



POLICY AND RESOURCES COMMITTEE

Thursday 23 September 2021 at 6.30 pm

Council Chamber, Ryedale House, Malton

IMPORTANT: The Council fully recognises and respects the role and importance of democratic meetings and is committed to protecting the health and safety of Elected Members and Officers who participate. Risk assessments are undertaken in advance of each meeting, and are reviewed on an ongoing basis.

Social distancing measures will be in place throughout the meeting, however it is important that you **do not attend** the meeting if **you or anyone in your household** are required to self-isolate due to receiving a positive COVID-19 test result, having symptoms of COVID-19, or having been told that you have been in contact with someone who has tested positive for COVID-19.

For the purpose of public transparency and accountability, the meeting will be live streamed online. The livestream can be accessed here:

<https://www.youtube.com/channel/UCZCvPUsJ0LwMJ9ukDsGf0Hw>

For health and safety reasons and in accordance with our risk assessment, members of the public are asked to follow the meeting via this method rather than attending in person. If you are unable to access the meeting this way, please contact us so that we can explore whether any safe alternative option is possible. The media will be able to report on proceedings from the live stream.

Agenda

1 **Emergency Evacuation Procedure**

The Chair to inform Members of the Public of the emergency evacuation procedure.

2 **Apologies for absence**

3 **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.

- 4 **Minutes of the meeting held on 29 July 2021** (Pages 5 - 10)

TO RECEIVE WORKING PARTY MINUTES

- 5 **Minutes of the Local Plan Working Party meeting held on 5th August 2021**
(Pages 11 - 14)
- 6 **Minutes of the Livestock Market Working Party held on 16 August 2021** (Pages
15 - 16)
- 7 **Minutes of the Flood Management Working Party meeting held on 16
September 2021** (To Follow)
- 8 **Minutes of the Livestock Market Working Party held on 21 September 2021** (To
Follow)
- 9 **Urgent Business**

To receive notice of any urgent business which the Chair 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.

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

- 10 **Appointment of Members of the Liberal Group on Sub-Committees and Working Parties**

To appoint Members from the Liberal Group to the following positions:

| Position | Nomination |
|--|-------------------|
| Substantive Member of the Appointments Sub-Committee | Cllr J Andrews |
| Substitute Member of the Appointments Sub-Committee | Cllr Potter |
| Substantive Member of the Appeals Panel (Sub-Committee) | Cllr Potter |
| Substantive Member of the Livestock Market Working Party | Cllr Wass |
| Substitute Member of the Grants Working Party | Cllr Brackstone |

- 11 **Security Contract October 2021** (Pages 17 - 24)

PART 'B' ITEMS - MATTERS REFERRED TO COUNCIL

- 12 **Review of White Rose Home Improvement Agency** (Pages 25 - 34)
- 13 **Climate Change and Energy Efficiency Measures - Railway Tavern and Future Council Schemes** (Pages 35 - 58)

- 14 **Ryedale's Financial Strategy 2021-25** (Pages 59 - 84)
- 15 **A64 Update** (Pages 85 - 98)
- 16 **Equality Policy Statement and Objectives** (Pages 99 - 106)
- 17 **Council Performance - Quarter 1 2021-2022** (Pages 107 - 144)
- 18 **Ryedale District Council Annual Report 2020/21** (Pages 145 - 174)

**TO RECEIVE COMMITTEE LEVEL DECISIONS MADE UNDER URGENCY POWERS,
AS REQUIRED UNDER THE CONSTITUTION**

- 19 **Caravan Site and Control of Development Act 1960 - Fit and Proper Person
(F&PP) Test** (Pages 175 - 204)
- 20 **Any other business that the Chair decides is urgent.**

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Policy and Resources Committee

Held at Council Chamber, Ryedale House, Malton
on Thursday 29 July 2021

Present

Councillors Joy Andrews, Paul Andrews (Substitute), Arnold, Clark (Chairman), Delaney, Docwra, Duncan, Frank, Graham and Di Keal (Vice-Chairman)

Overview & Scrutiny Committee Observers: Councillor Oxley

In Attendance

Stacey Burlet, Simon Copley, Anton Hodge, Emma Lawer, Marie Lomax, Phillip Spurr, Ellen Walker, Margaret Wallace and Louise Wood

Minutes

24 Apologies for absence

Apologies for absence were received from Councillor Burr, Councillor P Andrews substituting.

25 Declarations of Interest

There were no declarations of interest.

26 Minutes of the meeting held on 29 June 2021

Decision

That the minutes of the Policy and Resources Committee meeting held on 29 June 2021 be approved and signed by the Chairman as a correct record, subject to a minor amendment to the wording of minute 15 – Chair's Announcements, to read "Cllr Duncan raised an email that had been issued to Group Leaders".

Voting record

8 For
2 Abstentions

27 Chair's Announcements

There were no announcements from the Chair.

28 Policy and Resources Committee Forward Plan

The Policy and Resources Committee Forward Plan was received, and Officers were asked to confirm that items for the meeting on 23 September 2021 were on track.

It was noted that the Employment Related Policies had now come off the Forward Plan for 23 September 2021.

29 Government Consultations

The North Yorkshire County Council consultation on the Minerals and Waste Plan was considered.

It was noted that an extension to the consultation deadline had been requested by Officers. A vote was then taken on the following two options for proceeding in the event that an extension was not granted:

- i) That an additional meeting of the Policy and Resources Committee be held to agree a response prior to the close of the consultation;
- ii) All Members of Council be asked to send comments to the Head of Planning to agree a response in consultation with the Chair of the Policy and Resources Committee.

Voting record

1 Option i)
9 Option ii)

Decision

Policy and Resources Committee's preferred approach is for North Yorkshire County Council to grant an extension to the consultation on the Joint Waste and Minerals Plan. If this is not forthcoming, all Members of Council be asked to send comments to the Head of Planning to agree a response in consultation with the Chair of the Policy and Resources Committee.

Voting record

Unanimous

The HR Business Partner advised the Committee regarding the MHCLG consultation on special severance payments.

Decision

Policy and Resources Committee delegates authority to the relevant Service Lead in consultation with the Chair of the Policy and Resources Committee to respond to Government Consultations after the widest possible consultation with Members.

Voting record

6 For
4 Against

30 Recommendations from the Grants Working Party Meeting held on 7 July 2021

Resolved

To exclude the press and public from the meeting for discussion of the following item 8 (Recommendations from the Grants Working Party Meeting held on 7 July 2021) as provided by paragraph 3 of Schedule 12A of Section 100A of the Local Government Act 1972, as it contains information relating to the financial or business affairs of any particular person (including the authority holding that information).

The public interest test has been considered and, in all the circumstances of the case, the public interest in maintaining the exemption is considered to outweigh the public interest in disclosing the information.

Voting record

5 For

5 Against

Chair's casting vote – For

Decision

That the recommendations of the Grants Working Party held on 7 July 2021 be approved.

Voting record

Unanimous

31 Minutes of the Flood Management Working Party meeting held on 8 July 2021

The minutes of the Flood Management Working Party meeting held on 8 July 2021 were received.

32 Minutes of the Livestock Market Working Party meeting held on 15 July 2021

The minutes of the Livestock Market Working Party meeting held on 15 July 2021 were received.

33 Urgent Business

A request was received to consider the following item of urgent business:

The Council resolves to instruct solicitors who are experts in dealing with applications for judicial review, to obtain a legal opinion from leading London counsel in regard to a possible legal challenge of the decision to restructure local government in North Yorkshire.

Following consultation with Members of the Committee, the Chair did not consider that this item of business 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.

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

34 Changes to the Independent Group's Working Party Appointments

Decision

- i) To appoint Councillor P Andrews as the substitute on the Livestock Market Working Party;
- ii) To appoint Councillor Thackray as the substitute on the Local Plan Working Party, in replacement of Councillor Burr.

Voting record

Unanimous

35 Milton Rooms Grant Update and Business Case

Considered – report of the Programme Director for Economic Development, Business and Partnerships

The Chief Finance Officer (s.151) confirmed that the funding proposed is not considered to be a subsidy for the purposes of subsidy control.

Decision

- i) The proposed changes to the original works approved by Council in February 2021 are approved.
- ii) The business case for the budgeted £307,000 is accepted and the funds are approved for release.

Voting record

Unanimous

36 Additional Capacity Funding Requests

Considered – report of the Programme Director for Economic Development, Business and Partnerships

Councillor Duncan moved and Councillor Docwra seconded the following amendment:

That the decision be deferred to the meeting on 23 September 2021, to be considered in the context of the wider capacity report.

Resolved

Upon being put to the vote, the amendment was lost.

Voting record

4 For

5 Against

1 Abstention

Decision

Committee notes that additional budgets will be used in 2021/22 to support the three posts outlined in the report, and that a further report will be brought to cover funding for future years, as part of the Financial Strategy.

