



## **POLICY AND RESOURCES COMMITTEE**

Thursday 8 February 2018 at 6.30 pm

Council Chamber, Ryedale House, Malton

### **Agenda**

- 1 **Emergency Evacuation Procedure**  
The Chairman to inform Members of the Public of the emergency evacuation procedure.
- 2 **Apologies for absence**
- 3 **Minutes** (Pages 3 - 8)
- 4 **To Receive Minutes from Working Parties**
- 5 **To Consider the Recommendations from the Resources Working Party held on 18 January 2018** (Pages 9 - 10)
- 6 **To Consider the Recommendations from the Corporate Peer Challenge Improvement Plan Working Party held on 18 January 2018** (Pages 11 - 12)
- 7 **To Consider the Recommendations from the Grants Working Party held on 22 January 2018** (Pages 13 - 16)
- 8 **Urgent Business**  
To receive notice of any urgent business which the Chairman considers should be dealt with at the meeting as a matter of urgency by virtue of Section 100B(4)(b) of the Local Government Act 1972.
- 9 **Declarations of Interest**

Members to indicate whether they will be declaring any interests under the Code of Conduct.

Members making a declaration of interest at a meeting of a Committee or Council are required to disclose the existence and nature of that interest. This requirement is not discharged by merely declaring a personal interest without further explanation.

**PART 'A' ITEMS - MATTERS TO BE DEALT WITH UNDER DELEGATED POWERS OR MATTERS DETERMINED BY COMMITTEE**

- 10 **Delivering the Council Plan** (Pages 17 - 34)

**PART 'B' ITEMS - MATTERS REFERRED TO COUNCIL**

- 11 **Financial Strategy 2018/19** (Pages 35 - 86)

**PART 'A' ITEMS - MATTERS TO BE DEALT WITH UNDER DELEGATED POWERS OR MATTERS DETERMINED BY COMMITTEE**

- 12 **Enabling assets programme progress report** (Pages 87 - 96)

Certain information in this report is considered to be exempt as defined in Paragraph 3 of Part 1 of Schedule 12A of the Local Government Act 1972 (as amended) as it relates to the financial or business affairs of any particular person (including the authority holding that information).

**PART "B" ITEMS - MATTERS REFERRED TO COUNCIL**

- 13 **Thornton Road Industrial Estate, Pickering - Phase 3** (Pages 97 - 104)

Certain information in this report is considered to be exempt as defined in Paragraph 3 of Part 1 of Schedule 12A of the Local Government Act 1972 (as amended) as it relates to the financial or business affairs of any particular person (including the authority holding that information).

- 14 **Any other business that the Chairman decides is urgent.**

## Policy and Resources Committee

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Held at Council Chamber, Ryedale House, Malton  
on Thursday 23 November 2017

### Present

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Councillors Paul Andrews, Steve Arnold (Vice-Chairman), Bailey, Cowling, Goodrick (Substitute), Ives (Chairman), Oxley, Potter, Raper and Wainwright

Substitutes: Councillor C Goodrick

Overview & Scrutiny Committee Observers: Councillors Clark and Sanderson

### In Attendance

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Jos Holmes, Peter Johnson, Nicki Lishman and Clare Slater

### Minutes

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#### 30 Apologies for absence

Apologies for absence were received from Councillor Val Arnold, Councillor Goodrick substituted.

#### 31 Minutes

The minutes of the meeting held on 21 September 2017 were presented.

#### Decision

That the minutes of the Policy and Resources Committee held on 21 September be approved and signed by the Chairman as a correct record.

#### Voting record

8 for  
1 abstention

#### 32 To Consider the Recommendations from the Resources Working Party held on 9 November 2017

The minutes of the Resources Working Party held on 9 November 2017 were presented.

#### Resolved

That the recommendations of the Resources Working Party held on 9 November 2017 be approved.

#### Voting record

9 for  
1 abstention

33 **To Consider the Recommendations from the Corporate Peer Challenge Improvement Plan Working Party held on 9 November 2017**

The minutes of the Corporate Peer Challenge Improvement Plan Working Party held on 9 November 2017 were presented.

**Decision**

That the recommendations of the Corporate Peer Challenge Improvement Plan Working Party held on 9 November 2017 be approved.

**Voting record**

7 for  
3 abstentions

34 **To Consider the Recommendations from the Grants Working Party held on 13 November 2017**

The minutes of the Grants Working Party held on 13 November 2017 were presented.

**Decision**

That the recommendations of the Grants Working Party held on 13 November 2017 be approved.

**Voting record**

9 for  
1 abstention

35 **Urgent Business**

There was no urgent business.

36 **Declarations of Interest**

Councillor Goodrick declared a personal non pecuniary but not prejudicial interest in Item 9 as the Council's representative to the Citizens Advice Bureau.

**PART 'A' ITEMS - MATTERS TO BE DEALT WITH UNDER DELEGATED POWERS OR MATTERS DETERMINED BY COMMITTEE**

37 **Homelessness Strategy Action Plan 2015/20 - Annual Progress**

Considered – Report of the Principal Specialist (People)

**Decision**

That the update on the 2015/2020 Homelessness Strategy Action Plan be noted.

**Voting record**

Unanimous

38 **Ryedale Housing Strategy Action Plan 2015/21 - Annual Progress**

Considered – Report of the Principal Specialist (People)

**Decision**

That the progress update on the Ryedale Housing Strategy Action Plan 2015/2021 be noted.

**Voting record**

Unanimous

39 **Delivering the Council Plan**

Considered – Report of the Delivery and Frontline Services Lead

**Decision**

That the report be noted.

**Voting record**

Unanimous

40 **Revenue Budget Monitoring**

Considered – Report of the Resources and Enabling Services Lead (s151)

**Decision**

That the report be noted.

**Voting record**

Unanimous

41 **Enabling IT**

Considered – Report of the Resources and Enabling Services Lead (s151)

**Decision**

That the report be noted.

**Voting record**

Unanimous

**PART 'B' ITEMS - MATTERS REFERRED TO COUNCIL**

42 **Timetable of Meetings 2018/19**

Considered – Report of the Resources and Enabling Services Lead (s151)

**Recommendation to Council**

That Council be recommended to approve the timetable of meetings attached as Annex A to the report, subject to any further amendment by the Scrutiny Committee on Scrutiny Committee meeting dates or Sub Committee meeting dates which will be determined at the meeting to be held on 30 November 2017.

**Voting record**

Unanimous

**43 Localisation of Council Tax Support Scheme**

Considered – Report of the Resources and Enabling Services Lead (s151)

**Recommendation to Council**

That Council is recommended to;

- (i) approve a Local Council Tax Support Scheme for 2018/19 which is unchanged from 2017/18; and
- (ii) authorise the Finance Manager in consultation with the Chairman of Policy and Resources Committee to undertake the necessary consultation work to design a scheme for 2019/20, in light of the experience in previous years, to be presented to Policy and Resources Committee in December 2018.

**Voting record**

Unanimous

**44 Veritau Merger**

This item was withdrawn.

**45 Application to the Department of Communities and Local Government for a North Yorkshire and East Riding 100% Business Rates Retention Pilot in 2018/19**

Considered – Report of the Resources and Enabling Services Lead (s151)

**Recommendation to Council**

2.1 That Council agrees with the action taken that Ryedale District Council, as a member of the North Yorkshire Business Rates Pool, be part of the North Yorkshire & East Riding submission to the Department for Communities and Local Government to become a 100% Business Rates Pilot in 2018/19.

2.2 Should the application be successful, delegated authority be given to the s151 Officer in conjunction with the Chair of the Policy and Resources Committee to formalise the pilot pool governance arrangements highlighted within the application.

**Voting record**

Unanimous

46 **Expression of Interest for a future edition of the Tour de Yorkshire**

Considered – Report of the Chief Executive (Interim)

**Decision**

That the Council does not express an interest for this round of bidding, however we continue to have discussions with partners regarding joint funding for potentially future years.

**Voting record**

8 for  
1 abstention

47 **Combined Authority Update**

Considered – Report of the Chief Executive (Interim)

**Recommendation to Council**

2.1 That Council supports the development of a combined authority to include Ryedale, with officers attending any future discussions, on the principle of a partnership of the willing.

2.2 That the preferred geography for a Combined Authority to include Ryedale to be that which includes as great a portion of the Yorkshire Region as possible and including as a minimum, York, North Yorkshire and East Riding.

**Voting record**

8 for  
1 abstention

48 **Any other business that the Chairman decides is urgent.**

There being no urgent business, the meeting closed at 8.40 pm

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## Resources Working Party

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Held at Meeting Room 1, Ryedale House, Malton  
on Thursday 18 January 2018

### Present

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Councillors Cowling, Ives (Chairman), Steve Arnold, Wainwright, Val Arnold,  
Paul Andrews, Elizabeth Shields, Oxley and Potter

### In Attendance

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Cllr John Raper, Peter Johnson, Clare Slater

### Minutes

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#### 23 **Apologies for absence**

No apologies for absence were received.

#### 24 **Minutes of the meeting held on 9 November 2017**

Decision
That the minutes of the meeting of the Resources Working Party held on the 9 November 2017 be approved and signed by the Chairman as a correct record.

#### 25 **Urgent Business**

The Chairman had one item of urgent business which was an update on the progress with the relocation of the Malton Livestock Market.

#### 26 **Declarations of Interest**

Cllr Ives declared a personal but not pecuniary interest in the White Rose Home Improvement Agency.

Cllr Andrews declared an interest in the Milton Rooms.

#### 27 **Capital Monitoring 2017-18**

Considered – Report of the Resources and Enabling Services Lead (s151).

Decision
That the report be noted.

#### 28 **Draft Capital Programme 2018/19**

Considered – Report of the Resources and Enabling Services Lead (s151).

**Decision**

That the report be noted.

29 **Financial Management Information**

Considered – Report of the Resources and Enabling Services Lead (s151).

**Decision**

That the report be noted.

30 **New Homes Bonus Reserve**

Considered – Report of the Resources and Enabling Services Lead (s151).

**Decision**

That the report be noted.

31 **Any other business that the Chairman decides is urgent**

Members were provided with a verbal update on the progress with the relocation of the Malton Livestock Market.

## Corporate Peer Challenge Improvement Plan Working Party

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Held at Meeting Room 1, Ryedale House, Malton  
on Thursday 18 January 2018

### Present

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Councillors Paul Andrews, Steve Arnold, Val Arnold, Bailey, Cowling, Ives (Chairman), Oxley, Potter, Elizabeth Shields and Wainwright

### In Attendance

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Cllr John Raper, Peter Johnson and Clare Slater

### Minutes

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#### 4 **Apologies for Absence**

No apologies were received.

#### 5 **Minutes of the meeting held on the 9 November 2017**

##### Decision

That the minutes of the meeting of the Corporate Peer Challenge Improvement Working Party held on 9 November 2017 be approved and signed by the Chairman as a correct record.

#### 6 **Corporate Peer Challenge Improvement Plan**

Considered.

##### Decision

That a small working group be established to include the members of the Resources WP and all Group Leaders. The working group to focus on the actions to deliver the key points as already agreed by Council, and yet to be delivered, in relation to Elected members.

#### 7 **Any other business that the Chairman decides is urgent**

There being no other business, the meeting closed.

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## Grants Working Party

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Held at Meeting Room 1 - Ryedale House, Malton, North Yorkshire YO17 7HH  
on Monday 22 January 2018

### Present

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Councillors Paul Andrews (Observer), Steve Arnold (Chairman), Val Arnold, Clark and Frank

### In Attendance

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Peter Johnson, Jane Kitching and Sally Roger

### Minutes

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31 **Emergency Evacuation Procedures**

32 **Apologies for Absence**

Apologies received from Councillors Jowett and Burr

33 **Declarations of Interest**

Cllr Val Arnold declared she is a NY County Councillor.  
Cllr Paul Andrews declared he is Mayor of Malton.

34 **Minutes**

Minutes for meetings held on 11/09/17 and 13/11/17 were both approved.

35 **Section 106 Grant Applications**

Annex 1

**Grants recommended**

36 **Comment from Cllr Paul Andrews**

Cllr Paul Andrews made the following comment and requested it to be minuted:

With regard to the monies in the S106 Ryedale pot he objects to monies being spent outside of Norton/Malton that has come from a development that has caused a great deal of problems to Malton itself.

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Applicant	Project	Total Project Cost	Grant Requested	Grant requested % intervention	Recommendations
NYCC	Kirkbymoorside Sportsfield Cycle Track	11,208.50	11,208.50	100%	Defer for further information and details from NYCC
Derwent Riverside Project (DRP)	Castle Garden - Path Improvements	12,430.00	11,430.00	92%	Defer for further information and details from applicant
The Milton Rooms	Lights, Sound, Action!	9,035.50	8,130.00	90%	Recommended for approval. Conditions as outlined in Officers Appraisal
Pickering Recreation Ground	Function Room Refurbishment	20,438.00	14,500.00	71%	Defer for further information from applicant - however Members agreed to application in principle
Slingsby Sports Club	Upgrading Slingsby Sports Field	26,826.00	26,826.00	100%	Members recommended £ 20,000. Conditions as outlined in Officers Appraisal
Thornton Le Dale Playing Field Association	Playground Equipment (additional funding request)	17,012.00	5,500.00	32%	Recommended for approval. Conditions as outlined in Officers Appraisal
		<b>£96,950</b>	<b>£77,595</b>		

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**SUSTAINABLE GROWTH**

This Council wants to do all it can to create the conditions for economic success in our area. We also want Ryedale residents to have the skills, opportunities and living conditions that allow them to benefit from a healthy local economy and enjoy a good quality of life. A supply of local labour with the right skills is also essential for our businesses. To support both our businesses and our communities we also need new homes, particularly affordable homes for local people. We can only influence and seek to facilitate these matters in partnership with others. To guide our policies, proposals and priorities we monitor our relative performance in terms of the key baseline issues of: Employment and benefit claimant levels, Wage levels, Qualifications and education, Supply of homes (market and affordable) and housing sites. Housing affordability, including fuel poverty, Dealing with homelessness. Where local performance doesn't reflect our ambitions for our economy and communities, we will work with the appropriate partners to seek to address this through the most deliverable means. The Council has approved the Local Plan Sites Document for publication and submission for Examination early in 2018. This will lead to the completion the current Local Plan which will provide greater certainty to developers.





	<b>EMPLOYMENT</b>	<b>Pages 3-4</b>	<b>External Partnerships and Place Specialists</b>
	<b>SKILLS</b>	<b>Pages 5-6</b>	<b>External Partnerships and Place Specialists</b>
	<b>HOUSING</b>	<b>Pages 6-9</b>	<b>People Specialists</b>
	<b>ENVIRONMENT</b>	<b>Page 9</b>	<b>Environment Specialists</b>

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**CUSTOMERS AND COMMUNITIES**

Following the implementation of the new operating model for the Council, customer facing services such as Council tax collection and rebate and housing benefit have maintained performance levels. The community team are developing new ways of working with parishes and communities, and working closely with partners including the police and fire services. The changes in circumstances processing performance in benefits has improved in this quarter following targeted work.

In terms of supporting the growth agenda the Council has continued to determine major applications in a timely manner with 99% of major applications determined in time and/or agreed extensions of time. The Specialist Place Team is slightly below target in the year to date on 'minor' and 'other development' categories.

	<b>COUNCIL TAX AND BENEFITS</b>	<b>Pages 10-11</b>	<b>Customer Services (People)</b>
	<b>PLANNING</b>	<b>Pages 12-14</b>	<b>Customer Services (Place)</b>
	<b>RECYCLING</b>	<b>Pages 14-15</b>	<b>Operations</b>
	<b>CUSTOMERS</b>	<b>Pages 15-16</b>	<b>Customer Services</b>

**ONE RYEDALE**

Overall, income levels are performing well against budget. Development Management fees and income from recyclates are significantly above budget, however Trade Waste income and Car Park ticket income are currently below budgeted levels.

