks completed on benefit claims assessment.

3 Risk Based Verification

The current verification procedure uses a significantly high percentage of time in verifying and requesting documentation to support information supplied by customers. Risk Based Verification is a method of applying different levels of checks to different circumstances depending on a complex mathematical risk profile given to each customer. The higher the deemed risk, the higher amount of resources will be used to establish that the claim is genuine.

Risk Based Verification also allows the Council more flexibility to take into account local issues and build in checks and balances. Improving the time taken to process claims should help those moving from benefits to work whilst reducing the level of overpayments for example.

For the purpose of applying verification on a risk basis, each claim is ranked into one of three categories:

- Low
- Medium
- High

Claimants in each risk group will be required to provide a different amount of information and documentation before their claim can be processed. The table at *Annexe A* shows the requirement in more detail. A national insurance number and identity confirmation must be made in all cases irrelevant of the risk grouping to ensure compliance with the legislation.

Low Risk

Capture of all necessary data to process the claim
Proof of identity, production of a national insurance number
Student - formal identification of status will be required where applicable

Medium Risk

The capture of all necessary data to process the claim
Proof of identity, production of a national insurance number
Student - formal identification of status will be required where applicable
Documentary evidence to verify claim where required. The documentation can be photocopies in this instance.

High Risk

All high risk categories must have the same checks as medium risk and documentation provided for each declared type of income or capital; however the documents must be original. Furthermore a Credit Reference Agency check or visit may be undertaken where there are identified discrepancies between the information provided by the customer. Credit Reference checks would be undertaken by a member of the investigations team.

4.0 Discretion, Recording and Monitoring

All risk scores are recorded by the software used to process benefits. The Council also has a minimum of 2% blind sampling which means cases from lower categories are upgraded to test the software assumptions and this information can be fed back into the propensity models supporting the parameters of the Risk Based Verification tool. Records of risk scores will be maintained and reviewed to ensure compliance with legislation and that the Council is maintaining proper quality assurance controls.

Assessment officers will be able to increase the risk on a case by case basis, with the approval of a Team Leader. All cases which are upgraded will be recorded along with the reasons for this. Reasons for upgrading the risk may include previous history of fraud, continued late reporting of changes and good reason to doubt the accuracy of information provided. Cases cannot be downgraded at anytime.

Monthly management reports will be produced to identify the percentage of cases presented in each risk category and how much fraud and error has been established in each. The Council will carry out a minimum of 5% of random sampling of cases to ensure the risk matrix is robust.

5.0 Training

Training will be provided for all officers using Risk Based Verification to ensure the agreed processes, procedures and guidelines are adhered to. Discussions will take place with all relevant stakeholders so that they are fully aware of the change.

6.0 Review

The management team within the Benefits Service will analyse results from the new Risk Based Verification process quarterly to ensure the most up-to-date information is being used and monitor fraud and error detection levels. It is expected fraud and error will be small in low risk and increased for medium and high risk cases.

7.0 Audit requirements

Failure to apply verification standards to Housing Benefit claims as stipulated in its Risk Based Verification Policy will cause expenditure to be treated as LA error. External Auditors will be informed of the Council's Risk Based Policy so that any Housing Benefit subsidy audit will be subject to the risk based verification standards.

Section 151 Officer _____
Name _____

Member _____
Member for _____

Appendix A

| Type of Evidence | Sub-category of evidence | Low Risk | Medium Risk | High Risk | |
|------------------------------|--|-----------------------------------|-----------------------------------|-----------------------------------|--------------------|
| Identity and S19 | Identity | Originals or Photocopies | Originals required | Originals Required | |
| | S19 | Originals or Photocopies accepted | Originals required | Originals Required | |
| Residency/Rent | Private Tenants | | Originals or Photocopies accepted | Originals Required | |
| | Social Landlords | | | Originals Required | |
| | Public Sector | | | | |
| Household Composition | Partner ID/S19/Income/Capital | Originals or Photocopies accepted | Originals or Photocopies accepted | Originals Required | |
| | Dependants under 18 | | Originals or Photocopies accepted | Originals Required | |
| | Non Dependants – remunerative work | | | Originals or Photocopies accepted | Originals Required |
| | Non Dependants – passported benefit | | | | |
| | Non Dependant –student | | Originals or Photocopies accepted | Originals Required | |
| | Non Dependant – not in remunerative work/other | | | Originals or Photocopies accepted | Originals Required |
| Income | State Benefits | | | | |
| | Earnings/SMP/SSP | Originals or Photocopies accepted | Originals or Photocopies accepted | Originals Required | |
| | Self Employed Earnings | Originals or Photocopies accepted | Originals or Photocopies accepted | Originals Required | |
| Child Care Costs | | | Originals or Photocopies accepted | Originals Required | |
| Student Status | Income also required | Originals or Photocopies accepted | Originals or Photocopies accepted | Originals Required | |
| Capital | Below lower capital limit | | | | |
| | Above lower capital limit | | Originals or Photocopies | Originals Required | |
| | Property | | Originals or Photocopies accepted | Originals Required | |

HAMBLETON DISTRICT COUNCIL

Report To: Cabinet
11 February 2014

Subject: **REVISED CORPORATE HEALTH AND SAFETY POLICY**

All Wards

Portfolio Holder for Support Services and Economic Development: Councillor P Wilkinson

1.0 PURPOSE AND BACKGROUND:

- 1.1 The purpose of this report is to inform Cabinet of the proposed revision to the Corporate Health and Safety Policy.
- 1.2 The revised Policy (attached in Annex 'A') takes account of the need to develop a more comprehensive document which builds on the previous Policy, updating it for the management of health and safety across all Council Directorates and services.

2.0 POLICY CONTENT:

- 2.1 The Policy Statement requires the integration of health and safety into the Council decision making and risk management processes. The Policy aim and objectives are to be worked towards across the Council and in our dealings with partners, contractors and others. To demonstrate strong and active leadership from the top, personal commitments are included from the Chief Executive, Directors and Members. In all cases the commitments reflect the personal responsibilities carried by individuals under health and safety law.
- 2.2 Section 2 sets out the Council's organisational structure and responsibilities for health and safety. This section has been developed to be more comprehensive and now includes the responsibilities for health and safety at all tiers of management. The leadership role of management is incorporated within the responsibilities and developing an understanding of this role is critical to successful implementation. In light of the Corporate Manslaughter and Corporate Homicide Act 2007 this is a key area for review and action.
- 2.3 The Council's arrangements for health and safety management are included in Section 3. This covers the Council's systematic approach to health and safety management and includes sub-sections on Policy, Organising, Planning and Implementing, Measuring Performance, Reviewing Performance and Auditing. In effect, this sets out a framework for how health and safety is to be managed across all Council Directorates and services. The management system reflects best practice guidance.
- 2.4 Corporate and Directorate health and safety procedures continue to be developed to set standards, systems and guidelines for the implementation of control measures for specific health and safety risks. These procedures are being produced taking account of current best practice, both within the Council and externally. To support dissemination of information, all health and safety policies, procedures and guidance are to be made readily available on the Council's Intranet site.