NB – The proposed Project Management post for the Livestock Market is dependent on the decision to proceed.

Voting record

5 For

5 Against

Chair's casting vote – For

Recorded vote

For

Councillors J Andrews, P Andrews, Clark, Frank and Keal

Against

Councillors Arnold, Delaney, Docwra, Duncan and Graham

37 Treasury Management Annual Report 2020-2021

Considered – report of the Chief Finance Officer (s.151)

Decision

That Committee

- i) Notes the annual treasury management report for 2020-21; and
- ii) Approves the actual 2020-21 prudential and treasury indicators in the report.

Voting record

Unanimous

PART 'B' ITEMS - MATTERS REFERRED TO COUNCIL

38 Revenue and Capital Budget Monitoring - Q1 2021/22

Considered – report of the Chief Finance Officer (s.151)

Recommendation

It is recommended that Council:

- i) Notes the contents of the contents of the report – including as updated verbally at the Committee meeting
- ii) Notes the impact on reserves of current spending plans and that it is likely that reserves will be fully spent by March 24 unless further savings are made. This assumes that the Council will continue in its current form until at least that point. If Local Government Review happened before then, there will be additional costs arising from that which all councils will be expected to contribute to.

Voting record

Unanimous

39 HR Policy Revision - Local Government Pension Scheme Employer Discretions, Family Leave Policy and Probation Policy

Considered – report of the Head of Human Resources

Recommendation

It is recommended to Council that the revised policies are agreed for implementation.

Voting record

Unanimous

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

There being no further business, the meeting closed at 10:00pm.

Local Plan Working Party

Held at Council Chamber - Ryedale House, Malton, North Yorkshire YO17 7HH
on Thursday 5 August 2021

Present

Councillors Paul Andrews, Goodrick, Potter and Raper (Substitute)

In Attendance

Rachael Balmer, Matthew Lishman, Lizzie Phippard, Phillip Spurr and Jill Thompson

Minutes

17 Apologies

Apologies were given by Councillor Clark

Councillor Raper substitutes for Councillor Windress.

Councillor Frank had intended to remotely attend, but was unable to attend

18 Appointment of Chair

The Chairman of the Policy and Resources (P&R) Committee is the chair of the meeting. In Cllr Clarks absence. Cllr. P Andrews moved that he would Chair the meeting and this was seconded by Cllr. Potter. Cllr Andrews was elected to chair the meeting for the evening.

19 Minutes

Councillor Goodrick moved that the minutes of the last meeting showed a true likeness and could be approved.

Councillor Andrews seconded.

Minutes approved.

20 Plan Review Update

Plan Review Update and Questions for the Distribution Strategy Consultation

The purpose of the meeting was to provide an update to members on the review of the plan and explore key options for the distribution strategy following the Call for sites Consultation, with the intention of a steer from members of the preferred course of action.

Update

Officers confirmed the intention to take a draft consultation document on a future distribution strategy to the November Policy and Resources Committee.

On-going work includes the compilation of the Sustainability Appraisal framework; evidence gathering; the commissioning of technical evidence; and the collation and mapping of sites submitted following the call for sites.

Approximately 279 sites have been submitted for consideration in the plan process. 240 for residential use. Sites are in 58 parishes. 62 sites are at the Market Towns. 22 sites to provide for one dwelling. 111 for ten or fewer units. 21 large sites for 100 homes. Some sites have been submitted for 100% affordable housing.

Distribution Strategy

Officers outlined potential options for a future distribution strategy which would form the basis for consultation.

First option –the more explicit growth strategy focussed on towns and Principal Town in particular –the current approach is sustained.

Second Option –more consolidated approach to accommodating growth across the towns and villages, including potentially additional villages.

Both options are fit the general spatial approach of accommodating development at towns and villages which was considered to be sound.

The merits of both approaches were discussed within the context of LGR, devolution, national changes to the planning system; the delivery of affordable housing and improved build standards.

Officers of the view that the roles of places have not significantly changed since 2012, and that we are not in a position to make step changes to the roles of places given LGR in 2023.

Officers confirmed that the consultation documents would need to identify pros and cons of either approach to help an informed response (based on evidence and changes). The document needs to be clear on what we are trying to achieve in order to inform policy choices e.g. affordable housing delivery, improved environmental standards, development that is within the capacity of infrastructure/infrastructure improvements. Addressing heritage deficits and landscape management were also discussed.

Transport and connectivity, including broadband were considered important within the context of Option 2, together with local services if the trend for working from home increases. The potential for more building by smaller builders/developers who may be more inclined to build to higher environmental standards within this option was also noted.

Officers noted that Option 1 – our existing approach could be difficult to repeat into the future as there is still the existing supply to be built out within this period, and significant delivery beyond this will represent a step-change for Malton and Norton in terms of infrastructure.

The option of a new settlement was raised. It was note that the delivery of a new village is a strategic decision with significant infrastructural requirements. At this stage, on the basis of LGR, this is an option / future decision for the new authority as it prepares the development plan for North Yorkshire. (The new Authority will be expected to prepare a strategic development plan for the area within five years of coming into being).

There was some discussion about the factors that would influence the distribution of development within the towns and how additional villages may be selected as suitable locations for some growth.

The two broad options were considered to be an appropriate basis for the consultation.

Level of Development

Level of development to be planned for – minimum of 184 dpa. Extant supply will be taken into account.

Detailed matters

The plan will have to provide for a range of affordable housing tenures, including the new First Homes product and self-build. The challenges of affordability and affordable housing delivery were discussed

Cllrs Andrews raised wider matters for the review to cover including the Local Needs Occupancy condition; development limits; capacity of infrastructure; provision for small builders.

Officer confirmed that these matters would be considered as part of the review together with the need to secure improved environmental building standards. Viability assessment will be used to look at the triangulation of CIL, affordable housing, other mandatory requirements and cost to build at differing sustainability standards.

The Development Limits will be naturally adjusted to take account of allocations. The use of a criteria based policy to consider certain types of small scale windfall applications is another option.

The constraints of building in some locations (Helmsley, Staxton and Willerby) were also discussed.

21 **Next steps**

Prepare the consultation material –which will set out the potential options for consultation in the autumn-this will be considered by the Working Party and then at 11 November P&R.

Consider findings of that consultation.

Publish a 'key decisions paper' for consultation in spring (April 2022) which will be a Policy and Resources decision.

22 **Date of next meeting**

Members agreed the next working party meeting for 14th October 2021.

Meeting Closed 20:53

Livestock Market Working Party

Held at Council Chamber - Ryedale House, Malton, North Yorkshire YO17 7HH
on Monday 16 August 2021

Present

Councillors Arnold, Bailey, Burr MBE, Cleary, Cussons MBE (Chair), Docwra, Frank and Middleton

In Attendance

Cllr Joy Andrews (Via MS Teams), Alan Bardet, Richard Gale (Align), Phillip Spurr, Cllr Thackray and Howard Wallis,

Minutes

8 Appointment of Chair

Cllr Cussons took the Chair, with Cllr Bailey as Vice-Chair.

Voting Record
Unanimous

A minutes silence was observed in memory of Cllr John Clark, Chair of Policy and Resources and the Livestock Market Working Party.

9 Minutes of meeting held on 15 July 2021

The minutes from the previous meeting were agreed.

10 Development Site - Position Update

Officers gave a verbal update on the latest position regarding the proposed site,

Members discussed and asked questions on the following:

- The need to confirm a legal commitment to the arrangement before the project can go any further.
- Definition of 'Livestock Market' with regards to completion.
- Phase 1 of project to secure the site, with possibility of expansion in future, which has been communicated to the landowner.
- Availability of extra space for expansion.
- The requirement of access and utilities to the site.

11 Align - Progress Update

Richard Gale of the consultants, Align, presented a verbal progress update, including draft plans of the proposed site layout.

Members discussed and asked questions on the following:

- Size and orientation of the main building.
- Building materials and renewable energy/energy efficiency options.
- Location of the entrance (Eastern side).
- Capacity and business case for livestock market compared to current Malton location.
- Future-proofing of the building (other non-livestock uses).
- Availability of land for expansion.
- Other similar livestock markets used as case studies.

12 **Project Programme**

A draft phase 1 report is to be concluded in the next 4 weeks, with the next meeting of the working party to take place after this is complete.

13 **Potential Interested Parties**

Officers and the Chair to arrange meetings with interested parties:

- Farmers
- Fitzwilliam Estate
- Fitzwilliam Trust Corporation
- Auctioneers

Meetings to be held once the project proposal is complete and ready to present.