	<b>FINANCE</b>	<b>Pages 17-18</b>	<b>Resources and Enabling Services</b>
	<b>HUMAN RESOURCES</b>	<b>Page 18</b>	<b>Human Resources</b>

Agenda Item 10

### Improving PIs

...	Title	Value	Target	Last Update
✓	Length of stay in temporary accommodation (B&B, weeks) Snapshot	1.00 weeks	4.00 weeks	Q3 2017/18
✓	Speed of processing - new HB/LCTS claims	11.0 days	25.0 days	Q3 2017/18
✓	% CO2 reduction from LA operations.	8.8%	18.5%	2016/17
✓	Speed of processing - changes of circumstances for HB/LCTS claims	9.0 days	12.0 days	Q3 2017/18
⚠	✓ Average number of Working Days Lost Due to Sickness Absence per FTE, RYEDALE	5.96 days	7.50 days	2016/17
← 1 of 5 →				

### Deteriorating PIs

...	Title	Value	Target	Last Update
●	Number of affordable homes delivered (gross)	8	75	2017/18
⚠	● % Households in Ryedale in Fuel Poverty (Low Income High Cost)	15.9%	10.6%	2014/15
●	% FOI Requests responded to within 20 working days	78.6%	95%	December 2017
✓	% of Household Waste Recycled	20.24%	20.00%	2017/18
✓	Processing of planning applications: Major applications (13 weeks)	94.00%	70.00%	Q3 2017/18
← 1 of 2 →				

### Improving and Deteriorating PIs

## SUSTAINABLE GROWTH

- Promoting a strong economy with thriving business and supporting infrastructure
- Capitalising on our culture, leisure and tourism opportunities
- Managing the environment of Ryedale with partners
- Enabling the provision of housing that meets existing and anticipates future need
- Minimising homelessness, improving the standard and availability of rented accommodation and supporting people to live independently

Traffic Light	Short Name	Description	Current Value	Current Target	Managed By	Trend Chart
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## EMPLOYMENT

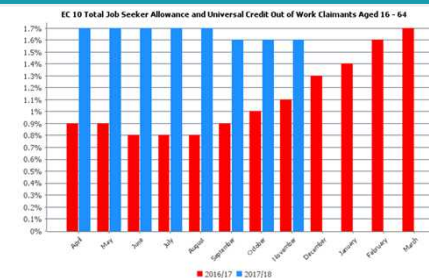


Total Job Seeker Allowance and Universal Credit Out of Work Claimants Aged 16 - 64

Yorkshire & Humber: 2.2%  
Great Britain: 1.9%  
**Monthly indicator**

1.6%  
November 2017  
1.5%  
2017/18

Julian Rudd



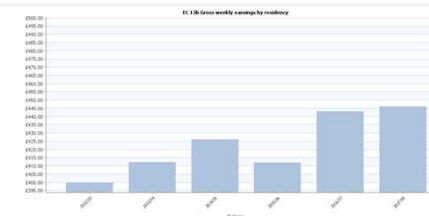
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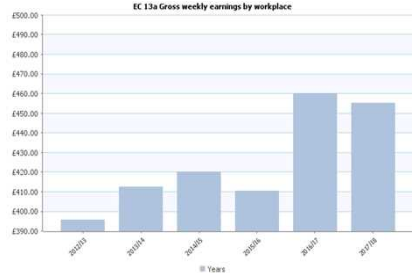

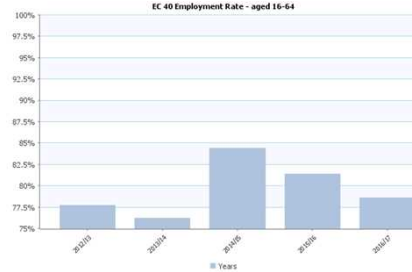

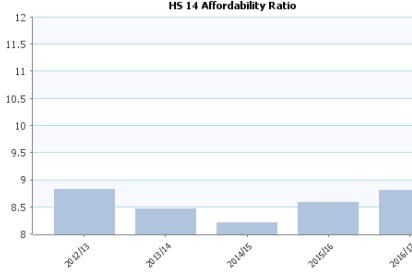
Gross weekly earnings by residency

Yorkshire & Humber:  
£502.30  
Ryedale is the lowest in the region  
Great Britain: £552.70  
**Annual indicator**


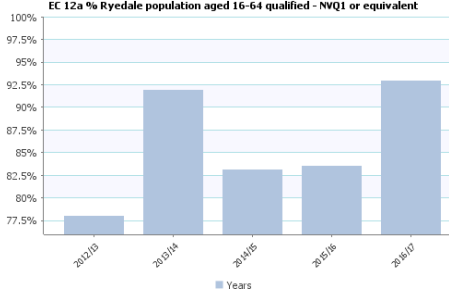

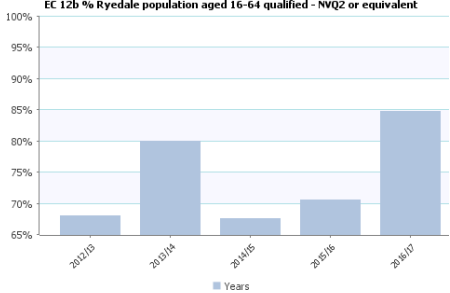


£446  
2017/18  
£460  
2018/19

Julian Rudd



Traffic Light	Short Name	Description	Current Value	Current Target	Managed By	Trend Chart
	Gross weekly earnings by workplace	<p>Yorkshire &amp; Humber: £502.50</p> <p>Ryedale is the 3<sup>rd</sup> lowest in the region</p> <p>Great Britain: £552.30</p> <p><b>Annual indicator</b></p>	£455.10 2017/18	£480 2018/19	Julian Rudd	 <p>EC 13a Gross weekly earnings by workplace</p>
	Employment Rate – aged 16–64	<p>Yorkshire &amp; Humber: 72.8%</p> <p>Ryedale had the 5<sup>th</sup> biggest employment rate in the region</p> <p>Great Britain: 74.2%</p> <p><b>Annual indicator</b></p>	78.6% 2016/17	80% 2017/18	Julian Rudd	 <p>EC 40 Employment Rate - aged 16-64</p>
	Affordability Ratio	<p>On average, working people could expect to pay around 8.8 times their annual earnings on purchasing a home in England and Wales in 2016/17, up from 3.6 times earnings in 1997.</p> <p><b>Annual indicator</b></p>	8.8 2016/17	7.6 2017/18	Clare Slater	 <p>HS 14 Affordability Ratio</p>

**SKILLS**

Traffic Light	Short Name	Description	Current Value	Current Target	Managed By	Trend Chart												
	% Ryedale population aged 16–64 qualified – NVQ1 or equivalent	e.g. fewer than 5 GCSEs at grades A–C, foundation GNVQ, NVQ 1 28,600 of the population in Ryedale qualified to this level <b>Annual indicator</b>	92.9% 2016/17	95% 2017/18	Julian Rudd	 <p>EC 12a % Ryedale population aged 16-64 qualified - NVQ1 or equivalent</p> <table border="1"> <thead> <tr> <th>Year</th> <th>Value (%)</th> </tr> </thead> <tbody> <tr> <td>2013/13</td> <td>78%</td> </tr> <tr> <td>2014/14</td> <td>93%</td> </tr> <tr> <td>2015/15</td> <td>83%</td> </tr> <tr> <td>2016/16</td> <td>84%</td> </tr> <tr> <td>2017/17</td> <td>93%</td> </tr> </tbody> </table>	Year	Value (%)	2013/13	78%	2014/14	93%	2015/15	83%	2016/16	84%	2017/17	93%
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2013/13	78%																	
2014/14	93%																	
2015/15	83%																	
2016/16	84%																	
2017/17	93%																	
	% Ryedale population aged 16–64 qualified – NVQ2 or equivalent	e.g. 5 or more GCSEs at grades A–C, intermediate GNVQ, NVQ 2 26,200 of the population in Ryedale qualified to this level <b>Annual indicator</b>	84.8% 2016/17	85% 2017/18	Julian Rudd	 <p>EC 12b % Ryedale population aged 16-64 qualified - NVQ2 or equivalent</p> <table border="1"> <thead> <tr> <th>Year</th> <th>Value (%)</th> </tr> </thead> <tbody> <tr> <td>2013/13</td> <td>68%</td> </tr> <tr> <td>2014/14</td> <td>80%</td> </tr> <tr> <td>2015/15</td> <td>68%</td> </tr> <tr> <td>2016/16</td> <td>71%</td> </tr> <tr> <td>2017/17</td> <td>85%</td> </tr> </tbody> </table>	Year	Value (%)	2013/13	68%	2014/14	80%	2015/15	68%	2016/16	71%	2017/17	85%
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2014/14	80%																	
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2016/16	71%																	
2017/17	85%																	
	% Ryedale population aged 16–64 qualified – NVQ3 or equivalent	e.g. 2 or more A levels, advanced GNVQ, NVQ 3 18,400 of the population in Ryedale qualified to this level <b>Annual indicator</b>	59.5% 2016/17	65% 2017/18	Julian Rudd	 <p>EC 12c % Ryedale population aged 16-64 qualified - NVQ3 or equivalent</p> <table border="1"> <thead> <tr> <th>Year</th> <th>Value (%)</th> </tr> </thead> <tbody> <tr> <td>2013/13</td> <td>52%</td> </tr> <tr> <td>2014/14</td> <td>54%</td> </tr> <tr> <td>2015/15</td> <td>54%</td> </tr> <tr> <td>2016/16</td> <td>42%</td> </tr> <tr> <td>2017/17</td> <td>60%</td> </tr> </tbody> </table>	Year	Value (%)	2013/13	52%	2014/14	54%	2015/15	54%	2016/16	42%	2017/17	60%
Year	Value (%)																	
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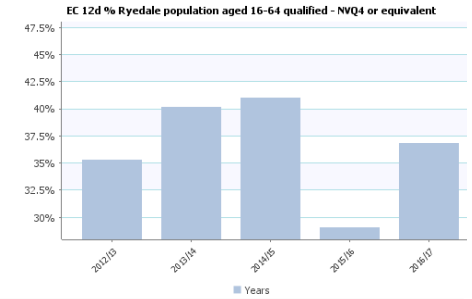
% Ryedale population aged 16–64 qualified – NVQ4 or equivalent

e.g. HND, Degree and Higher Degree level qualifications  
11,300 of the population in Ryedale qualified to this level  
**Annual indicator**

36.8%  
2016/17

40%  
2017/18

Julian Rudd


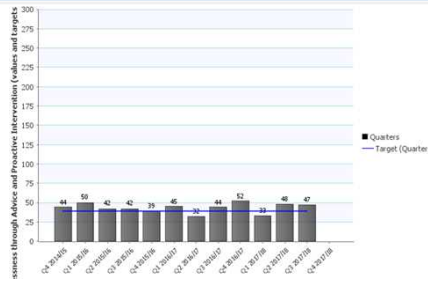

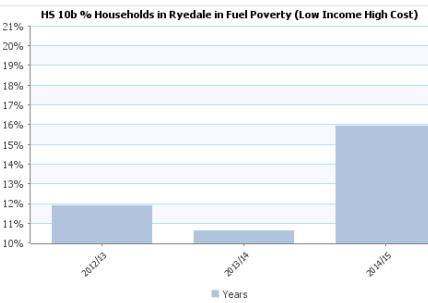




**HOUSING**

Traffic Light	Short Name	Description	Current Value	Current Target	Managed By	Trend Chart												
🟢	Net additional homes provided	Encourage a greater supply of new homes in England to address the long term housing affordability issue. <b>Annual indicator</b>	321 2016/17	200	Jill Thompson	<table border="1"> <caption>FP 7 Net additional homes provided</caption> <thead> <tr> <th>Year</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>2016/17</td> <td>200</td> </tr> <tr> <td>2017/18</td> <td>250</td> </tr> <tr> <td>2018/19</td> <td>280</td> </tr> <tr> <td>2019/20</td> <td>250</td> </tr> <tr> <td>2020/21</td> <td>320</td> </tr> </tbody> </table>	Year	Value	2016/17	200	2017/18	250	2018/19	280	2019/20	250	2020/21	320
Year	Value																	
2016/17	200																	
2017/18	250																	
2018/19	280																	
2019/20	250																	
2020/21	320																	
🟢	Supply of deliverable housing sites	Planning Policy Statement 3 (PPS3) requires Local Planning Authorities to maintain a 5 year supply of deliverable sites for housing through their Local Development Framework <b>Annual indicator</b>	116.0% 2016/17	100.0%	Jill Thompson	<table border="1"> <caption>FP 8 Supply of deliverable housing sites</caption> <thead> <tr> <th>Year</th> <th>Percentage</th> </tr> </thead> <tbody> <tr> <td>2016/17</td> <td>95.0%</td> </tr> <tr> <td>2017/18</td> <td>90.0%</td> </tr> <tr> <td>2018/19</td> <td>115.0%</td> </tr> <tr> <td>2019/20</td> <td>110.0%</td> </tr> <tr> <td>2020/21</td> <td>115.0%</td> </tr> </tbody> </table>	Year	Percentage	2016/17	95.0%	2017/18	90.0%	2018/19	115.0%	2019/20	110.0%	2020/21	115.0%
Year	Percentage																	
2016/17	95.0%																	
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2019/20	110.0%																	
2020/21	115.0%																	



Traffic Light	Short Name	Description	Current Value	Current Target	Managed By	Trend Chart																										
✓	Properties empty for six months or more	Figure for empty properties as stated in the CTB1 annual return in October. 2017 figure forecast to be lower than Current Value. A +/- movement in this indicator affects the annual calculation of New Homes Bonus. <b>Annual indicator</b>	226 Actual October 2016	215 Forecast October 2017	Peter Johnson	<table border="1"> <caption>HS 11b Properties empty for six months or more</caption> <thead> <tr> <th>Year</th> <th>Actual Value</th> <th>Target Value</th> </tr> </thead> <tbody> <tr> <td>2016</td> <td>226</td> <td>215</td> </tr> <tr> <td>2017</td> <td>215</td> <td>215</td> </tr> <tr> <td>2018</td> <td>~255</td> <td>~255</td> </tr> <tr> <td>2019</td> <td>~240</td> <td>~240</td> </tr> <tr> <td>2017 (Forecast)</td> <td>215</td> <td>215</td> </tr> </tbody> </table>	Year	Actual Value	Target Value	2016	226	215	2017	215	215	2018	~255	~255	2019	~240	~240	2017 (Forecast)	215	215								
Year	Actual Value	Target Value																														
2016	226	215																														
2017	215	215																														
2018	~255	~255																														
2019	~240	~240																														
2017 (Forecast)	215	215																														
✓	Number of Homeless applications	We have seen an increase in the number of Homeless applications received this quarter, but it is comparative to this quarter in previous years. <b>Quarterly indicator</b>	9 Q3 2017/18	13	Kim Robertshaw	<table border="1"> <caption>HS 5 Number of Homeless Applications</caption> <thead> <tr> <th>Quarter</th> <th>2014/15</th> <th>2015/16</th> <th>2016/17</th> <th>2017/18</th> </tr> </thead> <tbody> <tr> <td>Q1</td> <td>10</td> <td>5</td> <td>5</td> <td>8</td> </tr> <tr> <td>Q2</td> <td>8</td> <td>12</td> <td>7</td> <td>12</td> </tr> <tr> <td>Q3</td> <td>6</td> <td>11</td> <td>5</td> <td>9</td> </tr> <tr> <td>Q4</td> <td>6</td> <td>9</td> <td>6</td> <td>6</td> </tr> </tbody> </table>	Quarter	2014/15	2015/16	2016/17	2017/18	Q1	10	5	5	8	Q2	8	12	7	12	Q3	6	11	5	9	Q4	6	9	6	6	
Quarter	2014/15	2015/16	2016/17	2017/18																												
Q1	10	5	5	8																												
Q2	8	12	7	12																												
Q3	6	11	5	9																												
Q4	6	9	6	6																												
✓	Homeless applications on which RDC makes decision and issues notification to the applicant within 33 working days	All homeless applications submitted were dealt with in the 33 working day timeframe. <b>Quarterly indicator</b>	100.0% Q3 2017/18	100.0%	Kim Robertshaw	<table border="1"> <caption>% of Homeless applications on which RDC makes decision and issues notification to the applicant within 33 working days</caption> <thead> <tr> <th>Quarter</th> <th>Compliance %</th> </tr> </thead> <tbody> <tr> <td>Q1 2016/17</td> <td>100.0%</td> </tr> <tr> <td>Q2 2016/17</td> <td>100.0%</td> </tr> <tr> <td>Q3 2016/17</td> <td>100.0%</td> </tr> <tr> <td>Q4 2016/17</td> <td>100.0%</td> </tr> <tr> <td>Q1 2017/18</td> <td>100.0%</td> </tr> <tr> <td>Q2 2017/18</td> <td>100.0%</td> </tr> <tr> <td>Q3 2017/18</td> <td>100.0%</td> </tr> <tr> <td>Q4 2017/18</td> <td>100.0%</td> </tr> <tr> <td>Q1 2018/19</td> <td>100.0%</td> </tr> <tr> <td>Q2 2018/19</td> <td>100.0%</td> </tr> <tr> <td>Q3 2018/19</td> <td>100.0%</td> </tr> <tr> <td>Q4 2018/19</td> <td>100.0%</td> </tr> </tbody> </table>	Quarter	Compliance %	Q1 2016/17	100.0%	Q2 2016/17	100.0%	Q3 2016/17	100.0%	Q4 2016/17	100.0%	Q1 2017/18	100.0%	Q2 2017/18	100.0%	Q3 2017/18	100.0%	Q4 2017/18	100.0%	Q1 2018/19	100.0%	Q2 2018/19	100.0%	Q3 2018/19	100.0%	Q4 2018/19	100.0%
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Traffic Light	Short Name	Description	Current Value	Current Target	Managed By	Trend Chart																					
	Prevention of Homelessness through Advice and Proactive Intervention (values and targets are per quarter, not accumulative)	Number of enquiries in 2016/17: 640 Number of enquiries in 2017/18 so far: 260 <b>Quarterly indicator</b>	47 Q3 2017/18	48 Q2 2017/18	Kim Robertshaw	 <table border="1"> <caption>Prevention of Homelessness through Advice and Proactive Intervention (Values and Targets)</caption> <thead> <tr> <th>Quarter</th> <th>Value</th> <th>Target</th> </tr> </thead> <tbody> <tr><td>Q2 2016/17</td><td>44</td><td>50</td></tr> <tr><td>Q3 2016/17</td><td>50</td><td>42</td></tr> <tr><td>Q4 2016/17</td><td>42</td><td>35</td></tr> <tr><td>Q1 2017/18</td><td>35</td><td>45</td></tr> <tr><td>Q2 2017/18</td><td>45</td><td>44</td></tr> <tr><td>Q3 2017/18</td><td>47</td><td>48</td></tr> </tbody> </table>	Quarter	Value	Target	Q2 2016/17	44	50	Q3 2016/17	50	42	Q4 2016/17	42	35	Q1 2017/18	35	45	Q2 2017/18	45	44	Q3 2017/18	47	48
Quarter	Value	Target																									
Q2 2016/17	44	50																									
Q3 2016/17	50	42																									
Q4 2016/17	42	35																									
Q1 2017/18	35	45																									
Q2 2017/18	45	44																									
Q3 2017/18	47	48																									
	% Households in Ryedale in Fuel Poverty (Low Income High Cost)	Following the completion of a Household Stock Condition Survey, we are continuing to work closely with Warm and Well North Yorkshire and other local authorities to explore further funding opportunities. <b>Annual indicator</b>	15.9% 2014/15	10.6% 2013/14	Kim Robertshaw	 <table border="1"> <caption>HS 10b % Households in Ryedale in Fuel Poverty (Low Income High Cost)</caption> <thead> <tr> <th>Year</th> <th>Percentage</th> </tr> </thead> <tbody> <tr><td>2013/14</td><td>10.6%</td></tr> <tr><td>2014/15</td><td>15.9%</td></tr> <tr><td>2015/16</td><td>16.0%</td></tr> </tbody> </table>	Year	Percentage	2013/14	10.6%	2014/15	15.9%	2015/16	16.0%													
Year	Percentage																										
2013/14	10.6%																										
2014/15	15.9%																										
2015/16	16.0%																										
	Number of affordable homes delivered	The forecast for 2017/18 is 50 expected affordable home units to be delivered, although this is subject to change. <b>Annual indicator</b> 2016/17: 52 delivered	8 Q3 2017/18	75 (35% of the 200 additional homes target)	Kim Robertshaw	 <table border="1"> <caption>HS 17 Number of affordable homes delivered (gross)</caption> <thead> <tr> <th>Year</th> <th>Value</th> <th>Target</th> </tr> </thead> <tbody> <tr><td>2014/15</td><td>10</td><td>17</td></tr> <tr><td>2015/16</td><td>19</td><td>17</td></tr> <tr><td>2016/17</td><td>39</td><td>10</td></tr> <tr><td>2017/18</td><td>45</td><td>75</td></tr> </tbody> </table>	Year	Value	Target	2014/15	10	17	2015/16	19	17	2016/17	39	10	2017/18	45	75						
Year	Value	Target																									
2014/15	10	17																									
2015/16	19	17																									
2016/17	39	10																									
2017/18	45	75																									