3.0 NEXT STEPS:

- 3.1 The new Policy will be publicised and implemented. The Policy will be brought to the attention of Members, all Council employees and others as necessary.
- 3.2 Corporate Health and Safety reports will be presented periodically to Scrutiny Committee and Management Team.
- 3.3 The Policy will be kept under review and any improvement action will be initiated as appropriate. The formal review of the Policy is scheduled for January 2016.

4.0 LINK TO COUNCIL PRIORITIES:

- 4.1 There are no links to specific Council priorities.

5.0 RISK ASSESSMENT:

- 5.1 There are no significant risks arising out of this report.

6.0 FINANCIAL IMPLICATIONS:

- 6.1 There are no direct financial implications of this report.

7.0 LEGAL IMPLICATIONS:

- 7.1 The Health and Safety at work Act 1974 and all other related legislation places responsibilities on employers to operate safe systems of work for their staff, customers and visitors. The Corporate Manslaughter and Corporate Homicide Act 2007 places specific duties on senior managers for health and safety issues.
- 7.2 An up to date and effective Corporate Health and Safety Policy is an important cornerstone in fulfilling those obligations.

8.0 EQUALITY/DIVERSITY ISSUES

- 8.1 None.

9.0 RECOMMENDATION:

- 9.1 It is recommended that Cabinet approve the revised Policy and recommend it to Council.

MARTYN RICHARDS

Background papers: Revised Corporate Health and Safety Policy
Author ref: JMR
Contact: Martyn Richards
Director of Corporate Services
Direct Line No: (01609) 767010

110214 Revised Corporate Health and Safety Policy

HAMBLETON DISTRICT COUNCIL

**CORPORATE HEALTH AND
SAFETY POLICY**

DRAFT

**10 December 2013
Phil Morton
Chief Executive**

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| | |
|-------------------------|--|
| Title | Corporate Health and Safety Policy |
| Number of pages | 17 |
| Author | Health and Safety Team |
| Approved/authorised | Management Team/Health and Safety Group |
| Date of issue | 10 December 2013 |
| Review date | December 2015 |
| Links to other policies | Corporate and directorate H&S procedures. Various Human Resources & Risk Management policies. |

1.0 CORPORATE HEALTH AND SAFETY POLICY STATEMENT

1.1 The Corporate Health and Safety Policy Statement

Policy Aim

To be an organisation where everyone can fulfill their potential free from work related injury or ill health; this includes employees, volunteers, customers, partners and others who may be affected by our work activities

Policy Objectives

To provide adequate control of the health and safety risks arising from work activities

To consult with employees on matters affecting their health and safety

To provide and maintain safe plant and equipment

To ensure the safe handling and use of substances

To provide information, instruction and supervision for employees

To ensure all employees are competent to do their tasks, and to give them adequate training

To prevent accidents and cases of work-related ill health

To maintain safe and healthy working conditions

To revise and update this policy as necessary at regular intervals

The policy's aim and objectives are to be worked towards across the District Council and in our dealings with Partners, Contractors, Suppliers and others.

1.2 Chief Executive's Commitment

As Chief Executive, I accept the duties and obligations imposed upon me by legislation. I realise the importance of integrating health and safety into decision making and risk management processes within the District Council. The Directors will support me in this role and together Management Team will ensure the effective leadership of health and safety, following the latest IOD/HSE guidance "Leading health and safety at work".

Whilst accepting the minimum legal standards set by national legislation the District Council is committed to promoting a health and safety culture, which aims to produce high standards of health and safety. This process will continue to raise standards within the District Council beyond the minimum legal requirements. I believe that achieving these high standards will positively contribute to the overall quality of the services provided by the District Council and I will make available sufficient resources to ensure that they are met.

I accept that although the final level of responsibility for implementing the District Council's policy rests with me, each and every individual employee must take an active role in effectively implementing the policy. I urge all employees to co-operate fully in the measures the District Council will be taking as part of this Policy, to ensure so far as is reasonably practicable the health and safety of themselves and others .

1.3 **Directors' Commitment**

As Directors of the District Council, we recognise and accept the duties and obligations imposed upon us, both under legislation (including the Health and Safety at Work etc. Act 1974) and this Policy, to ensure, so far as is reasonably practicable, the health and safety of:

- All employees of the District Council whilst they are at work
- Other persons (e.g. customers, visitors, members of the public, contractors) who may be exposed to risks to health and safety arising out of the activities of the District Council

We realise the importance of integrating health and safety into decision making and risk management processes within our directorates and services. We will provide effective leadership of health and safety within our directorates. Our service managers will support us in this role and together directorate senior management teams will ensure the effective leadership of health and safety, following the latest IOD/HSE guidance "Leading health and safety at work".

We have set out in this policy the duties and obligations that apply throughout all directorates, so all employees are aware of their own roles and responsibilities. In order to fulfill these duties and obligations, it is necessary for us to rely upon the full co-operation and support of all employees.

1.4 **Members' Commitment**

As members of the District Council we recognise the duties and obligations imposed on us to support the Chief Executive and Directors in their leadership of health and safety. We will ensure that our decision making and contacts with employees and members of the public support the aims of this Policy and the requirements of health and safety legislation.

To help co-ordinate this effort the Portfolio Holder for Corporate Services will act as Member's contact point for ensuring that decision making is in line with this Policy and the requirements of health and safety legislation.

The District Council's health and safety performance will be scrutinised on a periodic basis at Scrutiny Committee.

Councillor Mark Robson
Leader of the District Council

Councillor Nigel Knapton
Portfolio Holder for Corporate Services

2.0 **ORGANISATIONAL STRUCTURE AND RESPONSIBILITIES FOR HEALTH AND SAFETY**

This Section details the health and safety roles and responsibilities assigned to specific posts and functions. These roles and responsibilities are shown diagrammatically in **Appendix 1**.

2.1 **Members**

2.1.1 **Leader of the District Council**

To ensure the work of the Cabinet and full Council is conducted in accordance with District Council policy and procedures for health and safety and with due regard for any statutory provisions set out in legislation.