14 **Any Other Business**

There being no other business, the meeting closed at 7:30pm

Flood Management Working Party

Held at Council Chamber - Ryedale House, Malton, North Yorkshire YO17 7HH
on Thursday 16 September 2021

Present

Councillors Paul Andrews (Substitute), Di Keal (Chair), Potter and Raper

In Attendance

Will Baines, Beckie Bennett, Alison Godfrey (virtually), Rachel Parks (virtually) and Margaret Wallace

Gary Collins and Lee Pitcher (Yorkshire Water)

Minutes

12 Apologies for absence

Apologies were received from Councillors Burr, Cussons and MacKenzie. Cllr Paul Andrews attended the meeting as the substitute for Councillor Burr.

13 Minutes of the meeting held on 8 July 2021

The minutes of the meeting of the Flood Management Working Party held on 8 July 2021 were approved.

Voting Record

3 For

0 Against

1 Abstentions

14 Financial overview

Alison Godfrey from the Finance Team joined the meeting for the discussion of this item.

The briefing note circulated as part of the agenda was considered, with the amounts allocated to flooding in the Capital Programme, together with the additional capital funding agreed by Council in February 2021 and a small ongoing revenue budget all noted, along with the intended use of reserves through to 2025.

The work of the Yorkshire Derwent Catchment Partnership (YDCP) was discussed, following the request to all YDCP board members for an annual contribution of £5,000.

It was proposed by Cllr Keal and seconded by Cllr Potter to recommend to Policy and Resources committee that an annual contribution of £5,000 is

made to the YDCP in 2021/22 from the existing revenue budget. This would be reviewed every year in light of Local Government Reform.

Recommendation to P&R

That an annual contribution of £5,000 is made to the Yorkshire Derwent Catchment Partnership in 2021/22 from the existing revenue budget. This contribution is to be reviewed annually in light of Local Government Reform.

Voting Record

4 For

0 Against

0 Abstentions

15 **Yorkshire Water update**

Lee Pitcher and Gary Collins from Yorkshire Water attended the meeting for the discussion of this item.

The ongoing work in Malton, Norton and Brawby, together with the next steps and indicative timetables were shared with the Working Party.

Points raised by elected members included:

- Whether there are plans for a permanent pump solution in Old Malton?
- The mitigations in place in Norton in case there is another flooding incident ahead of a potential solution being finalised?
- Has there been progress on rectifying the odour smell at Butcher Corner in Malton?
- What are the reasons for the current delays in receiving Environment Agency data?
- The awareness of future housing developments in the work undertaken by the consultants for the options work in Norton?
- What has been the effect of the recent changes to SuDs guidance and is there a potential link in to the work of other local authorities in creating a supplementary planning document?
- Can we identify the key causes of sewage contaminated flooding?
- Could Yorkshire Water invest more money in 'Slowing the Flow' projects?
- When will an accurate cost of the potential works in Norton be available?
- How widespread across the district are combined sewers?

It was agreed to invite the Environment Agency to a future Flood Management Working Party meeting to discuss their investment plans and pump provision in Old Malton.

The Working Party thanked Lee and Gary for their presentation and attending the meeting.

16 **Approval of draft letter to Government**

The draft letter to Government had been prepared following consultation with the Head of Planning and planning officers.

However, it was proposed to invite Emily Mellalieu from North Yorkshire County Council to attend the next meeting, ahead of finalising the contents of the letter and recommending it to Policy and Resources committee.

Therefore, this item was deferred to the next meeting.

17 **Action plan update**

Following the last Flood Management Working Party meeting, updates continue on the draft action plan. It is planned to circulate the action plan to Working Party members ahead of the next meeting for comments.

18 **Any other business**

The upcoming Environment Agency 'Yorkshire Series' webinar events were noted.

The recruitment of flood wardens was discussed, given the success of these in the Calder Valley. This had been delayed due to Covid-19 but remained under consideration.

It was asked if there was an update to the 'Vale of Pickering Channel Management Assessment and Planning' document from 2009. The report had been shared with Andrew Mclachlan, Chief Executive Officer at the Yorkshire & Humber Drainage Boards, who is happy to attend a future meeting.

19 **Date of next meeting**

Tuesday 5 October, 6:30pm start.

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Livestock Market Working Party

Held at Council Chamber - Ryedale House, Malton, North Yorkshire YO17 7HH
on Tuesday 21 September 2021

Present

Councillors Bailey, Cleary, Cussons MBE, Docwra and Thackray, Wass.

In Attendance

Alan Bardet, Richard Gale (Align), Owen Griffiths, Phillip Spurr and Howard Wallis

Minutes

15 **Apologies for Absence**

Apologies were received from Cllrs Arnold, Burr and Middleton.

Cllr Thackray attended the meeting as substitute for Cllr Burr.

16 **Minutes of meeting held on 16 August 2021**

Members accepted the minutes from the previous meeting.

17 **Update / Confirmation of Site Offer**

Officers gave an update on the correspondence with the landowners, Fitzwilliam Trust Corporation (FTC), regarding the offer of a 5 acre site.

Officers to pass on copy of written update to all Members of the working party.

Legal input is being sought and more detailed discussions and negotiations for the site and servicing costs to be held, with a binding commitment to be sought.

Members discussed and asked questions on the following:

- Importance of the agreement on the transfer of the land.
- Uncertainty on the agreement and the need for confirmation in writing.
- Value of the land and exclusivity of the S106 agreement to the livestock market.
- Finding the best deal for RDC.
- Restrictions on the use of the land from the landowner.
- The landowner appearing to be holding on to control of the site.
- What is the landowner's definition of a 'livestock market' in relation to the restriction of use?
- The spending of public money on a private enterprise.

18 **Align - Presentation of Initial Findings**

Richard Gale from Align presented a feasibility study of the project to Members.

Members discussed and asked questions on the following:

- Drainage strategy and risk of flooding.
- Accommodation of animal pens compared to existing market in Malton.
- Potential for increasing capacity in the future.
- The specifications and logistics of the potential building.
- The overall cost of the project.
- The two site location options and outline planning.
- The preference by the landowner for a site towards the western edge of the business park.
- The deadline for approval of reserved planning matters.
- Income from the new livestock market.
- More negotiation is required with the landowner.
- The link to housing projects in Malton in the original landowner agreement.
- The potential of an anaerobic digester, or other additional uses, on the site.

19 **Project Programme**

An outline project programme was presented to members as part of the Align presentation.

The need for Member approval as a key stage was recognised- timescales for this process still need to be factored into the programme.

20 **Next Steps**

Members agreed that further negotiation with FTC on the land agreement needs to take place before any further work is undertaken. The outcome of these discussions will be fed back at the next working party.

Officers to progress these negotiations with legal and commercial property input as necessary.

The Chair concluded that more needs to be done but it is too early to leave the negotiations.

The date of the next working party is to be agreed between Officers and the Chair in due course.

21 **Engagement with Interested Parties**

Members were made aware that local farmers have requested a meeting about the project on 13 October.

Other meetings will not take place until discussions with FTC have progressed and the outcomes have been fed back to the working party.

22 **Any Other Business**

Members were asked to close the meeting with their individual thoughts on the project.

There being no other business, the meeting closed at 8:13pm

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| PART A: | MATTERS DEALT WITH UNDER DELEGATED POWERS |
| REPORT TO: | POLICY AND RESOURCES COMMITTEE |
| DATE: | 23 SEPTEMBER 2021 |
| REPORT OF THE: | HEAD OF SERVICE, CUSTOMER AND COMMUNITIES MARGARET WALLACE |
| TITLE OF REPORT: | SECURITY CONTRACT OCTOBER 2021 |
| WARDS AFFECTED: | ALL |

EXECUTIVE SUMMARY

1.0 PURPOSE OF REPORT

- 1.1 This report updates members that Housing Service will commence the re tendering of the security contract for the Council's supported housing project.
- 1.2 As required under Financial Regulation 13.9, to undertake a procurement for security and enter into a contract with the successful supplier following a tender process, authorisation is required from committee as the value may exceed £50K.

2.0 RECOMMENDATION

- 2.1 It is recommended that:

(i) Committee approval be given, as required under Financial Regulation 13.9, to undertake procurement for security, based on an anticipated spend of approximately £50k per year, for a period of 2 years, with the option to extend for a further 12 months, and enter into a contract with the successful supplier following a compliant procurement process.

3.0 REASON FOR RECOMMENDATION

- 3.1 A procurement process is required to be undertaken for a new security contract and this needs to commence as soon as possible to ensure continued service delivery.
- 3.2 The approval sought ensures that the procurement will be compliant with the Council's Financial Regulations and Contract Procedure Rules.

4.0 SIGNIFICANT RISKS

- 4.1 Ensuring financial regulations are complied with reduces the risk of any challenge to the procurement process.

4.2 Timely procurement of a suitable specialist supplier supports risk management and the successful management of the project.

5.0 POLICY CONTEXT AND CONSULTATION

5.1 The recommendation supports the Council's priority of our economy: harnessing Ryedale's unique economy to deliver growth, homes and jobs.