## ENVIRONMENT

Traffic Light	Short Name	Description	Current Value	Current Target	Managed By	Trend Chart																		
🟢	Number of monitoring locations exceeding the annual mean Nitrogen Dioxide objective level	Monthly monitoring continues as part of the Air Quality Management Action Plan in Malton.	0 2016/17	1 2015/16	Beckie Bennett																			
🟢	% CO2 reduction from LA operations.	CO2 emission reduction key by local authorities likely to be key to achieving the Government's climate change objectives	8.8% 2016/17	18.5% 2015/16	Beckie Bennett	<p>SS 35 % CO2 reduction from LA operations.</p> <table border="1"> <caption>% CO2 reduction from LA operations</caption> <thead> <tr> <th>Year</th> <th>Actual (%)</th> <th>Target (%)</th> </tr> </thead> <tbody> <tr> <td>2013</td> <td>2.5</td> <td>18.5</td> </tr> <tr> <td>2014</td> <td>3.5</td> <td>18.5</td> </tr> <tr> <td>2015</td> <td>-7.5</td> <td>18.5</td> </tr> <tr> <td>2016</td> <td>-11.5</td> <td>18.5</td> </tr> <tr> <td>2017</td> <td>7.5</td> <td>18.5</td> </tr> </tbody> </table>	Year	Actual (%)	Target (%)	2013	2.5	18.5	2014	3.5	18.5	2015	-7.5	18.5	2016	-11.5	18.5	2017	7.5	18.5
Year	Actual (%)	Target (%)																						
2013	2.5	18.5																						
2014	3.5	18.5																						
2015	-7.5	18.5																						
2016	-11.5	18.5																						
2017	7.5	18.5																						
	Tonnes of CO2 from LA operations	CO2 emission reduction key by local authorities likely to be key to achieving the Government's climate change objectives	1,828 2016/17	1,680 2016/17	Beckie Bennett	<p>SS 36 Tonnes of CO2 from LA operations</p> <table border="1"> <caption>Tonnes of CO2 from LA operations</caption> <thead> <tr> <th>Year</th> <th>Actual (Tonnes)</th> <th>Target (Tonnes)</th> </tr> </thead> <tbody> <tr> <td>2014</td> <td>1,622</td> <td>1,680</td> </tr> <tr> <td>2015</td> <td>1,418</td> <td>1,680</td> </tr> <tr> <td>2016</td> <td>1,680</td> <td>1,680</td> </tr> <tr> <td>2017</td> <td>1,828</td> <td>1,680</td> </tr> </tbody> </table>	Year	Actual (Tonnes)	Target (Tonnes)	2014	1,622	1,680	2015	1,418	1,680	2016	1,680	1,680	2017	1,828	1,680			
Year	Actual (Tonnes)	Target (Tonnes)																						
2014	1,622	1,680																						
2015	1,418	1,680																						
2016	1,680	1,680																						
2017	1,828	1,680																						

## CUSTOMERS AND COMMUNITIES

- Designing all of our services with the customer at the heart of everything we do
- Making the best use of resources to ensure maximum benefit for all customers and communities across the district, particularly the most vulnerable
- Helping our partners to keep our communities safe and healthy
- Supporting communities to identify their needs, plan and develop local solutions and resilience

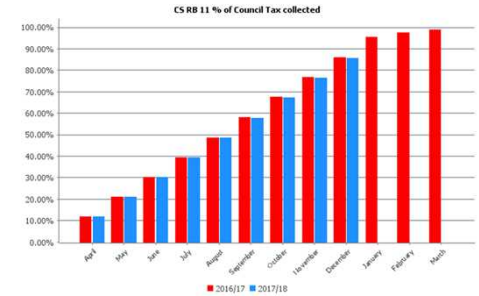
Traffic Light	Short Name	Description	Current Value	Current Target	Managed By	Trend Chart
<b>COUNCIL TAX AND BENEFITS</b>						



% of Council Tax collected

Percentage of Council Tax collected by the Authority in the year  
**Monthly indicator**  
85.5%  
Up to end of Dec 2017

85.92%  
Angela Jones



Traffic Light

Short Name

Description

Current Value

Current Target

Managed By

Trend Chart



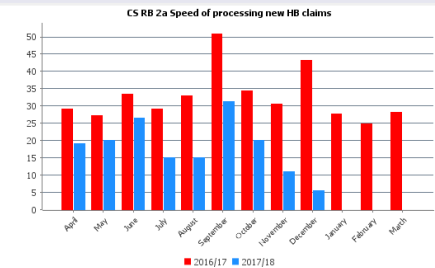
Speed of processing new HB claims

Average number of days taken to process new claims for Housing Benefit.  
September 2016: 50.8 days  
**Monthly indicator**

5.5 days  
Up to end of Dec 2017

25 days

Angela Jones



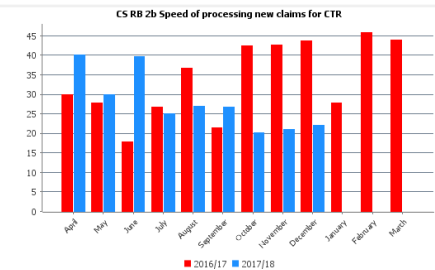
Speed of processing new claims for Council Tax Support

Currently operating below target level. In comparison  
September 2016: 21.4 days  
**Monthly indicator**

22 days  
Up to end of Dec 2017

25 days

Angela Jones





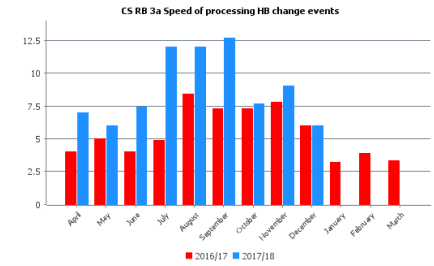
Speed of processing HB change events

Number of days taken to process change events relating to Housing Benefit claims. Currently operating below target.  
**Monthly indicator**

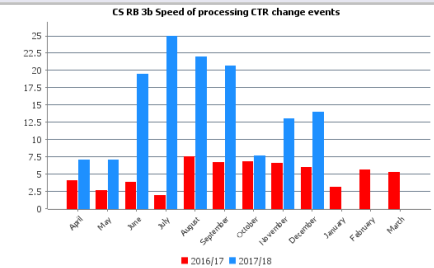
6 days  
Up to end of Dec 2017

12 days

Angela Jones



Traffic Light	Short Name	Description	Current Value	Current Target	Managed By	Trend Chart
	Speed of processing CTR change events	Current backlog, action plan in place and is currently reducing <b>Monthly indicator</b>	14 days Up to end of Dec 2017	12 days	Angela Jones	





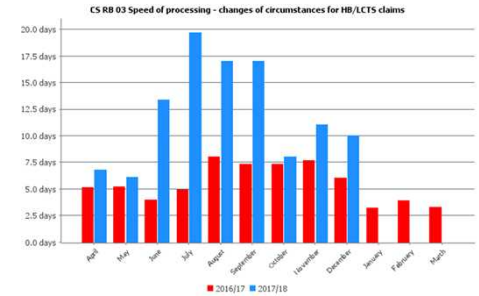
Speed of processing – changes of circumstances for HB/LCTS claims

Performance now much improved and now operating under target.  
**Monthly indicator**

10.0 days  
Up to end of Dec 2017

12 days

Angela Jones



**PLANNING**

Traffic Light	Short Name	Description	Current Value	Current Target	Managed By	Trend Chart																																							
	Processing of planning applications: Major applications (13 weeks)	Whilst this performance can be volatile due to small numbers we are currently well above target level of 70%. <b>Quarterly indicator</b>	94.00% Q3 2017/18	70.00%	Gary Housden	<table border="1"> <caption>DM 157a Processing of planning applications: Major applications (13 weeks)</caption> <thead> <tr> <th>Month</th> <th>2016/17 (%)</th> <th>2017/18 (%)</th> </tr> </thead> <tbody> <tr><td>April</td><td>50.00</td><td>95.00</td></tr> <tr><td>May</td><td>75.00</td><td>95.00</td></tr> <tr><td>June</td><td>85.00</td><td>95.00</td></tr> <tr><td>July</td><td>85.00</td><td>95.00</td></tr> <tr><td>August</td><td>80.00</td><td>95.00</td></tr> <tr><td>September</td><td>85.00</td><td>95.00</td></tr> <tr><td>October</td><td>85.00</td><td>95.00</td></tr> <tr><td>November</td><td>85.00</td><td>95.00</td></tr> <tr><td>December</td><td>85.00</td><td>95.00</td></tr> <tr><td>January</td><td>90.00</td><td>95.00</td></tr> <tr><td>February</td><td>90.00</td><td>95.00</td></tr> <tr><td>March</td><td>90.00</td><td>95.00</td></tr> </tbody> </table>	Month	2016/17 (%)	2017/18 (%)	April	50.00	95.00	May	75.00	95.00	June	85.00	95.00	July	85.00	95.00	August	80.00	95.00	September	85.00	95.00	October	85.00	95.00	November	85.00	95.00	December	85.00	95.00	January	90.00	95.00	February	90.00	95.00	March	90.00	95.00
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	Processing of planning applications: Minor applications (8 weeks)	In the light of the team still operating with a vacancy since April this is considered to be a remarkably high level of performance. <b>Quarterly indicator</b>	79.90% Q3 2017/18	80.00%	Gary Housden	<table border="1"> <caption>DM 157b Processing of planning applications: Minor applications (8 weeks)</caption> <thead> <tr> <th>Month</th> <th>2016/17 (%)</th> <th>2017/18 (%)</th> </tr> </thead> <tbody> <tr><td>April</td><td>70.00</td><td>60.00</td></tr> <tr><td>May</td><td>75.00</td><td>65.00</td></tr> <tr><td>June</td><td>75.00</td><td>65.00</td></tr> <tr><td>July</td><td>75.00</td><td>65.00</td></tr> <tr><td>August</td><td>75.00</td><td>65.00</td></tr> <tr><td>September</td><td>75.00</td><td>65.00</td></tr> <tr><td>October</td><td>75.00</td><td>65.00</td></tr> <tr><td>November</td><td>75.00</td><td>65.00</td></tr> <tr><td>December</td><td>75.00</td><td>65.00</td></tr> <tr><td>January</td><td>75.00</td><td>65.00</td></tr> <tr><td>February</td><td>75.00</td><td>65.00</td></tr> <tr><td>March</td><td>75.00</td><td>65.00</td></tr> </tbody> </table>	Month	2016/17 (%)	2017/18 (%)	April	70.00	60.00	May	75.00	65.00	June	75.00	65.00	July	75.00	65.00	August	75.00	65.00	September	75.00	65.00	October	75.00	65.00	November	75.00	65.00	December	75.00	65.00	January	75.00	65.00	February	75.00	65.00	March	75.00	65.00
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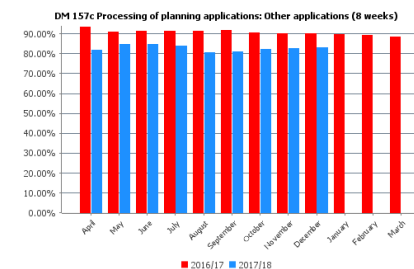
Processing of planning applications:  
Other applications (8 weeks)

This again can be partly explained by the current vacancy in the team and we are yet to fully launch the more streamlined work of Working for 'other applications' that should also lead to an improvement in application turn around  
**Quarterly indicator**

83.20%  
Q3 2017/18

90.00%

Gary Housden



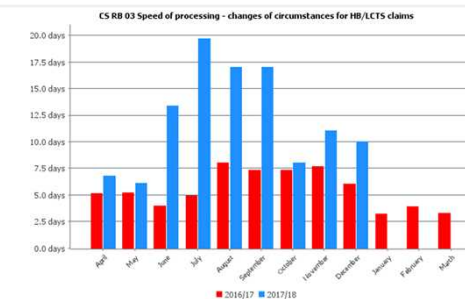
Standard searches completed in 10 working days

**Quarterly indicator**

99.2%  
Q2 2017/18

100.0%

Angela Jones



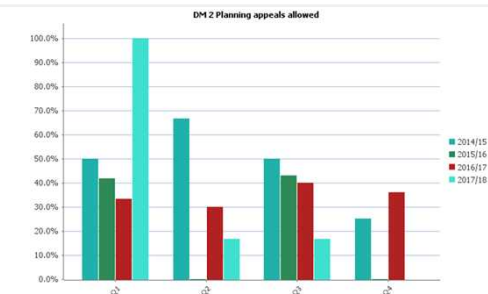
Planning Appeals allowed

As with previous years the overall number of appeals is very low so the performance out turn can be volatile.  
**Quarterly indicator**