2.1.2 **Portfolio Holder for Corporate Services**

This Portfolio Holder has an individual responsibility for health and safety and acts as Member's contact point for ensuring that decision-making is in line with District Council policy and procedures for health and safety and any statutory provisions set out in legislation.

2.1.3 **Scrutiny Committee**

The District Council's health and safety performance will be scrutinised on a periodic basis at Scrutiny Committee as part of the District Council's framework for corporate governance.

2.1.4 **All Members**

All Members shall ensure that all the decisions they make are in line with District Council policy and procedures for health and safety and any statutory provisions set out in legislation. This principle is to be borne in mind by all committees and during all contacts with employees and members of the public.

2.2 **Chief Executive**

The Chief Executive has overall personal responsibility for the effective leadership of health and safety in the District Council. He will carry out the following duties:

- ensure that the health and safety policy and procedures are an integral part of the District Council's culture, of its values and performance targets
- provide effective leadership to Directors by agreeing and reviewing targets for achieving improvements in health and safety
- ensure that adequate resources are made available to achieve high standards of health and safety
- monitor and review health and safety performance including reference to the H&S Working group and the Health and Safety Team

2.3 Directors

All Directors are personally responsible for the effective leadership of health and safety within their Directorates and/or sphere of influence. Directors will carry out the following duties:

- ensure that the health and safety policy and procedures are an integral part of the Directorates culture, of its values and performance standards
- ensure that there is a clear management structure within the directorate and that responsibilities for health and safety are communicated and included in job descriptions
- ensure there are adequate and appropriate arrangements to secure the trust, participation and involvement of all employees
- ensure there are adequate arrangements so that the required health and safety information flows into, within and from the directorate
- ensure there are systems and arrangements to secure the health and safety competence and capability of all employees and others who are part of the conduct of the directorate's undertakings
- provide visible leadership on health and safety to service managers by setting and reviewing targets for achieving improvements in health and safety
- approve the directorate health and safety action plan and monitor implementation at senior management team
- ensure that adequate resources are made available to achieve high standards of health and safety
- monitor health and safety performance by receiving both specific (e.g. incident-led) and routine reports
- ensure individual's health and safety performance is considered at their annual appraisal
- keep health and safety performance under review at senior management teams and ensure a formal annual review is carried out
- consult health and safety risk management and others to monitor the need for further health and safety measures

Director of Corporate Services

In addition to the responsibilities outlined above the Director of Corporate Services is appointed as the "health and safety director" to ensure that health and safety risk management issues are properly addressed by Management Board and more widely in the District Council. This role includes maintaining an adequately resourced Health and Safety Risk Management service and chairing the Corporate Health and Safety Group.

2.4 Service Managers

Service Managers are personally responsible for the effective implementation of the District Council's Health and Safety Policy in areas under their control. They are responsible for the day to day operation of all health and safety systems and procedures within their service areas. They will carry out the following duties:

- ensure that the health and safety policy and procedures are an integral part of the culture, values and performance standards in their service areas
- ensure that there is accountability for health and safety within their service areas and that responsibilities for health and safety are communicated
- provide visible leadership on health and safety to managers and employees by setting and reviewing targets for achieving improvements in health and safety
- implement the directorate health and safety action plan in their service areas and monitor implementation at their team meetings
- ensure that health and safety issues are taken into account in all service performance plans and at the design stage of new initiatives
- monitor to satisfy themselves that suitable safety standards are maintained and arrange for any shortcomings in safety standards, inspections, training and instruction to be rectified
- ensure they are advised of any accidents, incidents and health and safety issues occurring in their area of responsibility
- ensure that suitable and sufficient risk assessments are carried out in their area of responsibility. These should be recorded, shared with the relevant staff and reviewed at least annually (or sooner if there is a significant change) and modified if necessary
- ensure that all employees in their area of responsibility have been informed of any risks to their health and safety, and the control measures that must be taken
- ensure that adequate resources are made available to achieve high standards of health and safety
- monitor health and safety performance by receiving both specific (e.g. incident-led) and routine reports
- keep health and safety performance under review in their management teams and play a full and active part in the review process at Directorate management team meetings
- consult health and safety risk management and others to monitor the need for further health and safety measures

2.5 Premises Managers

Premises managers take responsibility for overseeing building related health and safety issues in designated premises. They will carry out the following duties in consultation with Design and Maintenance, health and safety risk management, lead officers and other appropriate officers:

- ensure that contracts are in place through Design and Maintenance for building maintenance and the inspection and testing of equipment in the premises e.g. boilers, electrical, fire equipment, gas, lifts etc.
- ensure suitable arrangements are in place at the premises for the management of contractors and construction projects on site
- maintain suitable arrangements in the premises to manage any asbestos present in the building
- maintain suitable arrangements in the premises to manage any water related risk in the building, including legionella
- ensure the fire risk assessment for the premises is reviewed on an annual basis
- ensure appropriate health and safety signs and information is displayed throughout the premises
- ensure suitable first aid provision is maintained at the premises
- ensure health and safety standards in the communal areas of the premises are monitored through workplace inspections and ensure action is taken to improve health and safety as necessary
- ensure emergency procedures are developed and periodically tested for the premises
- on multi-occupancy sites ensure there is co-operation and co-ordination of health and safety arrangements between all parties, including tenants and licensees

2.6 Other Officers with Management/Supervisory Responsibility

Staff who manage, supervise or have responsibility for employees, trainees or members of the public are accountable for health and safety within their management control. They will carry out the following duties in consultation with health and safety risk management, lead officers and other appropriate officers:

- provide effective leadership on health and safety to their staff and support improvements in health and safety
- ensure that health and safety issues are taken into account at the design stage of new initiatives and projects
- be responsible for taking the necessary steps to ensure the health, safety and welfare of all employees, trainees and other persons who may be affected by work activities (e.g. visitors, members of the public, contractors)

- continually assess the risks to health and safety in their area of responsibility and ensure that all significant hazards are adequately addressed
- where risks cannot immediately be eliminated, ensure that proportionate action is taken to reduce the risk so far as is reasonably practicable. These actions should be recorded on a risk assessment form and brought to the attention of those affected
- ensure that accidents and incidents in their area of responsibility are reported promptly to the service manager/health and safety risk management, as required by the Accident reporting procedure. Ensure that accidents and incidents are investigated and reasonable action is taken to prevent a recurrence
- ensure that all employees in their area of responsibility receive appropriate health and safety training with regard to the safety of themselves and others. Ensure they have sufficient knowledge, skills and information to carry out their work safely. New staff will be given a workplace health and safety induction during the first week at work
- ensure that they and their staff are kept up to date with all relevant health and safety information
- ensure that all employees and trainees have appropriate protective equipment and clothing where it is required, and are given suitable information, training and instruction on its use

2.7 Health and Safety Team

The Health & Safety Team is appointed as the District Council's competent persons (in accordance with the Management of Health & Safety at Work Regulations). The Head of the Health & Safety Team is a standing member of the Corporate Health and Safety Group. The Team provides health & safety support services to Members, managers and employees, with individuals assigned to each Directorate. However, neither under the terms of this Policy, nor under health and safety law, can the Health and Safety Team relieve managers or supervisors of their operational health and safety responsibilities.