- Improving the standard and availability of rented accommodation and supporting people to live independently
- Meets the objectives within the Ryedale Homelessness Strategy 2020/25

REPORT

6.0 REPORT DETAILS

6.1 The Council developed a supported accommodation project in November 2013 to accommodate single vulnerable people from the Ryedale area. The project includes training/activity facilities and a communal room/ICT suite.

6.2 The purpose built project comprises of 14 units of accommodation all with en suite facilities. There is a communal kitchen and dining area to enable healthy cooking projects and enhance a sense of community through dining together at certain times.

6.3 The project enables vulnerable members of society to have access to safe, secure accommodation and allows them opportunities to become part of the community and make positive changes.

6.4 This scheme is also part of the Young Persons Partnership across North Yorkshire and provides 7 of the rooms for young people and had ensured the ending the use of bed and breakfast accommodation for 16/17 year olds in the area.

6.5 The project is staffed 24 hrs a day, from 9pm until 9pm this has been covered by a security contract.

6.6 The Council has run this project since November 2013 and has had security services operational throughout this time. The contract needs to be retendered and as such this needs approval through the Council's financial standing orders.

6.7 To provide this service in house, would be more costly, increased management and less effective for the project. The Council currently pays around £11.50 per hr for the service. This is a service that is 12 hrs per day, 365 days a year.

6.8 The cost of this is within the budget provisions for 21/22. The majority of residents are in receipt of housing benefit and the cost of these services is recovered through housing benefit as an eligible cost. Therefore the cost of security comes back to the Council through the rental income.

6.9 A brief summary of the service specification is at Appendix 1.

6.10 The service and contract will be looked at as part of local government review and the transition to a new Council.

7.0 IMPLICATIONS

7.1 The following implications have been identified:

a) Financial

The anticipated spend is approximately £50k per year, there is scope within the budget to increase this slightly if needed, the agreement will be for a two year term.

The elements of spend related to security are included within the budget provisions on an annual basis and is recoverable through rental income.

b) Legal

There are no legal issues with the decision requested and the procurement process proposed.

c) Other (Equalities, Staffing, Planning, Health & Safety, Environmental and Climate Change, Crime & Disorder)

There are no other implications arising directly from this decision request. Health and safety, staffing and equalities implications are considered as part of the procurement process.

Margaret Wallace
Head of Service Customer and Communities

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Background Papers:

Appendix 1- Brief Summary of the Security Contract Specification

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Appendix 1

Brief Summary of the Security Contract Specification

1.1. We require an experienced front of house security/concierge service that is professional with direct experience of a customer facing role. A supplier with experience and with an interest or detailed understanding of vulnerable group and in particular the needs of homeless people.

2. Technical specification

2.1. Main Duties

The main duties that the security provider will undertake are;

- Implementing night security systems, ensuring overall safety and security of the scheme.
- Provide a welcoming, concierge presence to all residents
- Carrying out health & safety inspections and premises patrol
- Ensuring the premises are secure - including monitoring CCTV
- Effectively dealing with anti-social behaviour.
- Be aware of the general wellbeing of the customers - highlighting any concerns to relevant day staff members
- Carry out any administrative tasks such as report logs
- Make 3 nightly checks at 9pm, 12am and 6am throughout entire facility including all hallways, stairwells, floors, bathrooms, laundry rooms, kitchen, and office spaces.
- Complete logs, incident reports and all other required documentation.
- Make calls to police, fire department and other first responders as directed.
- Perform administrative and receptionist duties at the operations desk; monitor video surveillance cameras, and fire prevention / detection alarm notification system.
- Provide duties related to fire incident, evacuation of the building when necessary, utilising Fire procedure.
- Perform other tasks as assigned.
- Maintain a welcoming environment for residents and ensure that all duties are performed in accordance with position descriptions, contract agreements and established procedures.
- Prepare written reports as needed, including incident reports through the log
- Notify appropriate staff and law enforcement in situations that threaten the safety of personnel or the security of the building.
- Maintain visual surveillance of the project and maintain order as needed. Prepare and maintain a safe and secure work area.
- Regularly walk around the building to help maintain cordial relationships with neighbours
- Wear a body camera at all times to ensure client and concierge safety and ensure this is downloaded and accessible by Ryedale Council staff

2.2. Knowledge, Experience, Skills and Abilities

Experienced security officers are to be deployed onto the contract where they must have;

- The ability to undertake all the duties outlined in 3.1
- A proven track record of providing excellent customer service
- Previous experience working in a Supported housing service is desirable.
- Professional experience providing crowd/people control preferred.
- A general understanding of CCTV systems and their applications
- The ability to work calmly under pressure
- The ability to interact with and monitor client's behaviour and maintain good rapport by providing excellent customer service. Encourage clients to comply with facility policy and procedures.
- The ability to safely intervene to de-escalate potential crisis situations and document all such situations and interventions
- Experience working with a diverse population, including varied socio-economic backgrounds, circumstances such as homelessness, mental / physical health challenges, and other diverse needs.

2.3. Interpersonal Skills

The security officers deployed must have good interpersonal skills with the ability to communicate with a variety of customers and also;

- The ability to act with diplomacy, flexibility and versatility while dealing with people with a history of chronic substance abuse and serious mental illness.
- Have a non-judgmental approach.
- Strong verbal communication skills.
- Knowledge of person centred approaches

2.4. Professional Qualifications and Training

The service provider will be expected to adhere to all relevant and current safety standards and legislation relevant to their industry, keeping themselves totally compliant and ensuring services are only ever operated by suitably qualified and experienced staff ensuring the safety of all patients, staff, visitors their own staff and authority site(s)/buildings

All certificates for relevant qualifications and training are to be sent to the Ryedale contract manager to log. This should include but are not limited to;

- Possession of a valid Security Guard Card
- Completion of Non Violent Crisis Intervention, or similar training desirable
- First Aid and Fire Warden training would be a benefit
- Mental Health awareness training would be a benefit
- Safeguarding Training

There is no fixed programme of training, however periodically training such as the introduction of new procedures, safeguarding or health and safety may become available. Training such as 'dealing with aggression & conflict'. The aim of the training would be to ensure consistency across the staff team & is to complement the knowledge and skills that staff already have.

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| PART B: | RECOMMENDATIONS TO COUNCIL |
| REPORT TO: | POLICY AND RESOURCES COMMITTEE |
| DATE: | 23 SEPTEMBER 2021 |
| REPORT OF THE: | PROGRAMME DIRECTOR FOR ECONOMIC DEVELOPMENT, BUSINESS AND PARTNERSHIPS PHILLIP SPURR |
| TITLE OF REPORT: | REVIEW OF WHITE ROSE HOME IMPROVEMENT AGENCY |
| WARDS AFFECTED: | ALL |

EXECUTIVE SUMMARY

1.0 PURPOSE OF REPORT

- 1.1 The purpose of the report is to provide an update on the Home Improvement agency partnership with Scarborough Borough Council and its key priorities and agree an extension to the partnership until 31st March 2023.

2.0 RECOMMENDATIONS

- 2.1 It is recommended that Council
- i. Notes the outcomes of the service update;
 - ii. Agrees continuation of the partnership agreement with Scarborough Borough Council in respect of the White Rose Home Improvement Agency (WRHIA) for the period to 31st March 2023;
 - iii. Agrees the key priorities for the agency.

3.0 REASON FOR RECOMMENDATIONS

- 3.1 These recommendations are being made in order to support the future work of the White Rose Home Improvement Agency and ensure it provides the best services for the Ryedale community.
- 3.2 In order to ensure sustainability, the ability to apply for external funding and to ensure ongoing investment in the agency it is recommended to extend the agreement to 31st March 2023. This is an in house service for Ryedale through a Joint Committee arrangement with Scarborough BC as the employer and not a procurement exercise.

- 3.3 Ryedale Council is a representative partner in the agency both with members and officers, and as such influences the direction of travel of the agency. Together with Scarborough BC we will agree key priorities for the service going forward.
- 3.4 Ryedale monitors the budget spend through the Joint Committee with officer and member representation and on a quarterly basis with other external stakeholders.
- 3.5 The current partnership arrangements will be looked at again as part of Local Government Review.

4.0 SIGNIFICANT RISKS

- 4.1 If the Council does not agree to extend the partnership agreement both Councils would need to revert to providing their own arrangements for the statutory provision of Disabled Facilities Grants (DFGs).
- 4.2 Other ancillary projects including the Handyperson Service, Wellbeing Service and Choices for Energy may become unviable and the Councils may have a reduced ability to bid for external funding sources.
- 4.3 There is a risk that the partnership does not deliver the outcomes needed or underspends/ overspends on its budgets. In order to address this, the HIA is subject to additional monitoring scrutiny through advisory group meetings and the current Joint Committee in terms of its operation.