16.7%  
Q3 2017-18

33%

Gary Housden



RECYCLING

Traffic Light	Short Name	Description	Current Value	Current Target	Managed By	Trend Chart														
✓	% of Household Waste Recycled	20.24% accumulative Apr 2017 – Dec 2017	20.24%	20.00%	Beckie Bennett	<p>SS 15 % of Household Waste Recycled</p> <table border="1"> <caption>SS 15 % of Household Waste Recycled Data</caption> <thead> <tr> <th>Year</th> <th>Value (%)</th> </tr> </thead> <tbody> <tr><td>2013</td><td>19.5</td></tr> <tr><td>2014</td><td>19.8</td></tr> <tr><td>2015</td><td>21.5</td></tr> <tr><td>2016</td><td>21.8</td></tr> <tr><td>2017</td><td>22.2</td></tr> <tr><td>2018</td><td>20.2</td></tr> </tbody> </table>	Year	Value (%)	2013	19.5	2014	19.8	2015	21.5	2016	21.8	2017	22.2	2018	20.2
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2017	22.2																			
2018	20.2																			
	Residual household waste – kg per household	328.51 kg/hh Estimate from Apr–Dec 2017 pre-Waste Data Flow confirmation	328.51kg/hh	337.50kg/hh	Beckie Bennett	<p>SS 191 Residual household waste - kg per household</p> <table border="1"> <caption>SS 191 Residual household waste - kg per household Data</caption> <thead> <tr> <th>Year</th> <th>Value (kg/hh)</th> </tr> </thead> <tbody> <tr><td>2013</td><td>450</td></tr> <tr><td>2014</td><td>450</td></tr> <tr><td>2015</td><td>480</td></tr> <tr><td>2016</td><td>480</td></tr> <tr><td>2017</td><td>480</td></tr> <tr><td>2018</td><td>328.51</td></tr> </tbody> </table>	Year	Value (kg/hh)	2013	450	2014	450	2015	480	2016	480	2017	480	2018	328.51
Year	Value (kg/hh)																			
2013	450																			
2014	450																			
2015	480																			
2016	480																			
2017	480																			
2018	328.51																			

Traffic Light	Short Name	Description	Current Value	Current Target	Managed By	Trend Chart
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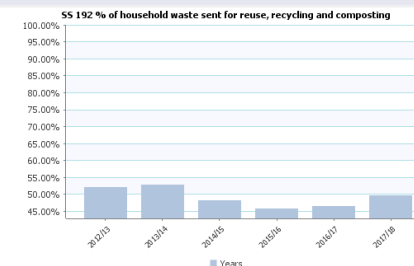
% of household waste sent for reuse, recycling and composting

49.53% Est Apr – Dec 2017  
pre waste dataflow

49.53%

43.00%

Beckie Bennett



### CUSTOMERS

Traffic Light	Short Name	Description	Current Value	Current Target	Managed By	Trend Chart
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Service enquiries resolved at first point of contact (telephone)

Service enquiries resolved at first point of contact by telephone excluding dial direct to extension calls

Under review

Angela Jones

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Payments made using electronic channels

Payments made using electronic channels (web, telephone & Direct Debit)

Under review

Angela Jones

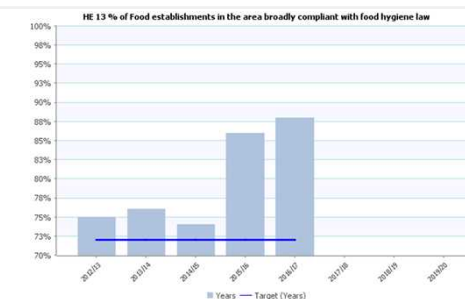
% of Food establishments in the area broadly compliant with food hygiene law

To protect public health by ensuring food is safe and fit to eat by monitoring local authorities' performance in increasing compliance in food establishments with food law.  
**Annual indicator**

88%

72%

Robert Robinson





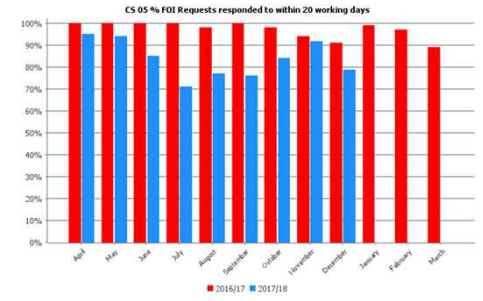
% FOI Requests responded to within 20 working days

22 out of 28 FOIs were answered within 20 working days  
**Monthly indicator**

78.6%

95%

Angela Jones



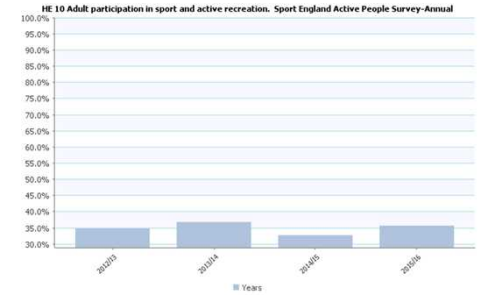
Adult participation in sport and active recreation. Sport England Active People Survey

To measure participation in sport and active recreation at the local level.  
**Annual indicator**

35.5%  
2016/17

32.7%  
2015/16

Jos Holmes





## ONE RYEDALE

- Working together as One Ryedale, members and staff share the PROUD values and behaviours
- Utilising assets in supporting the delivery of priorities
- Developing business opportunities for the council and optimise income
- Building capacity and influencing policy in partnership
- Enabling services through the innovative use of ICT
- Delivering the Towards 2020 programme and anticipating further savings required to 2022

Traffic Light	Short Name	Description	Current Value	Current Target	Managed By	Trend Chart
---------------	------------	-------------	---------------	----------------	------------	-------------

### FINANCE

	Salaries up to end of Dec 2017	This analysis excludes salaries incurred for NYBCP, Capital Schemes and agencies.	£3,978,147	£4,111,464	Peter Johnson	
	Income up to end of Dec 2017	This indicator is made up of the following income streams: land charges, development management fees, property rents, Ryecare, recovery of HB overpayments, garden waste, trade waste, car parking and recycles.	£2,661,544	£2,305,908	Peter Johnson	
	Business Rates – Retained Income up to end of Sept 2017	At this stage the full effect of appeals following the April 2017 revaluations is unknown, but is likely to have a negative impact on income levels. <b>Monthly indicator</b>	£1,868,879	£1,775,000	Peter Johnson	

**HUMAN RESOURCES**

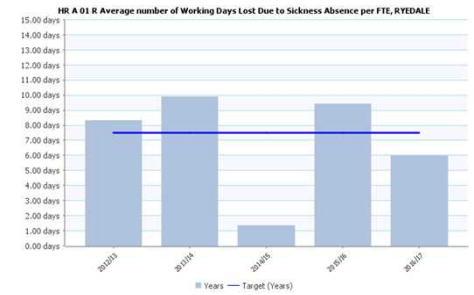


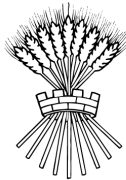
Average number of working days lost to sickness absence (per FTE)

2017/18 data (Year to date to Oct 2017):  
 Value: 3.4 days  
 Target: 4.37 days  
 Work continues to refine this  
 PI  
**Annual indicator**

5.96 days      7.5 days  
 2016/17 actual    2016/17 target

Denise Hewitt





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<b>PART B:</b>	<b>RECOMMENDATIONS TO COUNCIL</b>
<b>REPORT TO:</b>	<b>POLICY AND RESOURCES COMMITTEE</b>
<b>DATE:</b>	<b>8 FEBRUARY 2018</b>
<b>REPORT OF THE:</b>	<b>RESOURCES AND ENABLING SERVICES LEAD (s151) PETER JOHNSON</b>
<b>TITLE OF REPORT:</b>	<b>FINANCIAL STRATEGY 2018/19</b>
<b>WARDS AFFECTED:</b>	<b>ALL</b>

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## **EXECUTIVE SUMMARY**

### **1.0 PURPOSE OF REPORT**

- 1.1 The report sets out the budget for 2018/19, a proposed Council Tax level, the Financial Strategy, details of balances and reserves, the indicators under the Prudential Code for capital finance as required by the Local Government Act 2003 and the Pay Policy for 2018/19.
- 1.2 Members should note that this report is prepared on the basis of the provisional Local Government Finance Settlement. Further updates will be provided to the meeting.

### **2.0 RECOMMENDATIONS**

- 2.1 That Council is recommended:
- (i) To approve the Council's Financial Strategy (Annex A) which includes:
    - a. Savings/additional income totalling £436k (Financial Strategy Appendix A)
    - b. Growth Pressures totalling £151k (Financial Strategy Appendix A)
    - c. The Prudential Indicators (Financial Strategy Appendix B)
    - d. The revised capital programme (Financial Strategy Appendix D)
    - e. The Pay Policy 2018/19 (Financial Strategy Appendix E)
    - f. The Income Generation and Commercialisation Policy (Financial Strategy Appendix F)
  - (ii) a Revenue Budget for 2018/19 of £6,066,945, increasing the total charge to £190.82 for a Band D property (note that total Council Tax, Including the County Council, Fire and Police is covered within the separate Council Tax setting report to Full Council);
  - (iii) to approve the special expenses amounting to £55,350;
  - (iv) to note the financial projection for 2018/19 – 2022/23 (Annex B);

### **3.0 REASON FOR RECOMMENDATIONS**

3.1 To agree a balanced revenue budget for submission to Council for the financial year 2018/19 and prepare the Council to deliver the same in future years.

### **4.0 SIGNIFICANT RISKS**

4.1 Section 9 of the Financial Strategy outlines the significant risks in the Council's finances and mitigating controls.

### **5.0 POLICY CONTEXT CONSULTATION**

5.1 The Financial Strategy is a key strategy document that affects all service delivery. It links to the Corporate Plan and all other strategic plans as well as providing the means for attaining the Council's objectives and priorities.

5.2 The Policy and Resources Committee is the Committee designated to make recommendations to the Council relating to the budget and levels of Council Tax. Consequently, recommendations from this Committee will inform the Council and subsequently the Council Tax resolution.

5.3 Budget consultation with the public has taken place. A questionnaire was made available for residents to complete online via the Council website. A summary of the result of the consultation is available for Members.

5.4 Member consultation has been through the Resources Working Party and Member Briefing.

## **REPORT**

### **6.0 BACKGROUND AND INTRODUCTION**

6.1 The Financial Strategy sets out the Council's financial position in the medium term in detail, including issues around the Local Government Finance Settlement and efficiencies as well as the principles and procedures adopted by the Council to manage its finances to a high standard.

6.2 Monitoring of the 2017/18 budget has taken place through the Resources Working Party and this Committee who receive Revenue Budget Monitoring reports. There are currently no material issues arising from the current year's revenue budget.

### **KEY ASSUMPTIONS**

6.3 In preparing the draft budget for consideration a number of pieces of key information are not yet known and government announcements are awaited. Key assumptions therefore are:

- The final settlement will not vary significantly from the draft announcement.
- The figures in this report are based on the draft NNDR1, the deadline for the NNDR1 is the 31 January.

### **Budget and Council Tax for 2018/19.**

6.4 Budgets have been drafted in line with the Budget Strategy with the exception of pay inflation. The following budget assumptions have been made in preparing the budget:

- General Inflation up to 3%.
- Pay Award – The budget strategy reflected a 1% pay award, this has been amended to reflect the current employers 2 year pay offer reflecting a 2% pa pay award and higher increase for those on lower grades.
- Fees and Charges up to 4.5%, with exceptions considered by the Policy and Resources Committee.

6.5 Council resolved on the 6 July 2017 that the budget be prepared on the assumption of a £5 increase in Council Tax.

6.6 The referenda limit for 2018/19 has been proposed at the higher of 3% or £5 as part of the Provisional Local Government Finance Settlement. In Ryedale's case 3% is the higher figure, should members wish to increase Council Tax by the higher figure then this can easily be accommodated and will generate an additional £11k per annum. With a referenda costing c£70k to undertake and with £5 on Council Tax equating to c£100k it is clear that the Council should not approve a position which requires a referenda.

6.7 The Governments Core Spending assessment assumes that Local Authorities will apply an inflationary increase to Council Tax throughout the life of the current Parliament.

### **Grant Settlement and specific grants**

6.8 The Provisional Local Government Finance Settlement was announced on the 16 December 2017, at the time of writing this report the final announcement had not been received.

6.9 The Council accepted the offer of a 4 year funding settlement which included Revenue Support Grant (RSG) and Rural Service Delivery Grant (RSDG). The figures announced for RSDG in 2018/19 as part of the provisional settlement are higher than our expectations from the 4 year settlement by £106k.

6.10 In addition to the above there are the following significant specific known grant movements for RDC:

<b>Grant</b>	<b>£k</b>
Reduction in Housing Benefits Administration Subsidy Grant	(20)

### **Retained Business Rates**

6.11 The Council retains 40% of the Business Rate income it collects; it then pays a fixed tariff to the Government. If it then has income above a pre determined target the Council keeps 50% of this sum with the remainder paid as a levy to the Government.

6.12 The Government has announced that Local Authorities will keep 75% of Business Rate Income from 2020/21, in return additional responsibilities are to be devolved to Local Government.

6.13 Members are also aware that the Council has formed a business rates pool with North Yorkshire County Council (NYCC), Richmondshire District Council, Scarborough Borough Council, Hambleton District Council and Craven District

Council. The benefit of forming the pool is that the levy rate on growth above target is reduced to zero. This benefit is shared between the pool members in accordance with the agreement, the level of benefit is dependent on the performance of each member of the pool (excluding NYCC), having particular regard to the level of business rate appeals.

### **Council Tax Income**

- 6.14 Council Tax income, including the projected surplus on the collection fund is estimated at £4.149m. A £5 increase in Council Tax equates to additional funding towards the councils net revenue budget of £103k in 2018/19 and is worth £535k to the Council over the next 5 years. The Council Tax Base has increased by 1.43% for 2018/19 and provides additional income to assist the Council's financial position.

### **Base Budget Adjustments**

- 6.15 These are as follows:

<b>Issue</b>	<b>£k</b>
Pay and Price Inflation (net)	138

### **Growth Items**

- 6.16 The position is detailed in appendix A to the Financial Strategy at Annex A.

### **Savings/Additional Income**

- 6.17 The council has undertaken an organisational review to deliver the second phase of savings through its Towards 2020 efficiency programme. The review of Streetscene services is expected to deliver £175k of efficiency savings in addition to £75k of transitional savings from phase one of the T2020 programme. The full savings position is detailed in Appendix A to the financial strategy at Annex A.

### **New Homes Bonus**

- 6.18 Provisional figures for 2018/19 show a decrease in New Homes Bonus (NHB) from £1.420m to £0.964m. In 2017/18 the Council used £32k to support the revenue budget and £188k to fund the shortfall on the capital programme, the plans approved last year identified the gradual increase in use of this revenue funding to protect services albeit at a reduced level given the changes made to the scheme in December 2016. The full effect of the revised 4 year scheme is reflected in the 2018/19 payment. The scheme also includes a 'deadweight' of 0.4% below which NHB will not be payable.
- 6.19 The budget as proposed includes a reduction of £456k in NHB receipts and uses only £188k to fund the shortfall on the capital programme. There is therefore £776k of NHB unallocated in the budget and this will be transferred into reserves.

### **Summary Revenue Budget Position**

- 6.20 Taking all of the above into account the summary position is as follows:

<b>Issue</b>	<b>£k</b>
Base Budget Brought forward	6,157
Add:	
Base Budget Adjustments	138
Growth items	151

Total 'Cost'	6,446
Less:	
Retained Business Rates	(1,775)
Council Tax Income	(4,149)
Revenue Support Grant	(143)
Movement in Transition Grant	25
Movement in New Homes Bonus	32
Efficiencies/Savings/Additional Income	(436)
Balance	0

- 6.21 Given the significant efficiencies already within the proposed budget and Financial Strategy it will be difficult to identify additional robust deliverable efficiency savings for the 2018/19 budget. Therefore any Member proposals for ongoing additional expenditure are likely to necessitate cuts to existing services.

**Medium Term Revenue Forecast (MTRF) projections to 2022/23**

- 6.22 Members will note the financial projections to 2022/23 (Annex B). Although the Council has delivered a further £436k in savings within the 2018/19 budget, there is still a further forecast savings requirement through to 2022/23 of c£535k.
- 6.23 Annually when updating the capital programme a further year is added, which equates to around £800k of additional expenditure. The current programme includes ongoing funding from NHB of £188k to bridge the shortfall in delivering a basic capital scheme.