The Health & Safety Team will carry out the following duties:

- develop and advise on the implementation of health & safety policy and procedures for existing and new activities
- support and empower management to develop and implement effective health & safety risk management in their service areas
- promote a positive health & safety culture based on sensible risk management to secure high standards of health and safety
- advise on the development of health & safety action plans including the setting of realistic short-term and long-term objectives
- advise and inform on all aspects of health & safety and provide advice on new legislation affecting the work of the District Council
- advise on the implementation of the health & safety risk assessment system and prioritisation of control measures

- advise on health & safety training of staff at all levels
- monitor health and safety through inspection and audit
- co-ordinate the accident/Incident reporting, recording and investigation system
- report to management on health & safety performance and standards
- liaise with health and safety enforcing authorities and maintain professional working relationships
- exercise the authority to stop work in cases where there is an intolerable risk of serious injury or likelihood of fatality

2.8 **Human Resources**

Human Resources will ensure that the following services are provided across all directorates:

- incorporation of health and safety requirements as appropriate in Human Resources policy and procedures
- oversee the development and delivery of the corporate training plan and advice on commissioning training
- advice on employee fitness for work and on adjustments and restrictions for existing and potential employments
- medical advice to inform individual risk assessments on employees who have underlying medical conditions
- medical advice on rehabilitation programmes to assist individuals to return to work from sickness absence
- advice to managers on medical/health issues to prevent potential work related ill-health
- provision of appropriate health surveillance and advice to individuals and their managers on any risks to their health and the necessary measures to prevent the development of disease and ill-health
- provision of support via the Staff Care Network to all employees experiencing personal and workplace difficulties

2.9 **Design and Maintenance**

Design and Maintenance provides advice and guidance across all Directorates in relation to the development of new, and the refurbishment and maintenance of existing buildings. The team liaises with Directorates and building occupiers to ensure that suitable contracts are in place for maintaining buildings, plant, equipment and services. In addition the team provides specific advice and guidance on the management of asbestos and water related matters (including Legionella). The team will ensure incorporation of health and safety requirements as appropriate in Design and Maintenance policy and procedures.

2.10 Trade Union Safety Representatives

Trade Union Safety Representatives are fully consulted on matters affecting the health and safety of employees they represent, in compliance with the Safety Representatives and Safety Committees Regulations 1977. Formal consultation with Trades Unions on health and safety takes place at corporate and Directorate level through the various health and safety groups and team meetings.

2.11 All Employees and Trainees

All employees and trainees have an important part to play in protecting themselves and others. Health and safety responsibilities are based on legal obligations and are subject to the District Council's disciplinary procedures. In particular all employees and trainees are required to:

- take reasonable care for the health and safety of themselves and others, who may be affected by what they do or fail to do at work
- co-operate with all managers, supervisors and the Health and Safety Risk Management Unit on health and safety matters
- familiarise themselves with, and to act in accordance with, any health and safety procedures which have been issued to them or otherwise brought to their attention
- act in accordance with any safety training which has been provided to them, or any verbal safety instructions issued to them
- make full and proper use of any personal protective equipment (PPE) and clothing provided to them, in accordance with instructions or training received. Report any loss of, or obvious defect in, such PPE to their supervisor or manager
- adopt safe behaviour and avoid interfering with or misusing anything provided in the interest of health, safety or welfare
- report any accident/incident, no matter how minor the injury, by informing their supervisor or manager (to be done on the day of accident/incident or as soon as possible thereafter). This includes reporting any accident/incident involving a non-employee whilst on District Council premises or sites or affected by District Council activities, which comes to their attention
- report to their supervisor or manager any work situation which they consider to represent a serious and immediate danger to health and safety, or any matter which they consider to represent a shortcoming in current arrangements for health and safety
- follow any laid down emergency procedures in the event of serious imminent dangers, such as emergency evacuations

3.0 **ARRANGEMENTS FOR THE MANAGEMENT OF HEALTH AND SAFETY**

The arrangements for the management of health and safety are to be systematically applied in all activities and services throughout the District Council. The written arrangements for health and safety are accessed through the District Council's intranet, enabling document control, the sharing of best practice and promoting transparency. The key elements of the District Council's health and safety management system are shown in **Appendix 2**.

3.1 **Health and Safety Policy**

Corporate Health and Safety Policy – this clearly sets out our framework for health and safety management and is covered in detail in this document. Directorates are required to actively pursue the policy aim and objectives and to implement the health and safety management system.

3.2 **Organising**

Responsibilities – line management is responsible for health and safety performance and the implementation of corporate and directorate health and safety policy, arrangements and procedures. Specific health and safety roles and responsibilities have been assigned to various posts and these are included in the Organisation section of this document (see **Section 2**).

Consultation – consultation is achieved by standard health and safety agenda items on all team meetings, through appropriate membership of Directorate and corporate health and safety groups and meetings including recognised Trade Unions representation.

Training and Learning – Health and safety competencies are core skills and behaviours essential to the effective conduct of employee duties in relation to health and safety. The key competencies, determined by the health and safety service for the whole organisation, are introduced to all staff in the mandatory health and safety online module at induction, when an employee joins the organisation, and are refreshed every 3 years. Further training and learning in health and safety is then further developed and delivered at directorate and role specific level where training and learning solutions are tailored specifically to fit job roles.

Job Descriptions/Employee Contracts – suitable clauses to highlight health and safety responsibilities are included in all employee contracts and job descriptions appropriate to individual roles.

Appraisal – the Appraisal framework is used to set and measure performance against health and safety targets and objectives (where these are appropriate for the job description of the employee concerned). Appraisal is also used to identify health and safety learning and development needs of individuals and monitor competency development.