5.0 POLICY CONTEXT AND CONSULTATION

- 5.1 How the agency meets the Council's Corporate Plan 2020 - 2024.

The agency meets the following Council priorities.

Our Communities: Strong, Inclusive and attractive

- Help for those in need
- Healthy and happy communities

Our Economy: harnessing Ryedale's unique economy to deliver growth, homes and jobs

- Quality homes local people can afford

Our environment: a sustainable, safe and clean place to live

- Sustainability into the future

Our Organisation: an innovative, enterprising council

- Value for money
- Accessible for all

5.2 Consultation

Consultation around future options for the HIA has been undertaken via the Advisory Group, Scarborough BC and NYCC as well as the voluntary sector providers

supporting the client base from across Ryedale. Overwhelming the Group is in support of the partnership and the work that has been achieved collectively over the past 9 years.

REPORT

6.0 REPORT DETAILS

- 6.1 The White Rose Home Improvement Agency (HIA) is a not for profit organisation, shared with Scarborough Borough Council (SBC), that has been delivering services across both Council areas since April 2012. Prior to this date both Councils operated separate services. RDC needed to improve the outcomes associated with the delivery of Disabled Facilities Grants. The Council was delivering about 50 DFGs each year, but had no resilience and capacity within the team.
- 6.2 The Council did not have a handy person or wellbeing service to offer the community. By creating a partnership between the Councils we could harness the strengths and abilities of each other as the most strategic way to improve our innovation. A "do-it-alone" approach was not seen as the best strategy for growth.
- 6.3 It is felt that a collaboration and a strategic partnership is fundamental to improving our outcomes for the Ryedale community.
- 6.4 The aim of the HIA is to assist older, disabled and vulnerable people to repair, maintain and adapt their homes and live independently.
- 6.5 Agreement was secured through Emergency Powers on the 24th April 2020 to amend the work of the Agency during lockdown to focus on supporting the Community support organisation with the work it was doing with the community. The day to day work of the Agency was affected from March 2020 due to the pandemic therefore the outcomes for 2020/21 are significantly lower than previous years. The agency was unable to fulfil a lot of the work due to the lockdowns that occurred during the year. However, it is now working hard to fulfil the outstanding work during this financial year.

6.6 Service Review of the Agency

The shared HIA has been operating since April 2012 and to date has had excellent outcomes and has continued to develop and expand. A core element of the work undertaken by the HIA is to undertake major adaptations, such as walk in showers, extensions, ramps etc. via Disabled Facilities Grant (DFGs) funding on behalf of both Councils. Ryedale receives an allocation from the Better Care Fund. Key points to note are:

6.7 Disabled Facilities Grants

- 6.7.1 The demand for statutory Disabled Facilities Grants has significantly increased in recent years. The grant has been in existence for 25 years but in 2014 it became part of the Better Care Fund, a pooled health and social care budget. The aim of the fund is to provide more joined-up and customer focussed services to reduce hospital and care admissions and enable people to return home from hospital more quickly. In recognition of the rising need for adaptations central government funding for DFGs has been increased considerably. In 2019/20 107 DFGs were delivered. This declined last year 2020/21 to 50 due to around 4/5 months where the agency was affected by the

pandemic. Taking out last year as an exception since 2015/16 the number of DFGs delivered on an annual basis has ranged from 72 to 107.

6.7.2 Funding to meet this demand (via the Better Care Fund) has also significantly increased. In 2020/21 Ryedale had a funding allocation of £583,807 and then an additional allocation from Government of £78,612, making the overall allocation for the service of £662,419. This represents a significant increase in funding since 2015/16. £245,000 was received from central government in 2015/16 for Ryedale, and the remainder of the budget was made up with a capital contribution from RDC. Ryedale utilises some of the Better Care allocation to fund the handyperson's service and it is top sliced for the fee income to run the service. Through the HIA the Council now does not need to make contributions toward the cost of meeting this statutory duty from its own capital resources. The Better Care funding allocation for 2021/22 is £662,418.

6.7.3 The functions of the HIA are provided at a low cost to the authority due to the ability to top slice 15% funding from the Better Care allocation for revenue costs, after we have funded the handyperson service. This will provide Ryedale with a revenue contribution of £80,190 in 2021/22.

6.8 Handyperson and Well-Being Service

6.8.1 The handyperson service installs minor adaptations such as grab rails, key safes and galvanised rails on behalf of North Yorkshire County Council (NYCC). The service also carries out a range of small repair work to enable people to remain independent within their homes.

6.8.2 In 2019/20 2,197 households utilised the handyperson service, 642 within the Ryedale area. This reduced to 441 in the Ryedale area in 2020/21 due to the pandemic.

6.8.3 The Wellbeing Service provides advice and information on a wide range of housing related issues and delivers interventions aimed at preventing unnecessary hospital admissions and enabling a smooth transition when vulnerable residents leave hospital.

6.8.4 The service is funded via a combination of Better Care Fund monies and external income derived from various projects. In 2019/20 851 households utilised this service (164 Ryedale). This has remained similar throughout the years, and the service is meeting demand. Last year again this reduced to 109 assessments in Ryedale due to the inability to visit and undertake wellbeing assessments within homes due to the pandemic.

6.8.5 However increased marketing of both services needs to continue to promote them across the district as our figures are lower than you would expect in comparison to Scarborough.

6.9 Choices for Energy

6.9.1 The HIA continues to provide an Energy Advice Service (Choices4Energy) and provides a wide range of interventions to help tackle fuel poverty. This work includes an energy switching scheme and a bulk oil buying service for residents. In 2019/20 over 200,000 litres of oil was purchased by residents of Ryedale and Scarborough through the HIA's oil cooperative scheme and 177 households within the Ryedale area switched energy providers to a cheaper tariff through our collective switch scheme. This generated an income to the Agency of £4,751.10, this increased to £6,415.80 in 2020/21.

6.9.2 In 2020/21, 182,609 litres were ordered through the oil buying service and following increased marketing within Ryedale, 766 households within Ryedale switched energy suppliers.

6.9.3 The energy suppliers have supplied the following information,

| | |
|------------------------|----------|
| Registrants | 3962 |
| Switchers | 1154 |
| Total Realised savings | £181,075 |
| Tonnes of CO2 saved | 848 |

These number of registrants are the running totals from when Ryedale joined the scheme and the total realised savings are from those who have switched. From 2014 to 2019 this was calculated compared to people's current tariff. From Oct 2019 the energy suppliers improved the customer journey on their platform, and the majority of the realised savings from then are calculated against people's current supplier's standard variable rate. The cumulative carbon savings are from February 2020, and take into account the changing UK carbon emission factor.

6.9.4 In 2020/21 the agency also supported the delivery of first time gas central heating systems. Funding was secured from the Warm Homes Fund (WHF) via a partnership bid between the two councils and Hambleton District Council. The project was delivered by Yorkshire Energy Solutions (YES). The project delivered 108 new installations across the three areas. The scheme was operational until March 2021. There were 21 delivered in Ryedale.

6.9.5 This project was well received and a further bid was made to the WHF. This bid has been successful and funding has been awarded to support a further 26 first time gas central heating installations for Ryedale and 50 air source heat pump installations across Ryedale. The estimated value of this work of the whole scheme is in the region of £1.2m. The project is still working to improve access to installers across all areas as there is lack of installers in the YO area, NYCC are working with Communitas to obtain the installers required, there are enquiries in the pipeline but none completed to date.

6.10 Why we operate joint governance arrangements for the HIA

6.10.1 In September 2011 a report was presented to the Commissioning Board, the previous committee name prior to the renaming of Policy and Resources, with a recommendation to Council on the 3rd November 2011 (Minute 68) and it was agreed to establish a joint Home Improvement Agency. The report explained the benefits of creating a single Home Improvement Agency with Scarborough Borough Council, with Scarborough as the host authority.

6.10.2 Council agreed to enter into a partnership agreement with Scarborough for the creation of a shared HIA. The original agreement was for 2 years and this was further extended in 2014. We have continued to extend year on year since then. As the HIA has been operating for many years Ryedale needs to review the service on offer and ensure it performs effectively and has some stability until March 2023.

6.10.3 The reason for a Joint Committee was to ensure that members remained engaged with the agency and were involved in the budget setting and reviewing of services, this ensured transparency of the agency for both authorities.