**Capital Programme**

- 6.24 The Financial Strategy provides a detailed breakdown of the Council's Capital Programme (appendix D) up to 2020/21 totalling £6.729m. External funding of £2.960m is included, leaving a balance of £3.769m to be financed by the Council's funds and reserves as follows:

Funding Source	£
Capital Fund	2,876k
Capital Receipts	893k
	3,769k

- 6.25 The principle of the capital plan is that only those schemes which are fully worked up, evaluated and approved by Members and as such would not require further Member approval to proceed (other than in meeting constitutional requirements) are within the Capital Programme. The plan has been amended to remove the outstanding £320k borrowing requirement and instead use usable reserves to bridge the funding gap.
- 6.26 Members should note that there are £709k unallocated capital resources available for investment in new schemes based on existing assumptions of capital receipts and investment interest receipts. The inclusion of any new schemes will be a Council decision based on evaluation of the detailed proposals.

**Pay Policy 2018/19**

- 6.27 The Pay Policy for RDC for 2018/19, as required under the Localism Act is attached at appendix E to the Financial Strategy (Annex A).

### Special Expenses

- 6.28 Having resolved the issue of ownership of the street lights it is no longer possible to transfer the management of street lighting as agreed in the budget strategy and therefore the Council will continue to undertake the management of street lighting in the areas of the former Malton and Norton Urban District Councils and Pickering Rural District Council. The special expenses are a specific charge to the residents of the Parishes concerned and are estimated as follows:-

<u>Town/Parish</u>	<u>£</u>
Malton	10,040
Norton	16,700
Pickering Rural	28,610
<b>TOTAL SPECIAL EXPENSES</b>	<b>55,350</b>

### National Non-Domestic Rates (NNDR)

- 6.29 For 2017/18 the NNDR multipliers are: a small business non-domestic rate multiplier of 46.6 p and a non-domestic rate multiplier of 47.9p. For 2018/19 the draft multipliers are 48.0p and 49.3p respectively.

### Prudential Code

- 6.30 Under the Local Government Act 2003 it is necessary for the Council to agree a series of prudential indicators mainly related to capital but taking account of affordability of the revenue consequences. Appendix B of the Financial Strategy lists the various indicators.

- 6.31 These indicators can be amended during the year if they are found to be inadequate.

### Funds & Reserves

- 6.32 As part of the budget setting process, it is necessary to give Members an indication of the levels of reserves and balances and comment thereon. Appendix C in the Financial Strategy sets out the projected major Funds and Reserve balances.

- 6.33 The Council's revenue budget for 2018/19 assumes no draw on the General Reserve to support the revenue budget over and above those previously agreed by Members. With the outlook for 2018/19 and beyond being very tough, and the scale and risk of achieving cost reduction being high, the council's policy on surplus reserves remains the same: to invest to save and, if required, to smooth the curve of cost reduction in the light of timescales needed to drive costs out.

### Local Government Act 2003 – Section 25 Report

Section 25 of the Local Government Act 2003 requires the Chief Finance Officer (Section 151 Officer) to report to the Authority when it is making the statutory calculations required to determine its Council tax or precept. The Authority is required to take the report into account when making the calculations. The report must deal with the robustness of the estimates included in the budget and the adequacy of the reserves for which the budget provides.

What is required is the professional advice of the Chief Finance Officer on these two questions. Both are connected with matters of risk and uncertainty. They are interdependent and need to be considered together. In particular, decisions on the appropriate level of reserves should be guided by advice based on an assessment of all the circumstances considered likely to affect the Authority.



In each Local Authority the Chief Finance Officer alone must prepare the Section 25 report.

Section 25 requires the report to be made to the Authority when the decisions on the calculations are formally being made (i.e. Council). However, those decisions are the conclusion of a process involving consideration of the draft budget by various parts of the organisation. During this process appropriate information and advice has been given at the earlier stages on what would be required to enable a positive opinion to be given in the formal report.

DCLG guidance states that *“it should be possible to identify the sections of a composite report that are made under section 25, so that the Authority is able to discharge its duty to take account of the statutory report under section 25 (2).”*

### **Section 25 Report (Report of the Chief Finance Officer – Resources & Enabling services Lead (s151))**

In setting the Revenue budget for 2018/2019 **I consider that the proposed budget is robust, and reflects a realistic and prudent view of all anticipated expenditure and income.**

The total saving proposals are £436k. This level is significant in relation to the Authority’s overall budget and therefore inherently carries a risk. The achievement of these savings will be crucial in managing within the budget. The risk of this has been mitigated in part by thoroughly reviewing all savings proposals for their robustness and effective budget monitoring procedures are in place. There inevitably remains a risk in delivering on this level of savings and there is always potential for delay in achieving savings or failure to achieve income targets. Where this occurs, compensating savings will need to be identified.

The overall level of reserves is considered in detail within the Financial Strategy. I consider that the overall level of reserves is adequate.

The Capital Plan and Capital Programme have been regularly reviewed during the year. The unapplied capital resources will need to be considered in knowledge of the ongoing expectations of low interest rates and limited capital receipts generated by the Authority. It is important that proper project management disciplines are followed for schemes within the programme together with regular monitoring to minimise the potential for unexpected overspends.

Within the current economic climate it will be important that close budget monitoring of services which generate income and partnerships takes place. In particular Land Charges, Building Control, Recycling, Trade Waste, Green Waste, Car Parking, Planning and Ryecare to enable action to be taken in year where necessary.

## **7.0 IMPLICATIONS**

7.1 The following implications have been identified:

- a) Financial  
Significant financial implications on the Council are detailed in the report and the Financial Strategy.
- b) Legal  
There are no additional legal issues on the Council from the recommendations.

c) Other

The proposals within the Financial Strategy do impact on the staffing resources of the Authority. Appropriate procedures and plans are in place to manage these issues.

**Peter Johnson**  
**Resources and Enabling Services Lead (s151)**

**Author:** Peter Johnson, Resources and Enabling Services Lead (s151)  
**Telephone No:** 01653 600666 ext: 392  
**E-Mail Address:** [peter.johnson@ryedale.gov.uk](mailto:peter.johnson@ryedale.gov.uk)

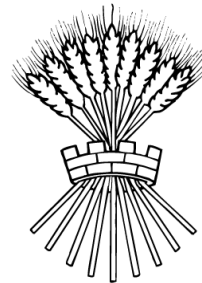
**Background Papers:**

[Local Government Finance Settlement 2018 to 2019 - Search - GOV.UK](#)

**Background Papers are available for inspection at:**

N/A

RYEDALE  
DISTRICT  
COUNCIL



# FINANCIAL STRATEGY

2018 - 2022

# FINANCIAL STRATEGY

## CONTENTS

### **Main Report**

1. Purpose and Scope
2. Objectives of the Financial Strategy
3. The Current Financial Position
4. The Financial Strategy Objectives
5. The Revenue Plan 2018 - 2022
6. Development of the Financial Strategy
7. The Capital Plans 2018 - 2022
8. Balances and Reserves
9. Impact/Risk Assessment
10. Pay Policy 2018/2019
11. Conclusion

**Appendix A:** 2018/2019 Revenue Budget Pressures and Savings

**Appendix B:** Prudential Indicators

**Appendix C:** Reserves and Balances

**Appendix D:** Capital Programme 2018 - 2022

**Appendix E:** Pay Policy 2018/2019

**Appendix F:** Commercialisation and Income Generation Policy

## **1. INTRODUCTION – THE PURPOSE AND SCOPE OF THE FINANCIAL STRATEGY**

The Financial Strategy sets out the overall shape of the Council's budget by establishing how available resources will be allocated between services, reflecting Council and community priorities, and therefore providing a framework for the preparation of annual budgets.

The Strategy is linked with and supports service priorities and the Council's other strategies and plans, including but not limited to:

- The Council's Corporate Plan
- The Asset Management Plan
- The IT Strategy
- The Procurement Strategy
- The Treasury Management Strategy
- The Risk Management Strategy
- The HR Strategy

The focus of the Financial Strategy is on medium and long term planning, and decision making for the future. Whilst the Strategy includes specific proposals for a particular financial year, there should not be an over concentration on just one years budget. This Strategy seeks to avoid year on year budget setting, and use of short term/one off measures to balance the budget. It is a Strategy for the future, to ensure effective resource planning and the delivery of Corporate Objectives.

In particular it:

- sets out the Council's medium term financial aims and the measures to be taken to ensure they will be achieved;
- sets out the Council's approach to delivering improved services and value for money over the next few years;
- describes the Council's arrangements for developing the financial strategy, including:
  - The identification and prioritisation of spending needs;
  - The key financial influences on the medium term financial planning and the assumptions made in developing the plan;
  - The challenges and risks associated with the plan and how the Council will deal with them.
- sets out the Council's policy on reserves and balances.
- identifies the resource issues and principles, which will shape the Council's Financial Strategy and annual budgets.

The Financial Strategy covers all revenue and capital spending plans of the Authority.

## **2. OBJECTIVES OF THE FINANCIAL STRATEGY**

The Financial Strategy seeks to achieve the following **Objectives**: -

1. Budgets are Prudent and Sustainable in the Long Term,
2. Financial plans recognise corporate Priorities and Objectives,
3. Significant risks are identified, and mitigation factors identified,
4. The Capital Programme is planned over a 4 year period. Borrowing will only take place where there is a clear financial business case to borrow and it meets the requirements of the Prudential Code,
5. Constraints on capital and revenue resources, including the uncertainties around future government funding, are recognised and taken into account,
6. Council Tax increases will be kept below the Government's expected upper level of increase, and the broad anticipated increase for future years will be set out within the Financial Plans, recognising that these increases may be subject to change,
7. Prudent levels of general balances, reserves and contingencies are maintained in the context of an assessment of the risks facing the Council,
8. Value for Money and achievement of improved efficiency and service delivery underpin the Financial Strategy,
9. The Financial Strategy supports the achievement of Excellence in Financial Management and use of resources.

### 3. THE CURRENT FINANCIAL POSITION

The Council's net budget for 2017/18 totals £6.157m and is allocated to services as shown:

Service	Gross Expenditure £'000	Gross Income £'000	Net Expenditure £'000
Central Services	3,707	3,552	155
Cultural & Related Services	920	27	893
Environmental & Regulatory Services	4,410	2,157	2,253
Highways & Transport Services	350	904	(554)
Housing Services	13,954	12,896	1,058
Planning Services	1,692	664	1,028
	25,033	20,200	4,833
Other Financial Adjustments			1,324
<b>Net Revenue Budget</b>			<b>6,157</b>
Financed By:			
Government Grant and Retained Business Rates			2,153
Collection Fund Surplus – Council Tax			45
Ryedale District Council Precept			3,959
<b>Total</b>			<b>6,157</b>

Overall Ryedale continues to have a strong financial discipline, which is exemplified by the size and diversity of its balances and its year-on-year budgetary performance. However, revenue spending demands are increasing in several areas.

These spending demands have a fundamental impact on the way in which the Council operates. It has to continually deliver real efficiencies to balance year-on-year financial resources with the high quality services which residents and visitors expect.

Appendix A details the budget pressures and savings/additional income proposals for the 2018/19 budget.

The financial strategy is to some extent shaped by factors outside the Council's immediate control. However, there are many facets to an effective financial strategy, and the Council must ensure it proactively manages its resources with a view to ensuring robust financial planning that delivers Council priorities.

#### External Factors:

**Revenue Support Grant, Rural Services Delivery Grant and Retained Business Rates** – In December 2017 the council received the provisional finance settlement for 2018/19, the figures were generally in line with the 4 year funding settlement accepted by the Council with the exception of Rural Services Delivery Grant which was £106k better than expected.

Revenue Support Grant will see continued substantial reductions in future years reducing to zero followed by ongoing reductions to the Business Rates Tariff. Under the Business Rate Retention Scheme RDC keeps a proportion of business rates collected, but must pay a fixed tariff from its share. The retained share is 40% and any income above target performance will increase the retained share for Ryedale (after paying a levy of 50% of any growth). The down side risk is that any reductions in collected business rates lead to a 40% reduction in RDC income. Careful monitoring of business rates collection and appeals will be required. The financial impact of any significant appeal costs will need to be managed through reserves.

In order to reduce levies payable the Council has formed a business rates pool with North Yorkshire County Council (NYCC), Hambleton District Council, Craven District Council, Richmondshire District Council and Scarborough Borough Council. This should generate additional retained business rates, however this will dependent not only on Ryedale's business rate income but that of the other partners (excluding NYCC).

**Public Spending Plans and National Priorities** - It is clear from the Spending Review and the subsequent Provisional Local Government finance settlement that the Authority will see several years of reducing Government financial support. Public services are however under increased pressure from their customers for improved service provision. In addition new legislation proposals may create burdens as well as opportunities for the Council. This financial strategy seeks to ensure national priorities are considered alongside local priorities.

### **Efficiencies**

The requirement to formally record and report efficiencies has now been removed however the achievement of efficiencies will be essential to balancing the Council's budget with minimal impact to front line services with the likely levels of government grant support.

These efficiencies have to be achieved through a greater focus on Value for Money (VFM) and through a culture of innovation. Responsibility for identifying opportunities for efficiency gains are left to individual Councils and it will be up to them to put in place the processes that they need to plan VFM projects, track delivery, measure achievement, and assure service quality.

### **Additional Cost Pressures**

There has been a trend in local government in recent years for additional cost pressures (for example pay increases, impact of meeting national targets, new duties/legislation) to significantly outweigh increases in Government funding. In addition to this some of the pressures carry significant growth year on year, which is not always reflected in Revenue Grant Settlements.



Looking ahead, it is likely that further pressures will be placed upon local authorities resulting in the requirement for authorities to achieve efficiencies/savings. These anticipated pressures are reflected within this financial strategy.

### ***New Homes Bonus***

This funding started in 2011/2012 and provided Authorities funding based on the number of new properties brought into use with an added element for affordable housing. The calculation provides that 80% of the funding is paid direct to District Councils with the County Council receiving the remaining 20%.

The revised NHB Scheme will continue in 2018/19 with a further reduction in funding as transitional arrangements end. The 4 year scheme will continue to operate with a 'deadweight' below which NHB will not be paid, the threshold has been set at 0.4% of the increase in the Council Tax Base. The following table sets out the received and predicted income from New Homes Bonus, the budgeted/ forecast allocation of NHB and the remaining balance available for RDC:

<b>Year</b>	<b>NHB £000</b>	<b>Revenue Support £000</b>	<b>Capital Support £000</b>	<b>Balance £000</b>
2014/2015 (received)	1,127	175	0	952
2015/2016 (received)	1,387	559	288	540
2016/2017 (received)	1,676	327	188	604
2017/18 (received)	1,420	32	188	1,200
2018/19 (due)	964	0	188	776
2019/20 (illustrative)	900	426	188	286
2020/21 (illustrative)	900	617	188	95
2021/22 (Illustrative)	900	669	188	43

The table highlights the indicative reduction in NHB through to 2021/22. It's forecast that by 2022/23 the whole of NHB will be required to support revenue and capital. There is a risk that the illustrative NHB figures for 2018/19 onwards could reduce further dependent on the level of house building throughout the district.

### ***External Funding***

The Audit Commission sees the achievement of external funding as a key part in the demonstration of Value for Money. The Local Economic Partnerships (LEP) has a role in the distribution of external funding and RDC will need to ensure that it continues to have a voice and link to the LEPs.

The Council must carefully appraise the role that external grant resources can play in meeting its objectives. Decisions about bidding for external grants must be taken in the context of the priorities in the Corporate Plan.

### ***Pensions***

The Council's contribution rate for the North Yorkshire Pension Fund (NYPF) is set based upon the returns to the fund and the recovery period for the fund.

These are affected by economic fluctuations and with the current economic turbulence increases in contribution rates may ensue. The contribution rates are established in consultation with the Council based on a triennial review by the actuary. Changes to the scheme benefits have been made which should reduce overall costs. A review of the fund took place in 2016/17 and the overall contribution rates have increased, however by less than expected based on the interim valuations. The next review will be in 2019/20 and an estimation of the impact is included in the Financial Strategy.

### ***Significant Partnerships***

The following have been identified as the Council's significant partnerships:

- The Local Enterprise Partnership
- North Yorkshire Building Control Partnership
- White Rose Home Improvement Agency
- Veritau North Yorkshire

Further partnerships and shared service may be sought to secure efficiency savings and/or service resilience in future years. Proper governance, Value for Money and security of Council finances will be an important consideration of any such proposals.

## **4. THE FINANCIAL STRATEGY OBJECTIVES**

The following are the objectives of the Council's financial strategy:

### **Objective 1 - Budgets are Prudent and Sustainable in the Long Term**

This seeks to ensure that budgets recognise real cost pressures.