Working Groups – Health and Safety work groups are established to help develop, monitor and review our health and safety initiatives to meet legal requirements or promote continuous improvement. The membership of such groups will involve management and employee representatives where

appropriate, with all groups reporting to the Corporate Health and Safety Group (which is chaired by the Director of Corporate Services - see **paragraph 2.3**). The organisational structures and linkages for health and safety are shown in **Appendix 3**.

Communication – Health and safety information is communicated through line management with health and safety as an agenda item at all levels of team meetings. Corporate and Directorate health and safety documentation is developed and made available in electronic and hard copy format. The Intranet, corporate and directorate newsletters, notice boards and signage are all methods for health and safety communication.

3.3 **Planning and Implementing**

Health and Safety Action Plans – Teams are required to develop, implement and report on health and safety action plans as appropriate to ensure continuous improvement in health and safety performance.

Risk Assessments – Managers conduct and record risk assessments for all our activities using the District Council's systems and guidelines for risk assessment. Risk assessment findings are brought to the attention of employees who are encouraged to play an active part in the assessment process. Risk assessments are reviewed periodically and, following any significant changes, to ensure they remain suitable and sufficient.

Procedures – Corporate and Directorate health and safety procedures are the standards, systems and guidelines for the implementation of control measures for specific health and safety risks. Procedures are developed and implemented in accordance with the risk profile of the District Council and individual Directorates. Corporate procedures apply District wide which all Directorates must adopt when applicable. All health and safety procedures are regularly reviewed, updated when appropriate, and subject to an intranet based document control system.

Equality and Diversity – The District Council will protect everyone's health and safety in the workplace, whatever their race, gender, disability, age, religion or sexual orientation. The District Council recognises that when managers are implementing risk assessments and arrangements for health and safety, individuals' circumstances must be considered. Health and Safety Law and Disability Discrimination Act will be used appropriately to increase the employability and retention of disabled people. The District Council will ensure that health and safety information is communicated in an accessible way. This may include avoiding use of jargon, use of plain English and easy read formats where appropriate.

Contractors – All officers appointing contractors will ensure that the contractors' competency to perform the task has been checked. The District Council will utilise Safety Schemes in Procurement accreditation as part of the competency assessment process where appropriate. All contractors are required to provide risk assessments which cover any significant hazards and these should be the subject of pre-contract and on-going liaison. Contractors should not be allowed to start work on District Council premises unless an Authorisation to start work on site form has been completed. Officers

organising works should ensure there is effective liaison between contractors and occupiers of any workplaces affected. Those organising the works must ensure that all parties involved understand their responsibilities in relation to health and safety. The building occupiers must inform contractors of any known health and safety risks that they may encounter during the course of work (e.g. asbestos), along with any arrangements in force to reduce risks e.g. fire procedures.

Building Management – Directorates and services occupying buildings must ensure that there are suitably trained designated persons to oversee fire and bomb evacuation procedures/precautions/drills, fire risk assessment, asbestos monitoring, legionella checks, first aid provision, and liaison with contractors and visitors on site. Where there is multi occupancy then the occupying Directorates, services and other employers (where relevant) will agree and record these on-site arrangements. Building occupiers will ensure, in liaison with Design and Maintenance that suitable contracts are in place for statutory inspection and testing of services and equipment.

3.4 Measuring Performance

Proactive health and safety monitoring is a line management function. Health and safety performance is formally measured during manager and supervisor inspection. Reactive measurement is by managers and supervisors implementing the health and safety procedures for accident/incident reporting and investigation. It is recognised that accidents, ill health and incidents often result from failings in management control and are not necessarily the fault of individual employees. In addition the Health and Safety Risk Management Unit measures performance by audit, inspection and through accident/incident reporting and investigation.

3.5 Reviewing Performance

Performance is reviewed and reported at Health and Safety Groups, Directorate Management Team meetings, Management Board and the Scrutiny Committee on a formal and regular basis. Performance is measured against health and safety performance indicators and targets, and in terms of the achievement of Directorate health and safety action plans. Opportunities are sought for credible and suitable benchmarking.

3.6 Auditing

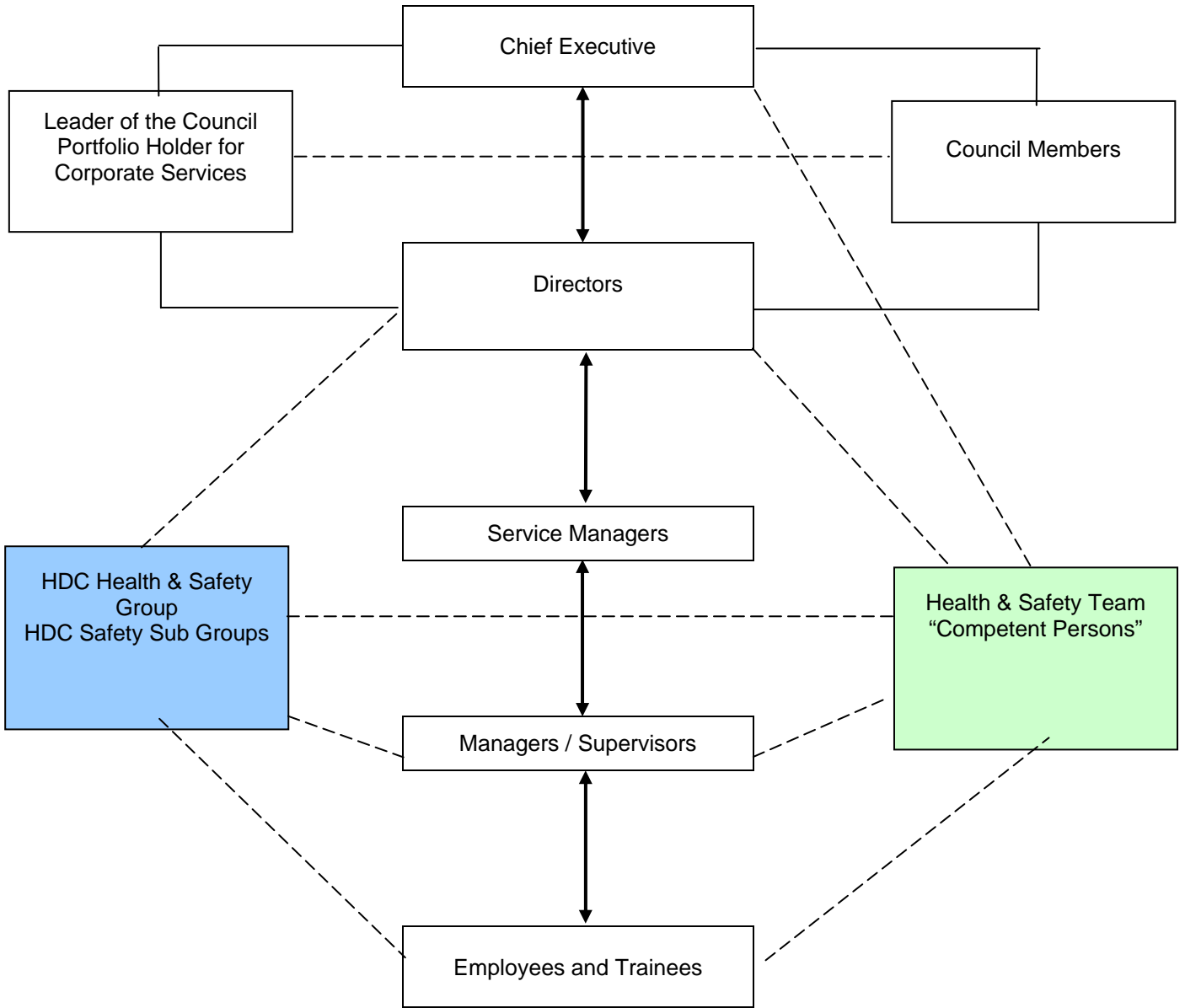
A programme of health and safety audits is delivered across all Directorates in accordance with an agreed health and safety audit programme. Directors ensure that suitable audit programmes are in place and audit action plans are fully implemented.