6.11 Partnership Approach

- 6.11.1 A partnership approach brings a range of strategic advantages, including efficiencies around procurement of works, economies of scale and resilience for the services provided. It also has the ability to strengthen the Council's approach to securing the funding it needs in the form of bidding, especially around energy efficiency. Given the strong and ongoing success of the partnership, it is recommended the partnership continues until March 2023 to avoid annual renewals which do not provide sustainability for the agency with regards investment and bidding opportunities.
- 6.11.2 The terms of the agreement remain broadly unchanged and that Ryedale would continue to make a revenue funding contribution into the partnership at 33.3% of the total revenue cost.
- 6.11.3 Given the population profiles for both Council areas and the way that demand for the provision of DFGs has been split (e.g. around one third of the total demand comes from the Ryedale area) the existing funding arrangements are both proportionate and equitable. Should this vary during the term of the agreement then the funding split would be reviewed via the joint governance arrangements. The Governance arrangement consists of a Joint Committee with representative members from each LA with the delegated powers to make decisions relating to the partnership.
- 6.11.4 Certain strategic and financial decisions, including annual budget setting are made via the Joint Committee.
- 6.12 By partnering with Scarborough the agency has developed innovative solutions to service delivery, these include:
- i. The agency now incorporates telephone assessments by Occupational Therapists, OT (NYCC), this will reduce the timescale to progress grants as it was previously taking 3 to 4 months to see an OT
 - ii. Joint framework agreements with contractors for the provision of Disabled Facilities Grants. This reduces the average cost of a grant, so the Authority can do more for less. The average cost of a DFG across Scarborough and Ryedale is £1,900 less than the rest of NY. On the completion of 107 grants in 2019/20, this equates to an additional capital cost of over £200,000
 - iii. Paperless referral (DASH) system
 - iv. Accepting referrals direct from the health service - the only HIA in North Yorkshire to do this
 - v. Full performance management dashboard available

6.13 Operating Costs and Budgets

- 6.13.1 Through the Home Improvement Agency the Council delivers a high level of service, the costs of providing this service are part funded through the receipt of fee income this means that the amount of council funding remains consistent, at around £50k? to £55K for the last couple of years, as there has been an increase in the DFG allocation.
- 6.13.2 The cost of providing the Home Improvement Agency has increased over the past 2 years due to long term sickness and additional resources have been brought in for 2021/22 to ensure that the agency can keep waiting lists are kept to a minimum following the effect of the pandemic on the services of the agency.
- 6.13.3 The confirmed Better Care allocation for 2021/22 is £662,419.

6.13.4 With a budget of £662,419 RDC would, as it stands, generate a fee income of £80,190. This assists to fund the cost of operating the agency for Ryedale. Salary Inflation and changes to the employer's pension contribution rate following updated triennial actuarial assumptions from 18.2% to 20.9% have also impacted on staffing budgets. These additional costs have been offset by the increase in the capital allocation for DFGs and the resulting 15% taken off as fee income. Costs need to be assessed again the benefits of a partnership agreement as discussed and the added value to the Ryedale community.

This is calculated as follows:

| Ryedale | |
|--------------------------------------|-------------------------------------|
| DFG base allocation 2021/22 | 662,419 |
| Handyperson Service Funding | (47,632) |
| HIA Fee Top-sliced 15% | 80,190 |
| Subtotal | 534,597 |
| Carry Over 2020/21 | 161,897 |
| Total available DFG budget | 696,494 |
| RDC Revenue Contribution for 2021/22 | 135,538 |
| (Net cost to Ryedale) | Revenue Contribution £55,348 |

The general fee rate on DFGs across the Country is 10-15%.

6.13.5 *Added cost value of the Agency*

- In 2020/21 collective switching generated £6,415.80 across Scarborough and Ryedale, (a small allocation comes direct from the company when an individual joins). This goes into the combined revenue pot, Ryedale individually generated £1,732.20 of this
- Beyond Housing (Housing Association) in Scarborough pay for adaptations up to a certain level for properties within Scarborough. The income generated goes into the combined pot, this generated £7,526 in 2020/21 for the partnership
- Currently 93% satisfaction rate from customers
- The cost to provide this as a single Council would be substantially higher and provide a lower level of service provision for the community.

6.13.6 *Partnership agreement with NYCC*

Ryedale could choose not to fund the handyperson's service from the Better Care allocation and use this for additional DFG spend. An agreement was made between NYCC and both authorities, following a signed memorandum of understanding that we would top slice the Better Care Fund to pay for the handypersons service. This costs Ryedale in 2021/22 £47,632 from the funding allocation. The service assists NYCC with its duties around fitting small adaptations and grab rails.

6.14 Additional achievements

- 6.14.1 Despite the high levels of demand on the Agency's services over the years, the Agency continues to improve its services and strives to develop regional and national good practice.
- 6.14.2 The HIA has national recognition for the work it does. It is included within the National Good Practice Guide for the innovative way that technology is used to speed up DFG processes. The HIA also has the highest possible level of accreditation following external review via its regulatory body Foundations. The Councils' adopted policies and approach toward the delivery of DFGs are shared by Foundations (HIA's national Governing Body) as a 'good practice template'.
- 6.14.3 The Agency recently delivered a successful pilot with NYCC which enables Occupational Therapists to carry out basic assessments for wet floor showers over the phone. The pilot was so successful that the agency was asked to present the pilot at a regional conference delivered by its governing body, Foundations. This pilot has now been rolled out across the county.

6.15 Setting Key priorities for the agency

- 6.15.1 However there is work that can be done on the back of the partnership, especially around the promotion of the services on offer to the Ryedale community. The recommendation is for the following key priorities.
- i. Continued growth and sustainment of the agency
 - ii. Key delivery agent around the climate change agenda (domestic)
 - iii. Delivery agent to enable people to live independently
 - iv. Funding attracted from external partners to add value to the agency
 - v. Timely delivery of DFGs to facilitate independent living
 - vi. Improve the marketing of the handyperson's and wellbeing services
 - vii. Climate change- push the switching scheme and oil buying
 - viii. Partnership working with NYCC
 - ix. Key performance indicators
 - x. Meet statutory requirements around delivery
 - xi. Innovative and nationally recognized
 - xii. Ongoing customer feedback

7.0 IMPLICATIONS

7.1 Policy - no implications

7.2 Financial

Ryedale make a proportionate funding contribution of 33.3%. In 2021/22 this will be £135,538. Fee income of 15% is used to offset this amount. Net cost £55,348

Capital budgets remain separate and Ryedale gives delegated authority to the Borough Council in respect of their capital spending on DFGs. In 2021/22 Ryedale allocation is £662,419, also carry over from 2020/21 of £161, 897. Overall budget £696,494.

7.3 Legal

If committee agree the extension of the agreement up until March 2023 this will be under all the same terms and conditions as the current arrangements.

7.4 Equality and Diversity

The provision of services for elderly and vulnerable people through the HIA has a positive impact in terms of equality and diversity issues.

7.5 Sustainability

The work of the HIA is leveraging in funding to improve the energy efficiency of stock within the district and will make a key contribution going forward in helping the Council meet its ambitious carbon reduction targets for the district.

7.6 Crime and Disorder

The handyman's service assists with the provision of key safes, locks etc. This assists the vulnerable members of the community to remain safe within their homes.

7.7 Climate Change

In recent years the key strategic focus within the HIA has been to build on existing work to promote energy efficiency in residential accommodation. The HIA acts as the Council's delivery agent in partnership with Yorkshire Energy Solutions in respect of various initiatives including accessing ECO Funding (to fund energy efficiency improvements).

Together with the partnership with Yorkshire Energy Solutions the agency is our delivery model for assisting the Council with meeting the council's priorities around climate change. The agency runs collective switching and oil buying initiatives as well as bringing in energy efficiency funding and products to assist the Ryedale community.

Phillip Spurr

Programme Director for Economic Development, Business and Partnerships

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| PART B: | RECOMMENDATIONS TO COUNCIL |
| REPORT TO: | POLICY AND RESOURCES COMMITTEE |
| DATE: | 23 SEPTEMBER 2021 |
| REPORT OF THE: | PROGRAMME DIRECTOR FOR ECONOMIC DEVELOPMENT, BUSINESS AND PARTNERSHIPS PHILLIP SPURR |
| TITLE OF REPORT: | CLIMATE CHANGE AND ENERGY EFFICIENCY MEASURES – RAILWAY TAVERN AND FUTURE COUNCIL SCHEMES |
| WARDS AFFECTED: | ALL |

EXECUTIVE SUMMARY

1.0 PURPOSE OF REPORT

- 1.1 To provide an update on climate change and energy efficiency measures relating to the refurbishment of the Railway Tavern, Norton and any future proposals within the three year Housing Development Programme.

2.0 RECOMMENDATIONS

- 2.1 It is recommended that:

(i) The content of the report is noted.

3.0 REASON FOR RECOMMENDATION(S)

- 3.1 The production of this report is in response to a Motion agreed at full Council on the 15 April 2021, requesting the completion of a climate change impact assessment in respect of the Railway Tavern.
- 3.2 The Council has made a climate change commitment to actions to help achieve net zero emissions across Ryedale by 2050.
- 3.3 The Council has committed to encourage others to act responsibly by requiring that new building developments are planned to be as sustainable as possible.