This will be achieved by ensuring:-

- Adequate provision is made for inflation pressures, pay awards, and new legislation
- The revenue budget is not supported by significant one off savings, or any significant use of reserves
- Effective budget monitoring to ensure early identification of issues and action planning

### **Objective 2 – Financial Plans Recognise Corporate Priorities and Objectives**

This seeks to ensure that financial plans link in with corporate planning and priorities, and that there is provision within the Financial Strategy for growth/development funding on an ongoing basis.

This will be achieved by ensuring:-

- additional investment, and savings proposals make explicit reference to corporate priorities
- Local and national targets are considered
- Long term vision and objectives are considered within the report

- Provision within financial planning figures for growth and contingency amounts based upon perceived risk

**Objective 3 - Significant risks are identified, and mitigation factors identified**

Risk Management is crucial in long term planning, and it is essential that the Financial Strategy clearly identifies the associated risks, and that this is supported by an embedded risk management culture within the organisation.

This will be achieved by:-

- Risk Management being embedded in corporate and service planning
- Financial risks being specifically considered on an ongoing basis, and specifically reflected within the Financial Strategy

**Objective 4 - The Capital Programme is planned over a 4 year period, with no further borrowing planned.**

This seeks to ensure that the capital programme is prudent and sustainable, and does not lead to unaffordable revenue implications.

This will be achieved by ensuring: -

- the development of a 4 Year capital programme
- regular review of reserves and balances
- a Corporate approach to external funding opportunities
- that only includes fully evaluated schemes within the programme

**Objective 5 - Constraints on capital and revenue resources, including the uncertainties around future government funding, are recognised and taken into account;**

It is important that the Financial Strategy is realistic and that there is a corporate awareness of the constraints on Council funding.

This will be achieved by ensuring:-

- specific reference within each financial strategy of constraints, and current issues
- regular reporting to members on local government finance issues
- awareness of the financial position within the organisation through effective communication

**Objective 6 - Council Tax increases will be kept below the Government's expected upper level of increase, and the broad anticipated increase for future years will be set out within the Financial Plans, recognising that these increases may be subject to change.**

It is important in developing the financial plan that an assumed Council Tax increase is included, ensuring that financial plans do not place over-reliance upon excessive Council Tax increases.

This will be achieved by ensuring that financial plans take account of this level of Council Tax increase, Government expectations on Council Tax increases, and in particular that target efficiency gains reflect the likely levels of Council Tax. However, it has to be recognised that additional burdens and demands can be placed upon local authorities, and that it may not always be feasible to achieve an increase in Council Tax in line with the inflation rate.

**Objective 7 - Prudent levels of general balances, reserves and contingencies are maintained in the context of an assessment of the risks facing the Council.**

It is important to strike a balance between maintaining adequate reserves and contingencies and delivering priorities and achievement of Value For Money.

This will be achieved by ensuring:-

- an annual review of reserves, linked to corporate priorities and treasury management implications
- that capital reserves are maintained at a level to fund the planned capital programme

**Objective 8 - Value for Money and achievement of improved efficiency and service delivery underpin the Financial Strategy**

Value For Money should be at the heart of everything the Council does, and the pursuit of improved efficiency and performance needs to be established as an ongoing underlying principle

This is being achieved through an ongoing review of costs and service standards, challenge, and benchmarking with others.

**Objective 9 - The Financial Strategy supports the achievement of Excellence in Financial Management and Use of Resources**

A Financial Plan in isolation will achieve little. It needs to be supported by:-

- Effective financial governance arrangements
- Financial Management that supports performance
- Effective Monitoring arrangements
- Effective Financial Reporting

This will be achieved by

- Implementation of the action plans following external inspection
- Developing the financial culture within the Council
- Financial reporting and documentation based upon stakeholder needs
- Maintaining the quality and performance of the Financial Systems
- Training and Development – finance/non finance
- Integration of financial and non financial performance measures

**5. THE REVENUE PLAN 2018 - 2022**

The medium term revenue plan is based on an analysis of the key influences on the Council's financial position and an assessment of the main financial risks facing the Council. The financial forecast is based on the following factors and assumptions:

### ***Local Government Finance Settlement***

The Council receives external support from Central Government through the distribution of resources within the Local Government Finance Settlement. The distribution is made in accordance to authorities' relative needs with a mechanism for protection against detrimental changes in grant allocations.

The Council has accepted the Governments offer of a 4 year funding settlement, although the settlement delivers very significant funding cuts it does offer a degree of certainty for financial planning. The medium term predictions incorporate the estimates based on these details. The 2018/19 Provisional Finance Settlement was announced in December 2017 and the grant funding figures for the council were better than the 4 year offer. There is uncertainty around the level of Government support in the next Parliament. The Government intends to undertake a fair funding review which will set new baseline funding allocations for local authorities by delivering an up-to-date assessment of their relative needs and resources, the result of the review is due to be implemented in 2020/21 and consultation with Local Government is underway

### ***Localised Business Rates***

As previously stated the Council retains a proportion of business rates out of which it must pay a fixed tariff (subject to RPI uplift). The revenue plan takes the estimated business rates income for 2018/19 based on the NNDR1 information and assumes no growth in business rates base over the plan period, with the intention of realigning the councils estimated business rates income with its baseline funding level before the expected baseline reset in 2020/21. The Government has also announced that 75% of business rates income will be retained locally from 2020/21, an increase of 25% on the current scheme, however the move will be fiscally neutral and therefore the revenue plan currently does not anticipate an increase in income as a result.

### ***Council Tax***

In accordance with Objective 6 of this Financial Strategy, the plan makes a clear assumption that future Council Tax increases will be restricted to below Government upper limits. The Government has announced that the limit above which increases in Council Tax must be subject to referendum for 2018/19 is the higher of £5 (which equates to 2.7% for Ryedale) or 3% on the band D equivalent including the Special levy. With a District wide referendum likely to cost in excess of £70k, the authority must look to manage increases below the threshold and future forecasts assume the referendum limit will be £5.

A £5 increase in Council Tax has been included within this strategy for 2018/19 in line with the decision of Council. Future years Council Tax rises are provisionally predicted at £5. An increase in Council Tax of 3% would generate an additional £11k pa for the Authority.

### ***Inflation rates and pay increases***

The medium term plan makes provision for inflation and pay awards as follows:

*Inflation:* a rate of up to 3% has been used for non-salary expenditure budgets where more accurate information is unavailable.

*Pay awards:* the approved budget strategy allowed for a 1% increase in pay. Since the strategy was approved a 2 year offer has been made by employers as follows;

- In year one, all staff on SCPs 6-19 inclusive would see their pay increase by between 3.7% and 9.1%. All staff on SCP20 and above would receive an increase of 2.0%.
- In year two, the Employers have proposed that a new pay spine be introduced that would see staff on current SCPs 6-28 inclusive receiving pay increases of between 2.3% and 7.3%. All staff on current SCP 29 and above would receive an increase of 2.0%.
- In year two a new pay spine has been proposed because the current spine cannot absorb the impact of the National Living Wage.

The MTFP and the 18/19 budget have been amended to reflect this offer.

### ***The ongoing effect of existing policies and priorities***

The ongoing effect of current policies is included in the plan. These additional costs include planned changes in the contribution rate to the Pension Fund, salary increments and revenue implications of capital projects.

### ***Spending Pressures Contingency***

The plan assumes provision to meet spending pressures as follows:-

2019/20 - £364,000

2020/21 - £220,000

2021/22 - £150,000

### ***Efficiency savings***

The 2018/19 budget has identified £436k of efficiency savings to deliver a balanced budget, the largest contribution being from the T2020 programme which is set to deliver £225k of savings. The revised MTFS identifies a further savings requirement of £535k through to 2022/23.

Use of Assets, subject to Member approval, will be a major project over the life of the MTFS but is unlikely to deliver any significant savings/additional income until 2022 at the earliest.

Identification of savings over the next 12 months will focus on further detailed analysis of budget headings, service reviews and income maximisation.

The District Council continues to face reductions in government funding. Revenue Support Grant will cease from April 2019, there is uncertainty around the level of Government Funding beyond 2020 and the impact of changes to the Business Rates retention and the base reset.

To meet future financial challenges, it is imperative for the council to adopt a more commercial approach to service delivery.

The identification and delivery of commercial opportunities, will enable us to maximise available returns on investment to deliver against our financial requirements.

The Council needs to use income through charging to support the delivery of its agreed priorities.

Powers to charge and trade have been in place and available to this Council for a number of years, the Council can take steps to improve the levels of income generated through charging.

In line with the Budget Strategy, agreed by Members, the Council needs to agree any decisions on charging and wider commercial activities outside of the set parameters.

An income generation and commercialisation policy is included at Appendix F for approval as recommended.

### ***Risks, contingencies and balances***

There are significant risks inherent in the Medium Term Plan for the reasons summarised above and exemplified in the section below. A number of key items in the plan cannot be estimated with accuracy and the figures in the plan assume that significant savings will be made. In this situation it is essential to maintain sufficient balances, not only to deal with unforeseen events but also to cover the potential risk of not achieving the savings required.

## **6. DEVELOPMENT OF THE FINANCIAL STRATEGY**

As noted above, the development of the budget and medium term financial plan is driven by the Council's priorities.

The Council already has in place a comprehensive Financial Strategy, and this document represents an update to the existing Strategy. The objectives are to:

- help Members to determine priorities;

- forecast the changes in demand for services;
- identify the likely financial implications of changes in legislation;
- demonstrate the future cost of policies or proposals;
- match the demand for spending with the resources likely to be available; and
- provide a financial framework within which services and individual managers can plan their services.

### **The budget process**

The Financial Strategy comprises a 5-year revenue plan and a 4-year capital plan.

The plans will be reviewed annually and rolled forward by a year. The process, from the start of the review of the financial plans through to the approval and allocation of budgets, spans the whole year.

One of the key features of the budget processes is the linkage between the corporate financial requirements and the operational needs and demands of the Council. This will be done through the Service Delivery Plans and Service Reviews that identify funding requirements for the revenue and capital budget, performance outcome expectations and risk assessments.

### **Consultation and Communication**

There is a need for this Strategy to be effectively communicated to staff and key stakeholders. In addition, it is important that in the development of the Strategy, allocations of resources, and the setting of Council Tax that there are effective consultation mechanisms in place.

Looking ahead the following broad actions are planned to ensure effective communication and consultation:-

- Budget Consultation.
- Regular communication with staff at all levels and with Unions

### **Budget Monitoring arrangements**

It is essential that the financial plan is regularly monitored, with the progress being reported to Members. This will be done through the issuing of revenue and capital monitoring reports to Corporate Management Team, and financial and performance monitoring reports to the Resources Working Party and the Policy and Resources Committee.

The monitoring process focuses on high risk budgets and involves timely and accurate budget monitoring information to Budget Managers.



The process requires budget holders to explain the reasons for any significant variances and Leads to identify ways in which such variances can be managed within their total resources available. This is one of the key principles underlying this strategy – that growth items are wherever possible accommodated from existing resources. To achieve this requires a culture of financial awareness within the authority and this is seen as a key priority.

## **7. THE CAPITAL PLANS 2018 - 2022**

The capital strategy is the key vehicle for developing long term change to deliver the key priorities and corporate objectives.

### ***a) Prioritisation methodology***

New schemes are reviewed against the Council priorities plus a detailed assessment of deliverability prior to consideration by Council. This methodology will be applied to all proposals, regardless of the source of funding, prior to any decision being made to accept external capital support such as grant funding, so that the Council can ensure that they form part of an overall capital investment strategy.

### ***b) Engagement with partners of the community***

The Council is committed to seeking out innovative partnership and funding opportunities in order to deliver the capital strategy and achieve best value.

The Council has worked closely with funding partners. Future projects will continue to be developed through partnership working more likely with the Local Enterprise Partnership (LEP). The Council also recognises the importance of increased community engagement and participation as fundamental to the quality of public services and the health of community life. The Council will therefore seek to develop major projects with the full involvement of local communities and ensure appropriate consultation prior to scheme approval.

### ***c) Affordability of funding***

#### **Financing the Capital Programme for the Future**

Resources to fund capital spending are provided from central government grants, with other external grants and contributions sought. Council funding in the form of capital receipts, use of reserves, borrowing and from revenue sources make up the balance of resources. However, grants provided by central government and resources from other external agencies are often specific to an individual scheme and cannot be used for any other purpose by the Council. The Council has limited scope to generate significant capital receipts other than through the sale of major underutilised assets.

## ***(d) Integration of Capital and Revenue Decision-Making***

### ***The Prudential Code***

Under the Prudential Regime, which has operated since April 2004, the Council has the responsibility to demonstrate that its capital investment programme is affordable, prudent and sustainable. The Prudential Code requires that this is done by calculating specific indicators for capital expenditure and financing and by setting borrowing limits. The indicators and borrowing limits for the current and next two years are set out at Appendix B.

### ***Revenue Implications***

The revenue implications of funding the capital programme are built into the medium term financial forecasts.

## ***(e) Framework for Managing and Monitoring the Capital Programme***

The Chief Financial Officer has overall responsibility for the preparation and monitoring of the Council's capital programme and for reporting the outcome to Members. The process involves:

- Reviewing the capital programme annually.
- Reviewing the current and estimated future availability of external earmarked funding and other opportunities for obtaining or bidding for additional capital resources.
- Prioritising and appraising any new proposals against agreed corporate criteria.
- Preparing the Council's capital programme and strategy.
- Monitoring progress in achieving the capital programme objectives.
- Ensuring that the outcomes of investment are reported to members.
- Ensuring there are effective arrangements for project planning and project evaluation.
- Issuing corporate guidance to ensure that there is a consistent approach across all service areas.
- Reviewing and monitoring the Council's capital resources and asset disposal programme.

Full details of the programme together with funding streams are attached at Appendix D. The programme is split into five sections:

- Asset Management
- Priority Aims
- Major Schemes
- Externally Funded Schemes
- Other

Schemes relating to Asset Management comprise all those that will result in the Council's assets being improved. These can include works to land and buildings or IT upgrades of either hardware or software.

Schemes under Priority Aims are those where the Council has taken a deliberate decision that these will help satisfy its corporate objectives/key priorities.

## **8. BALANCES AND RESERVES**

The Local Government Act 2003 places a specific duty on the Chief Finance Officer, i.e. the Resources and Enabling Services Lead (s151), to make a report to the authority when it is considering its budget and the level of the Council Tax. This report must deal with the robustness of the estimates and the adequacy of reserves allowed for in the budget proposals. The Council must have regard to this report in making their decisions.

The Council also has a fiduciary duty to local taxpayers and the Chief Finance Officer must be satisfied that the decisions taken on the level of balances and reserves represent the proper stewardship of funds.

In assessing the adequacy of the contingencies, balances and reserves, the Chief Finance Officer takes account of the key financial assumptions underpinning the budget, together with an assessment of the Council's financial management arrangements. This assessment will include a review of past performance and external influences on the financial plan, and full consideration of the risks and uncertainties associated with the plan, their likelihood and potential impact.

The Council's policy is to maintain its contingencies, balances and reserves at levels that are prudent but not excessive. With the outlook for 2018/19 and beyond being very tough, and the scale and risk of achieving cost reduction being high, any reserves identified as being surplus should be prioritised to invest to save schemes and, if required, to smooth the curve of cost reduction in the light of timescales needed to drive costs out.

Appendix C details the position on the Councils Key Reserves.

## **9. IMPACT/RISK ASSESSMENT**

This section recognises the challenges and risks that have implications for the Council's financial position in the medium term. This assessment of risk is an essential element of the budget process; it is used to inform decisions about the appropriate levels of contingencies and reserves that may be required and to indicate priorities for financial monitoring.

Managing Risk is an important part of the Financial Strategy. In addition to the Corporate Risk Register each service maintains its own risk register. The Corporate Risk Register will be reported to the Overview and Scrutiny Committee during the forthcoming year.