3.7 Policy Review

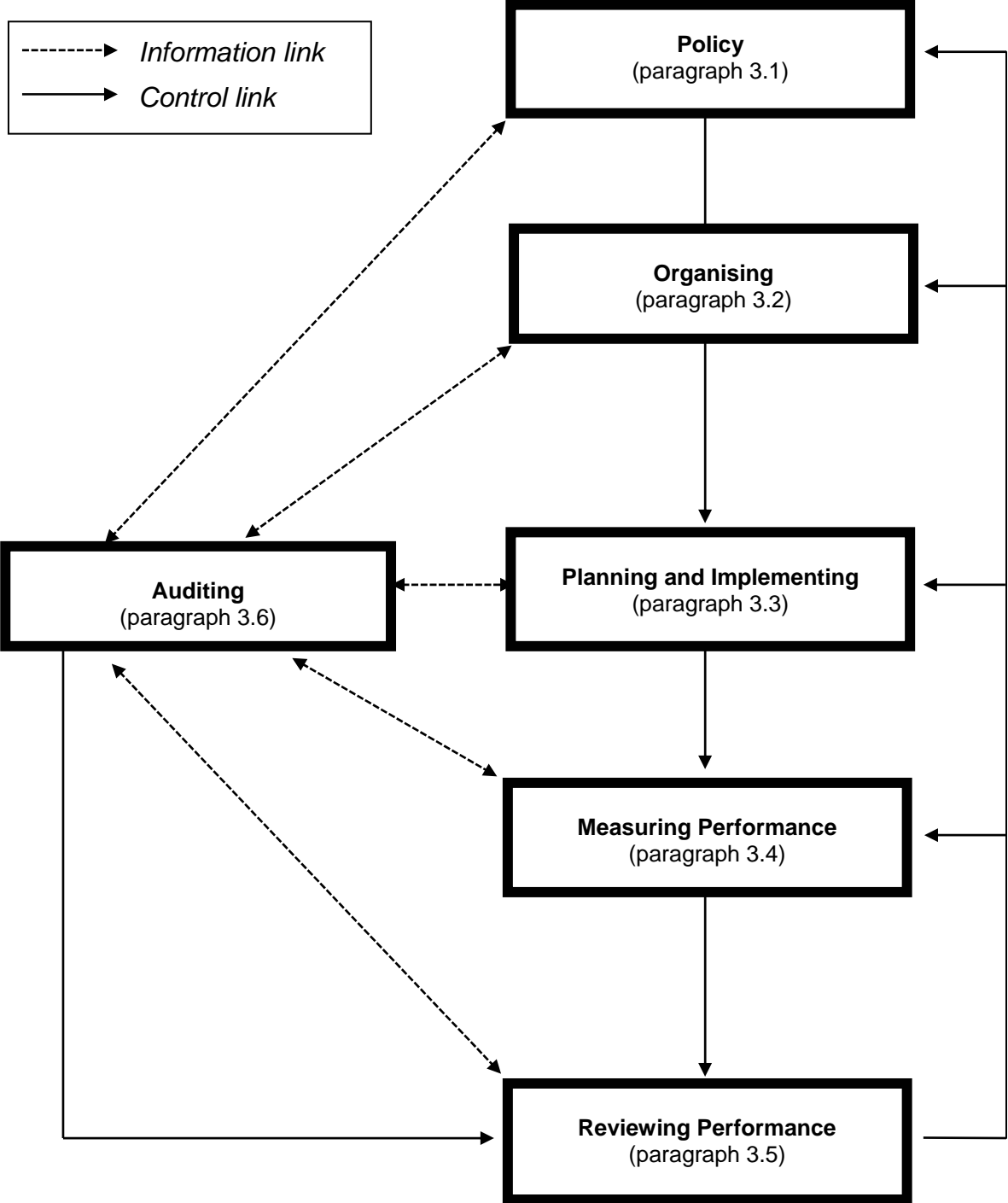
This policy will be formally reviewed every two years. However circumstances may dictate that the policy requires amendment as and when necessary.

APPENDIX 1

Diagram of the Organisational Structure and Responsibilities for Health and Safety