4.0 SIGNIFICANT RISKS

- 4.1 There is a risk that the Railway Tavern scheme may not meet the timescale for Homes England funding and therefore we are working closely with the contractors to ensure all deadlines are met and the scheme is monitored closely to completion.

5.0 POLICY CONTEXT AND CONSULTATION

- 5.1 The Council's Corporate Plan 2020-2024 recognises the need for sustainability into the future where the Council will take steps to reduce its carbon footprint through regional and local initiatives. The Council has set out steps to work collaboratively with industry, businesses, communities and others to deliver local and community led energy solutions that fulfil the ambition to deliver carbon neutrality.
- 5.2 The Council has made a climate change commitment to encourage others to act responsibly by requiring that new building developments are planned to be as sustainable as possible; supporting community-based schemes which contribute to a reduction in climate change and promoting the practical action that businesses and individuals can take to reduce carbon emission in Ryedale.

REPORT

6.0 REPORT DETAILS

- 6.1 On 24 September 2020, Policy and Resources Committee (Minute No.149) approved a Development Opportunities and three year Housing Development Programme which was signed off by Council on 3 December 2020 (Minute No.49). The emphasis at that point was on the delivery of the different schemes within the Programme. In order to improve these schemes, the council needs to look at the effects of climate change and the energy efficiency of the properties and make improvements where possible.

6.2 The Railway Tavern

- 6.3 The original brief to the Architects was to provide self-contained accommodation, and to consider climate change and energy efficiency measures where possible. The building sits within a Conservation Area, has very little outdoor space and is restricted internally by the differing levels in the building affecting floor and ceiling heights.
- 6.4 The Architect's aim was to keep the scheme affordable to the tenants, without enhancing it beyond what would be required to satisfy the original brief and obtain both planning and Building Control approval. The aim of the scheme was to meet Building Regulation standards - Document L1B 'Conservation of Fuel and Power in Existing Dwellings'.
- 6.5 In overall sustainability terms, it is bringing back into use a facility that would otherwise have deteriorated and posed a blight on both Commercial Street and Church Street. The reuse of the building, rather than whole scale demolition and rebuild is part of reducing the carbon footprint of this development (as is using a local contractor).
- 6.6 As part of this process the Council has also had a Carbon Assessment undertaken for the Design stage of the development. This was completed by HDS Greentech as an industry expert (Appendix 1) to show the whole life-cycle carbon assessment of the project. The report confirms the advantages of the refurbishment in terms of embodied carbon, compared to if a typical new build was constructed.
- 6.7 The refurbished development also offers potential for reduced carbon costs if the grid decarbonises in line with government promises.
- 6.8 **Retrofitting and Refurbishment**

- 6.9 Existing buildings have already produced carbon during their construction, known as embodied/capital carbon, in which case there is a very strong argument for ensuring that they last for as long as possible. Refurbishment and retrofit have the added advantage of maximising the use of embodied/capital carbon, while rendering the building as energy-efficient as possible.
- 6.10 In the context of carbon reduction, retrofit and refurbishment is about making buildings more thermally efficient and sustainable. It principally concerns improving the insulation of the building envelope.
- 6.11 Design Stage Standard Assessment Procedure (SAP) calculations have been undertaken on a sample of three apartments to demonstrate that the building will be Building Regulation compliant. SAP calculations will be revisited on completion for all eight apartments, when the EPCs will be issued. In general, conversion works tend towards band C but can vary.
- 6.12 **Energy Efficiency Measures Railway Tavern**
- 6.13 Items included within the refurbishment are:
- Wall and loft insulation to current Building Regulation standards; all new doors to individual flats and externally where required; replacement of existing and new windows with double-glazed units; floor insulation enhanced where possible; lighting will be all new controls and LED; water pipes will be lagged where required; boilers will be fuelled by electricity for water and heating; PVs will be installed to provide electricity to run the communal areas and the small office space; low-flow water fittings and shower heads will be provided in the bathrooms; Smart meters will be installed to the individual flats to monitor energy use.
- 6.14 Renewable energy sources were considered as follows:
- Photovoltaics (PVs) – These can save 50% of energy costs and for this development have been incorporated to service the communal areas and small office space. Cells will be placed on the south facing roof as this is the optimum orientation. Use on other roof orientations would not be as effective and facing onto a Conservation Area could have presented a planning issue.
- 6.15 Other renewables considered, but not thought practical due to either limitations of the site or practicality:
- Air Source Heat Pump – Again these save on energy costs and this would be the next most cost effective option however the site is too restricted for provision. The small external ground area available for installation forms part of general access, refuse storage and parking. Pumps would instead need to be fixed to limited available elevations, probably not facing the Conservation Area. Noise transmission from heat pump may also be a detriment next to the apartments.
 - Ground Source Heat –Ground source tends to favour a more expansive site where deep coring, potentially tens of metres, would be less of an issue. It would be an expensive and impractical solution for this site.
 - Solar Thermal – Roof panels would be needed for each apartment which would pre-heat the hot water and each apartment would need to accommodate a hot water cylinder, say 180litres. There is insufficient roof space for the panels and internal space for the cylinder.
 - Wind – Not a practical investment or energy source for this site due to town location.

6.17 Heating and Hot Water

The communal areas and small office space will benefit from the PVs. The flats themselves will be electric energy sourced rather than gas for both hot water and heating. Depending upon the energy provider chosen, the electric energy may already be effectively net-zero carbon.

6.18 Building Fabric

The building fabric is extensively upgraded to comply with current Building Regulations. This includes thermal linings to the external walls, insulation to the roof space and lower floor. Windows are double glazed. The enhancements will also address air-leakage issues, keeping the units warmer during the cooler months.

Further improvements that could be made to take the fabric beyond current Building Regulation requirements were suggested. These would include triple glazed windows and increased insulation to walls, floors and roof. In the case of triple glazing, the window supplier did not think it would be feasible to fit triple glazing in the sliding sash windows as all the timber sections would need to be strengthened, larger spirals would need to be used in the sashes because of the weight of the units and for those windows not getting replaced with new, the existing timber sashes would not take triple glazing.

Due to the change in floor levels throughout the building, where some floors have been brought in line and new floors constructed, floor insulation has been provided to meet Building Regulation standards. Restricted floor and ceiling heights have been a factor in establishing whether increased insulation in these areas was feasible.

6.19 Mechanical Ventilation and Heat Recovery

This type of system is usually provided on new build, is not common on residential developments of this nature and has a minimal improvement upon SAP ratings. The system would capture heat from kitchen and bathroom ventilation for heating incoming air. This relies on providing a heat exchanger with a ducting mechanism throughout the unit to an external vent. While the building is being extensively refurbished there are still a number of physical and planning constraints which do not make this an optimum system, particularly with the constrained floor to ceiling heights and the need to add multiple vents to the façade. The air permeability of the thermal envelope would also need to be enhanced for this system to work effectively.

6.20 Energy Use

Smart meters will be provided to give occupants the opportunity to control their own usage. Smart Meters give much more timely updates leading to a more accurate view of exactly when energy is being used. This allows the ability to keep a check on spend and to have control over energy use.

6.21 Other Measures

6.22 Cycle storage is being provided to encourage cycling as a mode of travel.

6.23 The above demonstrates that practical steps have been taken to address climate change and energy efficiency and the resultant scheme is a good example of sustainable building which meets a growing need within the District.

- 6.24 The Carbon Assessment report suggests the operational energy could be reduced through an ASHP. This has been assessed by Daikin UK who undertook a site survey. Their designs were carried out on the provision of an outdoor unit per apartment (which would be required in order to provide individual metering for each unit). However, there is limited free space available around the building and it was established there is only sufficient space to site two within the scheme. Eight would be required.
- 6.25 The report also suggests the use of photovoltaics, which have actually been included to service the communal areas and office space, but as said previously, not for the flats as there was insufficient roof space and orientation to accommodate the required number of cells to serve all eight flats.
- 6.26 To summarise, the benefits of developing the Railway Tavern are:
- Increase in the supply of one bedroom self-contained flats in Norton
 - Provision of move on accommodation for Derwent Lodge
 - Access to support from Derwent Lodge
 - Increase visual amenity of the area
 - Take up of grant initiatives with Homes England
 - Generate income stream through rents, Council Tax and New Homes Bonus
 - Use of Commuted Sums which are at risk of being returned to the Developer

6.27 Future Schemes

- 6.28 In general, the Council will look to build new homes to Future Homes Standard and address any refurbishment projects through a tick list of options relevant to the individual scheme, taking into account the age, size, and location of the building. Things which will have an impact on the provision of certain measures will be whether the building is listed, in a conservation area, type of construction, footprint of the building etc.
- 6.29 Homes built under the Future Homes Standard will be future-proofed with low carbon heating and world-leading levels of energy efficiency. By delivering carbon reduction through the fabric and building services in a home rather than relying on wider carbon offsetting, the Future Homes Standard will ensure new homes have a smaller carbon footprint than any previous Government policy. In addition, it is expected this footprint will continue to reduce over time as the electricity grid decarbonises.
- 6.30 On a typical semi-detached house Future Homes Standards will see more than a 75% reduction in carbon emission and is one of the key benefits the Council is supporting with the provision of grant at £12,500/unit with a partner Registered Provider on a current scheme in Pickering.