The key risks identified for 2018/19 and in the medium term are listed below, together with comments on how they will be managed:



<b>Issue/Risk</b>	<b>Consequences if allowed to happen</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Mitigation</b>	<b>Mitigated Likelihood</b>	<b>Mitigated Impact</b>
Fluctuations in inflation, Government grants, business rate receipts and changes in Government legislation	Council unable to set a balanced budget without significant cuts to services and service quality, adverse external inspection, excessive call on Council reserves	Very Likely	Major	Keep under review through the financial strategy. Consider fully any changes in legislation. Ensure adequate reserves are maintained to mitigate the risk. Ensure authorities interests are represented through the LGA/other groups. Memberships of business rate pool to retain increased business rates. Ensure Longer Term plans for significant variations are in place.	Likely	Medium
Budgets are overspent	Unplanned use of reserves which may impact on future year Council Tax, adverse external inspection	Not Likely	Major	Robust budget setting, challenging budget provision. Regular monitoring with corrective actions. Develop a culture of financial awareness. Effective project planning and management. Ensure sufficient contingency sums. Review of any material overspends.	Not Likely	Minor
Savings are not achieved	If compensating savings not identified unplanned use of reserves, potential for cuts to services or service levels	Likely	Major	Regular budget monitoring to identify issues at an early stage. Detailed scrutiny and review of all savings proposals prior to approval.	Not Likely	Minor
Changes in demand/usage levels affecting income from	Unplanned use of reserves with potential to impact on	Very Likely	Major	Ensure regular monitoring Review trends	Likely	Medium

fees and charges	future Council Tax levels or requiring cuts to services or service levels			Take appropriate action Ensure base income budgets are realistic.		
Business Rate Pool does not generate savings through significant appeals success across the pool area.	NNDR deficit to be carried forward to future years, possibly leading to service reductions elsewhere being required/use of NHB.	Likely	Medium	Significant risk management work undertaken before pool formed reviewing pool membership and rates risk. Prudent assumptions on business rates income taken into revenue forecasts.	Not Likely	Medium
Budget does not reflect corporate priorities	Council fails to achieve Corporate plan objectives. Adverse external inspection.	Not Likely	Major	Ensure corporate involvement in the process. Early consideration of budget pressures and legislation changes. Regular reporting to members. Up to date Service Delivery plans in place linked to corporate plan.	Not Likely	Minor
The capital programme is not affordable	Council may need to remove existing planned schemes from the programme or use reserves earmarked for other purposes. Adverse external inspection.	Likely	Major	Schemes are monitored and reported on a regular basis. Financing profile based on realistic assumptions. Ensure only fully evaluated schemes are included within the programme with sufficient contingency sums.	Not Likely	Medium
Poor budget planning with decisions being made without proper consideration/consultation	Council fails to meet community needs, adverse impact on Corporate and Community Plan. Adverse external inspection	Likely	Major	Develop a long-term financial strategy. Set out a clear budget timetable. Regular updates to Members. Effective ongoing consultation processes.	Not Likely	Minor

Council Tax Support scheme –above expected demand or collection rates not achieved	Collection fund into deficit which may require savings/cuts in future years. Impact on other major preceptors	Likely	Major	Proper assessment of likely take up based on historic trends, comparison with other authorities, in year monitoring of spend and collection. Regular reporting to members and s(151). Annual approval of the scheme.	Not Likely	Major
Decision on Pension fund contribution rates create future significant cost pressure	Additional savings/cuts to services required in future years	Likely	Major	Market interest rates and investment returns are expected to improve. Monitor interim valuations and make provision in financial forecasts.	Likely	Medium





## **10. PAY POLICY 2018/19**

The Localism Act 2011 requires that the authority produce a policy statement that covers a number of matters concerning the pay of the authority's staff, principally Chief Officers. The Pay Policy for 2018/19 is incorporated within this Financial Strategy at Appendix E.

## **11. CONCLUSION**

This Financial Strategy sets out a range of proposals regarding the future management of resources and delivery of priorities.

The Strategy is underpinned by nine key Objectives, which are set out within section 2.

The process of developing the Financial Strategy is ongoing. Although there is a considerable amount of work to be done, and further improvements to be made, the Council has put in place the framework for ensuring a strong financial base that delivers priorities. This strong financial base has been previously commented upon within External Audit reports.

As far as possible, the plan anticipates future needs and recognises the financial uncertainties, risks and challenges faced by the Council. The Council has in place rigorous financial monitoring and aims to ensure it holds balances and reserves that are considered adequate without being excessive.

Consequently, Ryedale has in place a sound Financial Strategy and a robust financial plan that is designed to support the delivery of the targets in the Corporate Plan and meet the Council's Objectives.

## APPENDIX A

### 2018/19 Budget Pressures

		£'000
<b>Additional Costs</b>		
- Cesspool Emptying	Unavoidable discontinuation of service	15
- Waste Transfer Station	Contribution to cost of WTS based at Kirbymisperton – part year only	38
- Additional HR Resource	To address identified shortfall	15
- Marketing Resource	To address identified shortfall	20
- Salaries	Revisions to T2020 structure (net)	19
- Travellers Site	Forecast net increase in the operating costs	11
- Other Growth items		13
<b>Specific Grants</b>		
- Benefits Admin Subsidy	Cut to grant	20
<b>Total</b>		<b>151</b>

### 2018/19 Efficiencies/Savings/Additional Income

Proposal	Savings £'000	Risk L/M/H
- T2020 Streetscene Review	175	M
- Root & Branch Review net efficiencies	132	L
- Additional Income	11	L
- Realignment of LCTS Administration Grant	16	L
- Savings identified in 2017/18 Financial Strategy	75	L
- Pension Contributions	8	L
- Reduction in Capital Borrowing	19	L
<b>Total of Savings</b>	<b>436</b>	

## Prudential Indicators

### Capital Expenditure

The actual capital expenditure that was incurred in 2016/17 and the estimates of capital expenditure to be incurred for the current and future years that are recommended for approval are:

Capital Expenditure	2016/17 Actual £m	2017/18 Estimate £m	2018/19 Estimate £m	2019/20 Estimate £m	2020/21 Estimate £m
Capital Programme	0.538	2.300	2.016	0.791	0.811

### Ratio of Financing Costs to Net Revenue Stream

Estimates of the ratio of financing costs to net revenue stream for the current and future years, and the actual figures for 2016/17 are:

	2016/17 Actual	2017/18 Estimate	2018/19 Estimate	2019/20 Estimate	2020/21 Estimate
Non HRA	2.26%	3.32%	3.47%	2.88%	2.96%

### Capital Financing Requirement

Estimates of the Capital Financing Requirement for the Authority for the current and future years and the actual Capital Financing Requirement at 31 March 2017 are:

	2016/17 Actual £m	2017/18 Estimate £m	2018/19 Estimate £m	2019/20 Estimate £m	2020/21 Estimate £m
Total CFR	2.227	2.172	1.960	1.897	2.144

The Capital Financing Requirement (CFR) measures the authority's underlying need to borrow for a capital purpose.

CIPFA's Prudential Code for Capital Finance in Local Authorities' includes the following as a key indicator of prudence:

*"In order to ensure that over the medium term net borrowing will only be for a capital purpose, the local authority should ensure that net external borrowing does not, except in the short term, exceed the total of capital financing"*

*requirement in the preceding year plus the estimates of any additional capital financing requirement for the current and the next two financial years.”*

The Chief Finance Officer reports that the authority had no difficulty meeting this requirement in 2016/17, nor are any difficulties envisaged for the current or future years. This view takes into account current commitments, existing plans, and the proposals in this budget report.

### **Authorised Limit for External Debt**

In respect of its external debt, it is recommended that the Council approves the following authorised limits for its total external debt gross of investments for the next three financial years, and agrees the continuation of the previously agreed limit for the current year since no change to this is necessary. These limits separately identify borrowing from other long-term liabilities such as finance leases. The Council is asked to approve these limits and to delegate authority to the Chief Finance Officer, within the total limit for any individual year, to effect movement between the separately agreed limits for borrowing and other long term liabilities, in accordance with option appraisal and best value for money for the authority. Any such changes made will be reported to the Council at its next meeting following the change.

	2017-18 £'000	2018-19 £'000	2019-20 £'000	2020-21 £'000
Borrowing	10,000	10,000	10,000	10,000
Other Long Term Liabilities	1,000	1,000	1,000	1,000
Authorised Limit	11,000	11,000	11,000	11,000

The Chief Finance Officer reports that these authorised limits are consistent with the Authority's current commitments, existing plans and the proposals in this budget report for capital expenditure and financing, and with its approved treasury management policy statement and practices. The Chief Finance Officer confirms that they are based on the estimate of most likely, prudent but not worst case scenario, with in addition sufficient headroom over and above this to allow for operational management, for example unusual cash movements. Risk analysis and risk management strategies have been taken into account; as have plans for capital expenditure, estimates of the capital financing requirement and estimates of cashflow requirements for all purposes.

### **Operational Boundary for external debt**

The Council is also asked to approve the following operational boundary for external debt for the same time period. The proposed operational boundary for external debt is based on the same estimates as the authorised limit but reflects directly the Chief Finance Officers estimate of the most likely, prudent but not worst case scenario, without the additional headroom included within the authorised limit to allow for example for unusual cash movements, and

equates to the maximum of external debt projected by this estimate. The operational boundary represents a key management tool for in year monitoring by the Chief Finance Officer. Within the operational boundary, figures for borrowing and other long-term liabilities are separately identified. The Council is also asked to delegate authority to the Chief Finance Officer; within the total operational boundary for any individual year; to effect movement between the separately agreed figures for borrowing and other long term liabilities, in a similar fashion to the authorised limit. Any such changes will be reported to the Council at its next meeting following the change.

	2017-18 £'000	2018-19 £'000	2019-20 £'000	2020-21 £'000
Borrowing	5,000	5,000	5,000	5,000
Other Long Term Liabilities	500	400	400	600
Operational Boundary	5,500	5,400	5,400	5,600

The Council's actual external debt at 31 March 2017 was £1.75m. It should be noted that actual external debt is not directly comparable to the authorised limit and operational boundary, since the actual external debt reflects the position at one point in time.

In taking its decisions on this budget report, the Council is asked to note that the Authorised Limit determined for 2018/19 (see above) will be the statutory limit determined under section 3(1) of the Local Government Act 2003.

### **Estimate of Incremental Impact of Capital Investment**

The estimate of the incremental impact of capital investment decisions proposed in this budget report, over and above capital investment decisions that have previously been taken by the Council are:

For the Band D Council Tax	2018/19	2019/20	2020/21
	£0.07	£0.03	£0.04

These forward estimates are not fixed and do not commit the Council.

### Consideration of options for the capital programme

In considering its programme for capital investment, the Council is required within the Prudential Code to have regard to:

- affordability, e.g. implications for Council Tax
- prudence and sustainability, e.g. implications for external borrowing
- value for money, e.g. option appraisal
- stewardship of assets, e.g. asset management planning
- service objectives, e.g. strategic planning for the authority
- practicality, e.g. achievability of the forward plan.

A key measure of affordability is the incremental impact on the Council Tax, and the Council could consider different options for its capital investment programme in relation to their differential impact on the Council Tax.

**APPENDIX C**

**Key Reserves and Balances**

	<b>General Reserve</b>	<b>Capital Fund</b>	<b>Capital Receipts</b>	<b>Capital Grants &amp; Conts</b>
	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>
<b>Balance as at 1 April 2017</b>	<b>1,328</b>	<b>2,199</b>	<b>222</b>	<b>141</b>
<b>Add</b>				
Estimated Income During Year:				
Contribution from General Fund	-	382	-	-
Interest on Investment of Balances	-	60	-	-
Capital Receipts	-	-	260	-
Capital Grants & Contributions	-	259	-	546
	1,328	2,900	642	687
<b>Deduct</b>				
Estimated Expenditure During Year:				
Transfer to General Fund	-30	-513	-	-
Capital Expenditure	-	-1,353	-260	-687
<b>Estimated Balance 31 March 2018</b>	<b>1,298</b>	<b>1,034</b>	<b>222</b>	<b>-</b>
<b>Add</b>				
Estimated Income During Year:				
Contribution from General Fund	-	968	-	-
Interest on Investment of Balances	-	50	-	-
Capital Receipts	-	-	30	-
Capital Grants & Contributions	-	-	-	785
	1,298	2,052	252	408
<b>Deduct</b>				
Estimated Expenditure During Year:				
Transfer to General Fund	-365	-	-	-
Capital Expenditure	-	-688	-30	-785
<b>Estimated Balance 31 March 2019</b>	<b>933</b>	<b>1,364</b>	<b>222</b>	<b>-</b>
<b>Add</b>				
Estimated Income During Year:				
Contribution from General Fund	-	-	-	-
Interest on Investment of Balances	-	100	-	-
Capital Receipts	-	-	30	-
Capital Grants & Contributions	-	-	-	496
	933	1,464	252	408
<b>Deduct</b>				
Estimated Expenditure During Year:				
Transfer to General Fund	-	-	-	-
Capital Expenditure	-	-265	-30	-496
<b>Estimated Balance 31 March 2020</b>	<b>933</b>	<b>1,199</b>	<b>222</b>	<b>-</b>
<b>Add</b>				
Estimated Income During Year:				
Contribution from General Fund	-	-	-	-
Interest on Investment of Balances	-	100	-	-
Capital Receipts	-	-	30	-
Capital Grants & Contributions	-	-	-	496
	933	1,299	252	408
<b>Deduct</b>				
Estimated Expenditure During Year:				
Transfer to General Fund	-	-	-	-
Capital Expenditure	-	-285	-30	-496
<b>Estimated Balance 31 March 2021</b>	<b>933</b>	<b>1,014</b>	<b>222</b>	<b>-</b>





RYEDALE DISTRICT COUNCIL - PROPOSED CAPITAL PROGRAMME 2017/18 TO 2021/22

Category / Scheme	2017/18 Rev Est £'000	2017/18	2018/19	2019/20	2020/21	2021/22	Total	External	Net RDC	Net	Comments	External Funding Assumptions		Revenue Implications					
		Forecast £'000	Estimate £'000	Estimate £'000	Estimate £'000	Estimate £'000	Cost £'000	Funding £'000	Cost £'000	Cumulative £'000		£'000	Comments	2017/18 £'000	2018/19 £'000	2019/20 £'000	2020/21 £'000	2021/22 £'000	Comments
<b>ASSET MANAGEMENT</b>																			
Vehicle Replacement Programme	166	166	20	20	40	40	286	0	286	286	Replacement for recycling, street cleansing and grass cutting services	0		0	0	0	0	0	
Ryedale Pool Major Repairs	33	33	0	0	0	0	33	0	33	319	Necessary works over the life of this capital programme	0		0	0	0	0	0	
Trade Waste Equipment	0	0	20	0	0	0	20	0	20	339	Replacement of trade waste bulk bins / roll out of glass recycling	0		0	0	0	0	0	
Property Condition Survey	467	467	125	110	110	110	922	0	922	1,261	Programme of minor capital works to property portfolio	0		0	0	0	0	0	
IT Infrastructure Strategy	152	152	0	0	0	0	152	0	152	1,413	Essential upgrade of IT Infrastructure	0		0	0	0	0	0	
Incab Technology	0	39	0	0	0	0	39	0	39	1,452	Hardware and software to be installed within refuse and recycling vehicles	0		0	0	6	0	0	
Replacement of Garage Inspection pit	50	50	0	0	0	0	50	0	50	1,502	Essential upgrade to accommodate new style of vehicle	0		0	0	0	0	0	
	<b>868</b>	<b>907</b>	<b>165</b>	<b>130</b>	<b>150</b>	<b>150</b>	<b>1,502</b>	<b>0</b>	<b>1,502</b>			<b>0</b>		<b>0</b>	<b>0</b>	<b>6</b>	<b>0</b>	<b>0</b>	
<b>PRIORITY AIMS - HOUSING</b>																			
Aff Hsg Init - Exception Sites Land Purchase	100	100	0	0	0	0	100	0	100	1,602	Contribution to RSL land acquisitions	0		0	0	0	0	0	
Aff Hsg Init - Property Improvement Loans	95	95	75	75	75	75	395	0	395	1,997	Recoverable Loans to ensure properties are to the decent home standard	0		0	0	0	0	0	
Aff Hsg Init - Landlord Improvement Loans/Grants	80	80	50	50	50	50	280	0	280	2,277	Recoverable Loans or Grants to Landlords	0		0	0	0	0	0	
Private Sector Energy Efficiency Grants	50	50	50	40	40	40	220	0	220	2,497	Provide insulation improvements	0		0	0	0	0	0	
Private Sector Renewal - Disabled Facilities Grants	674	812	496	496	496	496	2,796	2,671	125	2,622	Improve access to and within properties for people	2,671 DCLG		0	0	0	0	0	
Community Housing Fund	0	0	289	0	0	0	289	289	0	2,622	Development of Community lead housing within the District	289 DCLG		0	0	0	0	0	
Mortgage Rescue Scheme	21	21	0	0	0	0	21	0	21	2,643	Scheme in partnership with Registered Social Landlord	0		0	0	0	0	0	
	<b>1,020</b>	<b>1,158</b>	<b>960</b>	<b>661</b>	<b>661</b>	<b>661</b>	<b>4,101</b>	<b>2,960</b>	<b>1,141</b>			<b>2,960</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	
<b>PRIORITY AIMS - JOBS</b>																			
	0	0	0	0	0	0	0	0	0	2,643		0		0	0	0	0	0	
	0	0	0	0	0	0	0	0	0			0		0	0	0	0	0	
<b>MAJOR SCHEMES</b>																			
	0	0	0	0	0	0	0	0	0	2,643		0		0	0	0	0	0	
	0	0	0	0	0	0	0	0	0			0		0	0	0	0	0	
	0	0	0	0	0	0	0	0	0			0		0	0	0	0	0	
<b>OTHER SCHEMES</b>																			
Malton to Pickering Cycle track	0	30	45	0	0	0	75	0	75	2,718	Feasibility work to enable a full funding bid	0		0	0	0	0	0	
Helmstley CPO	506	0	506	0	0	0	506	0	506	3,224	To enable Housing Development in Helmstley	0		0	0	0	0	0	
Flood Relief Grant Scheme	0	50	0	0	0	0	50	0	50	3,274	Part of a package of flood prevention measures	0		0	0	0	0	0	
Milton Rooms development contribution	0	0	321	0	0	0	321	0	321	3,595	RDC contribution to Milton and Assembly Rooms development project	0		0	0	0	0	0	
Contribution to upgrade of CCTV	0	0	19	0	0	0	19	0	19	3,614		0		0	0	0	0	0	
Assembly and Milton Rooms - Preservation Works	155	155	0	0	0	0	155	0	155	3,769	Work required under terms of lease to prevent further deterioration of building	0		0	0	0	0	0	
	<b>661</b>	<b>235</b>	<b>891</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1,126</b>	<b>0</b>	<b>1,126</b>			<b>0</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	
<b>TOTAL OF PROPOSED CAPITAL PROGRAMME</b>	<b>2,549</b>	<b>2,300</b>	<b>2,016</b>	<b>791</b>	<b>811</b>	<b>811</b>	<b>6,729</b>	<b>2,960</b>	<b>3,769</b>		<b>TOTAL</b>	<b>2,960</b>	<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>6</b>	<b>0</b>	<b>0</b>	