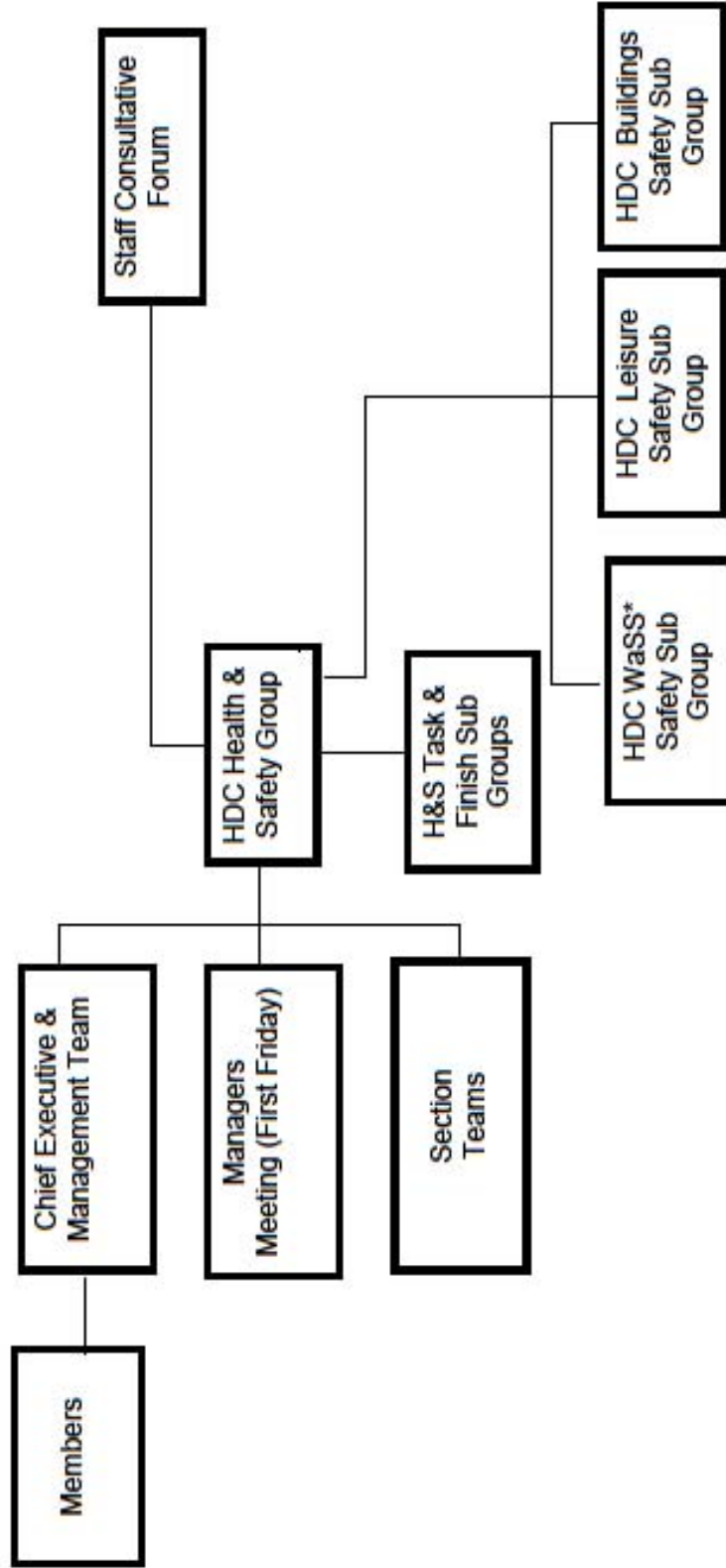


Key Elements of the Health and Safety Management System



Note - the paragraph numbers cross refer to Section 3 of this document.

Hambleton District Council
 Organisational Structure and Linkages for Health & Safety



* Waste and Street Scene

HAMBLETON DISTRICT COUNCIL

Report To: Cabinet
11 February 2014

Subject: PUBLIC OPEN SPACE, SPORT AND RECREATION ACTION PLANS

**Leeming and Crakehall Wards
Portfolio Holder for Health: Councillor Mrs S Shepherd**

1.0 PURPOSE AND BACKGROUND:

1.1 The Council's policy is to endorse Public Open Space, Sport and Recreation Sub Area Action Plans to provide a more strategic and efficient process for allocating future Section 106 monies (see Annex A) either from Local Development Framework allocations or windfall sites.

1.2 The purpose of this report is to endorse the Public Open Space, Sport and Recreation Action Plans for Burneston, Swainby with Allerthorpe and Theakston, and Snape with Thorp.

1.3 The Council's policy states that each Action Plan must comply with the following:

- Ascertain what is already provided
- Consider public open space, sport and recreation projects that are included in the local Community or Parish Plan to identify existing need
- Includes consultation with community groups that manage public open space, sport or recreation facilities to identify future need
- Includes consultation with the District Council Elected Member(s) and the local Area Partnership
- Meet the obligations of Public Open Space, Sport and Recreation Supplementary Planning Document
- Is signed off by a Council Executive Director

The Action Plan detailed in 1.2 meet this criterion.

1.4 Copies of the Action Plans detailed in 1.2 are available at Annex B.

2.0 LINK TO COUNCIL PRIORITIES:

2.1 This links primarily to the Health priority of the Council.

3.0 RISK ASSESSMENT:

3.1 Risk has been considered as part of this report and there are no risks identified as a result.

4.0 FINANCIAL IMPLICATIONS:

4.1 The main method of delivery of Section 106 allocations is to passport external funding from developers to community groups. Funds will not be committed or released to organisations until the Council has received the monies from the developer.

4.2 Action Plans will be subject to 12 monthly reviews to determine progress to ensure that the projects are still relevant and viable.

5.0 LEGAL IMPLICATIONS:

5.1 There is a legal responsibility upon the Council to ensure this funding is used in a way consistent with the individual Section 106 Agreements.

6.0 SECTION 17 CRIME AND DISORDER ACT 1998:

6.1 Some of these projects have the potential to reduce crime and disorder through providing diversionary activity for young people.

7.0 EQUALITY/DIVERSITY ISSUES:

7.1 All projects in receipt of this funding should have equal access and be available for the general public to use.

8.0 RECOMMENDATION:

8.1 It is recommended that the Public Open Space, Sport and Recreation Action Plan in Annex B be endorsed.

DAVID GOODWIN

Background papers: Hambleton Local Development Framework – Open Space, Sport and Recreation Supplementary Planning Document

Author ref: DRG

Contact: David Goodwin
Director of Leisure and Health
01609 767147

110214 POS,Sport+RecreationActionPlans

Process for approving Sub Area Action Plan and Section 106 thresholds for Public Open Space, Sport and Recreation schemes

An individual Public Open Space, Sport and Recreation Area Action Plan is submitted by Town / Parish Council to Health Team

Individual Area Action Plan projects are checked by Health / Planning Team to ensure they meet Section 106 criteria and strategic priorities and offers value for money

Eligible schemes are added to relevant Sub Area Action Plan and presented to Cabinet for approval

Sub Area Action Plan schemes approved

Yes

No

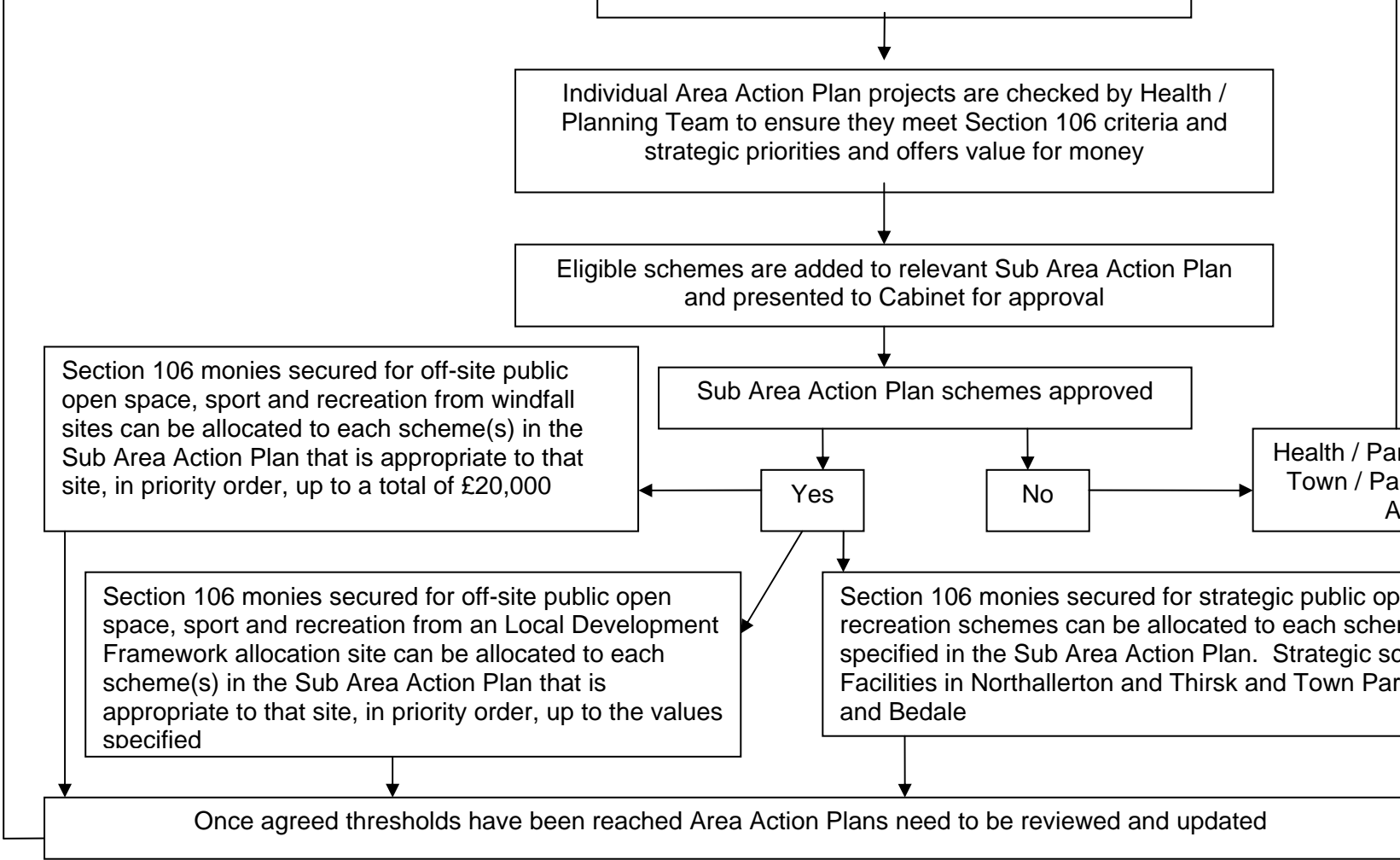
Health / Partnership Team to support Town / Parish Council to re-submit Area Action Plan

Section 106 monies secured for off-site public open space, sport and recreation from windfall sites can be allocated to each scheme(s) in the Sub Area Action Plan that is appropriate to that site, in priority order, up to a total of £20,000

Section 106 monies secured for off-site public open space, sport and recreation from an Local Development Framework allocation site can be allocated to each scheme(s) in the Sub Area Action Plan that is appropriate to that site, in priority order, up to the values specified

Section 106 monies secured for strategic public open, sport and recreation schemes can be allocated to each scheme up to the value specified in the Sub Area Action Plan. Strategic schemes are Sports Facilities in Northallerton and Thirsk and Town Parks in Northallerton and Bedale

Once agreed thresholds have been reached Area Action Plans need to be reviewed and updated



HAMBLETON
DISTRICT COUNCIL

**PUBLIC OPEN SPACE, SPORT AND RECREATION ACTION PLAN
BURNESTON, SWAINBY WITH ALLERTHORPE AND THEAKSTON**

| What POS / Sport / Recreation facilities do you have already? | Managing organisation and contact details | Future actions | How do you know there is a need for this project? | Estimated cost (£) | Community Priority (1 = highest priority) |
|--|--|---------------------------------|--|---------------------------|--|
| Leisure field and play area with play equipment | Parish Council | Development of a BMX Bike Track | Consultation with local children | £20,000 | 1 |

PUBLIC OPEN SPACE, SPORT AND RECREATION ACTION PLAN – SNAPE WITH THORP

| What POS / Sport / Recreation facilities do you have already? | Managing organisation and contact details | Future actions | How do you know there is a need for this project? | Estimated cost (£) | Community Priority (1 = highest priority) |
|---|---|--|---|--------------------|---|
| 1 x playing field with play equipment | Snape Playing Field Management Committee – committee of the Parish Council. Contact via the Clerk (as above) | To upgrade and develop the playing field sports surface; to provide new play equipment, perhaps including adult exercise equipment; to develop different areas of the field for eg nature trails etc. | Public views raised when it was proposed that the Playing field was to be partly used for affordable housing (2012); also increased use by Snape school raised with the PC from 2010 onwards; community consultation process via presentation evening, questionnaire and electronic consultation and responses completed in September 2013. | £80k | 1 |
| Avenue | Parish Council – contact via Clerk | To maintain the Avenue to ensure the longevity of the old avenue in a safe and managed way but not to the detriment of the new avenue | This is a major village asset and it is well known that residents and visitors hold this in high regard | £3k | 2 |
| Village greens, seating and other village furniture | Parish Council. Contact via the Parish Council | To develop the open spaces for recreation use including new village seats and other village furniture | Continued use by the community and visitors | £3k | 3 |
| Village Hall | Village Hall Management Committee – contact Mr Mike Brown, Chair – email m2.b@hotmail.co.uk | To provide a new entrance lobby and small meeting room and improve the village hall in terms of storage, heating, lighting, insulation, decoration. This will ensure greater and more diverse use of the Hall. | Village consultation via questionnaires completed by those using the hall (2013) and the village in general (2012) | £150k | - |

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