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CAPITAL RESOURCES AVAILABLE FOR NEW SCHEMES

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CAPITAL PROGRAMME 2017/18 TO 2021/22 - SUMMARY OF FUNDING

Source of Funding	2017/18 Rev Est Funding £'000	2017/18 Forecast Funding £'000	2018/19 Estimate Funding £'000	2019/20 Estimate Funding £'000	2020/21 Estimate Funding £'000	2021/22 Estimate Funding £'000	Total Estimate Funding £'000	Scheme
<b>External Grants and Contributions</b>								
Department Communities & Local Government (DCLG)	408	687	785	496	496	496	2,960	Disabled Facilities Grant and Community Housing Fund Grant
Developers Contributions	0	0	0	0	0	0	0	
<b>Total External Grants and Contributions</b>	<b>408</b>	<b>687</b>	<b>785</b>	<b>496</b>	<b>496</b>	<b>496</b>	<b>2,960</b>	
<b>Ryedale DC Funding of Schemes</b>	<b>2,141</b>	<b>1,613</b>	<b>1,231</b>	<b>295</b>	<b>315</b>	<b>315</b>	<b>3,769</b>	
<b>TOTAL FUNDING OF CAPITAL PROGRAMME</b>	<b>2,549</b>	<b>2,300</b>	<b>2,016</b>	<b>791</b>	<b>811</b>	<b>811</b>	<b>6,729</b>	

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### PAY POLICY STATEMENT 2018 - 2019

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## **1 INTRODUCTION**

In accordance with Sections 38 – 43 of the Localism Act 2011 the authority is required to produce a policy statement that covers a number of matters concerning the pay of the authority's staff, principally Chief Officers. This policy statement sets out the arrangements and meets the requirements of the Localism Act. It also complies with the guidance issued by the Secretary of State for Communities and Local Government to which the authority is required to have regard under Section 40 of the Act. This policy also correlates with the data on pay and reward for staff which the authority publishes under the Code of Recommended Practice for Local Authorities on Data Transparency and the data which is published under The Accounts and Audit (England) Regulations (2011). It should be noted that the requirements to publish data under the Secretary of State guidance, the Code of Practice and the Regulations do differ, the data requirements of the Code of Practice and the Accounts and Audit Regulations are summarised at Annex A to this policy statement.

## **2 DEFINITION OF OFFICERS COVERED BY THE POLICY STATEMENT**

This policy statement covers the following posts:

1. Head of the Paid Service, which in this authority is the post of Chief Executive
2. Chief Financial Officer (s151)
3. Monitoring Officer
4. Non-statutory Chief Officers, (those who report directly to the Head of the Paid Service) which in this authority are the posts of:
  - Deputy Chief Executive
  - External Partnerships Lead (Economy & Partnerships Lead)
  - Head of Planning
5. Deputy Chief Officers (those who report directly to a statutory Chief Officer) which in this authority are the posts of:
  - Delivery and Frontline Services Lead
  - Customer Service Lead

## **3 POLICY ON REMUNERATING CHIEF OFFICERS**

The authority's policy on remunerating Chief Officers is set out on the schedule that is attached to this policy statement at Annex B. The Chief Executive's and Deputy Chief Executive's remuneration packages are set by Elected Members. It is the policy of this authority to establish a remuneration package for each Chief Officer post that is sufficient to attract and retain staff of the appropriate skill level, knowledge, experience, abilities and qualities that is consistent with the authority's requirements of the post in question at the relevant time. The Chief Executive and the Deputy Chief Executive are the only employees appointed by Elected Members.

## **4 POLICY ON REMUNERATING THE LOWEST PAID IN THE WORKFORCE**

The Council applies terms and conditions of employment that have been negotiated and agreed through appropriate collective bargaining mechanisms (national or local)

or as a consequence of Council decisions. These are then incorporated into contracts of employment. The lowest pay point in this authority is Grade L (was Scale 1) point 6 which equates to an annual salary of £15,014 (i.e. £7.7822 per hour). This Council adopted the payment of a 'Living Wage' of £7.85 per hour with effect from 1 November 2015, which is paid as a supplement to the nationally agreed rate for all employees on spinal column points 6 and 7 inclusive.

## **5 POLICY ON THE RELATIONSHIP BETWEEN CHIEF OFFICER REMUNERATION AND THAT OF OTHER STAFF**

The highest paid salary in this authority from 1 April 2017 to 17 September 2017 is £106,560 which is paid to the Chief Executive (based on 1 FTE). From 18 September 2017 the highest paid salary in the authority is £85,700 which is paid to the Chief Executive – Interim (based on 1 FTE).

The average median salary in this authority as at 18 September 2017 is £20,138. The ratio between the two salaries, the 'pay multiple' is 4.26:1.

This authority does not have a policy on maintaining or reaching a specific 'pay multiple', however the authority is conscious of the need to ensure that the salary of the highest paid employee is not excessive and is consistent with the needs of the authority as expressed in this policy statement. The authority's approach to the payment of other staff is to pay that which the authority needs to pay to recruit and retain staff with the skills, knowledge, experience, abilities and qualities needed for the post in question at the relevant time, and to ensure that the authority meets any contractual requirements for staff including the application of any local or national collective agreements, or authority decisions regarding pay.

## **6 POLICY ON OTHER ASPECTS OF CHIEF OFFICER REMUNERATION**

Other aspects of Chief Officer Remuneration are covered by this policy statement. These other aspects are defined as recruitment, pay increases, additions to pay, performance related pay, earn back, termination payments, transparency and re-employment when in receipt of an LGPS pension or a redundancy/severance payment. These matters are addressed in the schedule that is attached to this policy statement at Annex C.

## **7 APPROVAL OF SALARY PACKAGES IN EXCESS OF £100K**

The authority will ensure that, prior to an offer being made, any salary package for any post that is in excess of £100k will be considered by Full Council. The salary package will be defined as base salary, fees, routinely payable allowances and benefits in kind that are due under the contract.

## **8 FLEXIBILITY TO ADDRESS RECRUITMENT ISSUES FOR VACANT POSTS**

In the vast majority of circumstances the provisions of this policy will enable the authority to ensure that it can recruit effectively to any vacant post. There may be exceptional circumstances when there are recruitment difficulties for a particular post and where there is evidence that an element or elements of the remuneration package are not sufficient to secure an effective appointment. This policy statement recognises that this situation may arise in exceptional circumstances and therefore a departure

from this policy can be implemented except for the appointment of the Chief Executive or Deputy Chief Executive.

## **9 AMENDMENTS TO THE POLICY**

It is anticipated that this policy will not need to be amended during the period it covers (1 April 2018 to 31 March 2019), however if circumstances dictate that a change of policy is considered to be appropriate during the year then a revised draft policy will be presented to Full Council for consideration.

## **10 POLICY FOR FUTURE YEARS**

This policy statement will be reviewed each year and will be presented to Full Council each year for consideration in order to ensure that a policy is in place for the authority prior to the start of each financial year.

## 11 ANNEX A

The Secretary of State for CLG Code of Recommended Practice for Local Authorities on Data Transparency indicates that local authorities should publish the following data concerning staff:

- Salaries, names (with an option for individuals to refuse to consent to this), job descriptions, responsibilities, budgets (including overall salary cost of staff reporting), and numbers of staff for all staff in receipt of a salary of more than £58,200
- An organisational chart of the staff structure of the authority including salary bands and details of currently vacant posts
- The 'pay multiple' – the ratio between the highest paid salary and the median average salary of the whole authority workforce

The Accounts and Audit (England) Regulations (2011) require that the following data is included in the authority's accounts:

- Numbers of employees with a salary above £50k per annum (pro-rata for part time staff) in multiples of £5k
- Job title, remuneration and employer pension contributions for senior officers. Senior officers are defined as Head of Paid Service, Statutory Chief Officers and Non-Statutory Chief Officers by reference to Section 2 of the 1989 Local Government & Housing Act
- Names of employees paid over £150k per annum

For the above remuneration is to include:

- Salary, fees or allowances for the current and previous year
- Bonuses paid or receivable for the current and previous year
- Expenses paid in the previous year
- Compensation for loss of employment paid to or receivable, or payments made in connection with loss of employment
- Total estimated value of non-cash benefits that are emoluments of the person

For the above pension contributions to include:

- The amount driven by the authority's set employer contribution rate
- Employer costs incurred relating to any increased membership or award of additional pension.

## 12 ANNEX B

Aspect of Chief Officer Remuneration	RDC Policy
Recruitment	The post will be advertised and appointed to at the appropriate approved salary for the post in question unless there is good evidence that a successful appointment of a person with the required skills, knowledge, experience, abilities and qualities cannot be made without varying the remuneration package. In such circumstances a variation to the remuneration package is appropriate under the Council's policy and any variation will be approved through the appropriate decision making process.
Pay Increases	The Council will apply any pay increases that are agreed by relevant national negotiating bodies and/or any pay increases that are agreed through local negotiations. The Council will also apply any pay increases that are as a result of authority decisions to significantly increase the duties and responsibilities of the post in question beyond the normal flexing of duties and responsibilities that are expected in senior posts subject to approval by the appropriate decision making process.
Additions To Pay	The Council would not make additional payments beyond those specified in the contract of employment.
Performance Related Pay	The Council does not operate a performance related pay system as it believes that it has sufficiently strong performance management arrangements in place to ensure high performance from its senior officers. Any areas of under-performance are addressed in accordance with Council Policy.
Earn-Back ( Withholding an element of base pay related to performance)	The authority does not operate an earn-back pay system as it believes that it has sufficiently strong performance management arrangements in place to ensure high performance from its senior officers. Any areas of under-performance are addressed rigorously.
Termination Payments	The Council applies its normal redundancy payment arrangements to senior officers and does not have separate provisions for senior officers. The Council also applies the appropriate Pensions regulations when they apply. The Council has agreed policies in place on how it will apply any discretionary powers it has under Pensions regulations. Any costs that are incurred regarding senior officers are published in the Council's accounts as required under the Accounts and Audit (England) Regulations 2011.
Transparency	The Council meets its requirements under the Localism Act, the Code of Practice on Data Transparency and the Accounts and Audit Regulations in order to ensure that it is open and transparent regarding senior officer remuneration.
Re-employment of staff in receipt of an LGPS Pension or a redundancy/severance payment	The Council is under a statutory duty to appoint on merit and has to ensure that it complies with all appropriate employment and equalities legislation. The Council will always seek to appoint the best available candidate to a post who has the skills, knowledge, experience, abilities and qualities needed for the post.



13 ANNEX C

Post	Base Salary	Expenses	Bonuses	PRP	Earn-Back	Honoraria	Ex-Gratia Payments	Election Fees	Joint Authority Duties	Severance Arrangements
Chief Executive (vacant)	£80,000 - £95,000  (Pro rata from April 17 to September 17 when the post holder left: £49,432)	Paid through normal authority procedures	None	None	None	None	None	Election duty fees are paid in accordance with normal authority and national procedures	None	The authority's normal policies regarding redundancy and early retirement apply to the post holder. No payments were made in the last year and none are anticipated for 2018/19.
Deputy Chief Executive	£70,700	Paid through normal authority procedures	None	None	None	From September 17 to March 18 honoraria payment of £15,000 per annum, pro rata (£1,250 gross per month) awarded for Chief Executive Interim role.	None	Election duty fees are paid in accordance with normal authority procedures	None	The authority's normal policies regarding redundancy and early retirement apply to the post holder. No payments were made in the last year and none are anticipated for 2018/19

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Post	Base Salary	Expenses	Bonuses	PRP	Earn-Back	Honoraria	Ex-Gratia Payments	Election Fees	Joint Authority Duties	Severance Arrangements
Resources & Enabling Lead (s151)	£51,273	Paid through normal authority procedures	None	None	None	Paid through normal authority procedures, none planned.	Paid through normal authority procedures, none planned.	Election duty fees paid in accordance with normal authority and national procedures	None	The authority's normal policies regarding redundancy and early retirement apply to the post holder. No payments are anticipated for 2018/2019
External Partnerships Lead	£57,448									
Delivery & Frontline Services Lead	£53,659									
Customer Services Lead	£48,993									
Head of Planning	£57,448									
Council Solicitor/ Monitoring Officer	£57,448									

## Appendix F

### Commercialisation and Income Generation Policy

#### Council Vision:

- The vision for Ryedale District Council is to continue doing what matters for Ryedale...

#### Council Priority:

- Developing business opportunities for the Council and optimising income

#### Council Policy:

That to maximise business opportunities and income generation the Council will:

- Support investment opportunities including in major projects to deliver a return on investment to support the revenue budget
- Provide chargeable services that meet the needs of the customer and, as a minimum, full costs are recovered by the Council.
- Ensure good customer relationship management to maintain customer loyalty
- Develop new opportunities for chargeable services, which are competitive within the local market
- Develop our brand as a trusted provider of services
- Ensure maintenance of standards in line with the Councils existing policy framework
- Once established any charge for a service will be set in line with the annual budget strategy
- Council will agree any new chargeable services

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### Revised Medium Term Revenue Forecast 2018/19 - 2022/23

	2018/19 Estimate £'000	2019/20 Projection £'000	2020/21 Projection £'000	2021/22 Projection £'000	2022/23 Projection £'000	
<b>Base Budget and Inflation</b>						
Base Budget	6,157	6,067	5,955	6,474	6,618	
Pay Increase & General Inflation	138	150	150	150	150	
	6,295	6,217	6,105	6,624	6,768	
<b>Add Future Cost Increases:</b>						
Budget Pressures	139	364	220	150	150	
<b>Deduct Future Savings:</b>						
Efficiencies/Service Cuts/Additional Income	-424	-200	-150	-100	-85	
Movement in NHB Applied to Revenue	32	-426	-160	-56	-70	
Movement in Rural Service Delivery Grant	0	0	459	0	0	
Movement in Transition Grant	25	0	0	0	0	
<b>Net Revenue Budget</b>	6,067	5,955	6,474	6,618	6,763	
<b>Financing</b>						
Revenue Support Grant	143	-120	0	0	0	
Business Rates	1,775	1,775	2,015	1,997	1,978	
Collection Fund Surplus	31	25	25	25	25	
Council Taxpayers	4,061	4,227	4,385	4,546	4,709	
CT Base Growth	57	48	49	50	51	
<b>Budget Requirement</b>	6,067	5,955	6,474	6,618	6,763	
NHB Earned	964	900	900	900	900	
Applied to Revenue cumulative	0	426	586	642	712	
Applied to Capital	188	188	188	188	188	
To be allocated	776	286	126	70	0	1,258

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

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