7.0 IMPLICATIONS

- 7.1 The following implications have been identified:

- a) Financial

Capital Costs

There are no additional costs for Railway Tavern as no additional measures over and above what is currently included have been deemed to be feasible on the project.

Member approval has been granted to a total scheme cost budget of £1,050,715 plus an additional contingency of £30,000 to £1,080,715.

The costs will be funded as follows:

- Homes England Grant £388k
- Capital Programme (reserves) £334k
- Commuted sums £359k

Proposed Financing

Through commuted sums and Council resources.

Revenue Implications

The scheme income will generate a revenue surplus as this will not be impacted by the use of additional commuted sums following a revision of scheme costs.

b) Legal

Relevant s106 Agreements have been checked to ensure the commuted sums applied to support the increase in budget for the Railway Tavern are not restricted. The same checks will be applied to future schemes to ensure the use of commuted sums is not restricted and can therefore, be used to fund the additional resources required to meet climate change and energy efficiency measures above those of standard Building Regulations and for any retrofit or refurbishment of Council developed schemes.

c) Climate Change

The proposed recommended measures will assist towards the Council's climate change commitment to help achieve net zero emissions across Ryedale by 2050, and that any new build scheme will meet Future Homes standards (where possible).

d) Other (Equalities, Staffing, Planning, Health & Safety, Environmental, Crime & Disorder)

Environmental – The Council's investment should ensure the homes provided within the Council's Housing Development Programme will deliver the highest energy efficiency levels with the aim of reducing annual running costs for all tenants.

Equalities – The protected characteristics are maintained within this scheme i.e race, gender, sexual orientation, age, religion and belief.

Allocation of the properties will be based on vulnerability and need, primarily homeless, single people moving on from Derwent Lodge.

8.0 CONCLUSION

- 8.1** The use of available resources will be utilised to support the delivery of climate change and energy efficiency measures delivered through the Council's Housing Development Programme. This will provide much needed accommodation across the District with homes built/refurbished to the highest standard that is possible of energy efficiency resulting in a much more sustainable home for the tenants.

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Background Papers:

Appendix 1- Railway Tavern- Carbon Assessment- Design Stage Report

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In partnership with



Railway Tavern

Carbon Assessment Report

Design Stage Report

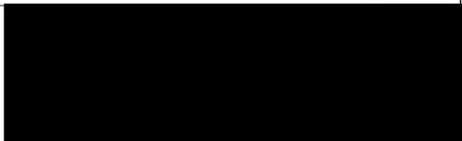
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| Document Number: 20769 R01 Carbon Assessment Report | | Revision | - |
| | Name | Signature | Date |
| <i>Author</i> | Keith Franklin |  | 01/07/2021 |
| <i>Checked</i> | Damian Markham-Smith CIBSE LCEA 41943 |  | 01/07/2021 |

| Revision Record | | | | | |
|-----------------|------|----|--------------------|-----|------|
| Rev | Date | By | Summary of changes | Ckd | Appr |
| | | | | | |
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EXECUTIVE SUMMARY

The report shows the whole life-cycle carbon assessment for the proposed refurbishment of the Railway Tavern in Norton using the FCBS beta V0.8.3 spreadsheet.

Assumptions have been outlined for reference, along with building information gleaned from the package provided.

It predicts a whole life-cycle cost of 2,008 kgCO₂e/m² for the development over 60 years, with 466 kgCO₂e/m² at practical competition and 718 kgCO₂e/m² for the embodied carbon over the life cycle. The operational energy whole life carbon cost is predicted to be 1,290 kgCO₂e/m².

The operational energy could be reduced through an ASHP, this would reduce the operational carbon significantly and move the building towards best practice. The additional of PV could further offset the operational energy, although it is to be noted the neither of these options have been modelled within the study.

There are shown to be significant advantage to refurbishment in terms of embodied carbon compared to if a typical new build is constructed. If the building lasts 30 years there are significant advantages to the refurbishment when looking at the whole life-cycle carbon analysis with a break-even point at 60 years, the assumed life of the building. The refurbished development also offers potential for reduce carbon costs if the grid decarbonises in line with government promises.

INTRODUCTION

The building is an old 19th century public house that has been closed for a number of years and sits in the centre of Norton town, which lies in a conservation area. The proposal is to develop the building into eight single bedroom flats, whilst retaining the traditional look.

This report uses the beta version FCBS Carbon tool to analyse the whole life cycle carbon of the project. This is a high-level tool with the associated limitations and as such will not provide a full whole life carbon study which would require full building models for operational energy and exact quantities/ materials and sourcing data for all materials and their embodied carbon.

SAP procedure will be used to identify operational energy.

Life cycle modules are based on (BS EN 15978)

Where possible reference and assumptions will be taken from the "Whole Life-Cycle Carbon Assessments guidance Pre-consultation draft" produced for the major of London and "LETI Embodied Carbon Primer".

APPROACH

The methodology for Whole Life-cycle Carbon Assessment as defined BS EN 15978 is described in the following diagram:

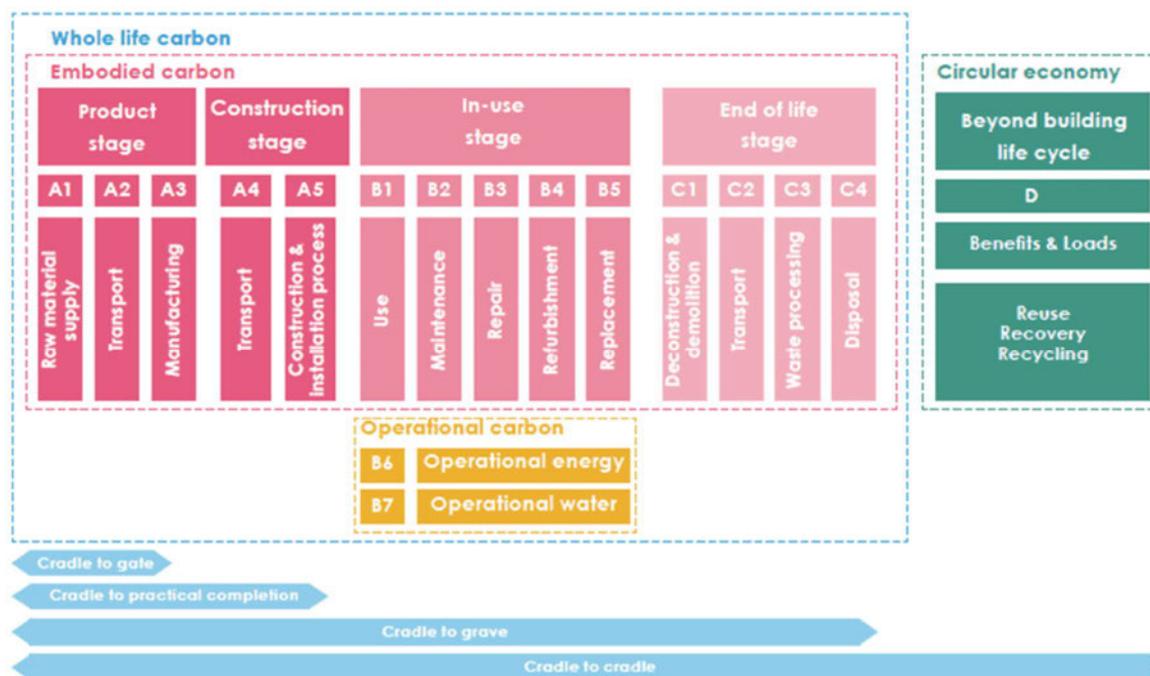


Figure 1 - EN15978 system boundaries

To assess the whole life cycle of this refurbishment requires a number of assumptions to be made:

1. The life span of the building will be considered to be 60 years, as proposed in the WLC assessment guidance.
2. The building is considered to be constructed circa 1850. While many changes must have been made through its life, the substructure will be assumed to be from this time and be capable of lasting another 60 years. Often buildings of this age have very little foundations, however some will be assumed, which can be justified due to the presence of the existing basement. This is a worst case as it will have an embodied carbon cost for the development.
3. SAP calculations have been performed for three flats, an average operational energy use will be calculated from these flats and applied throughout the building.
4. The office is assumed to have minimal use and as such the operational energy will be ignored.
5. It is assumed 50% of the walls will be retained and 50% will be new, although it is understood the actual amount will depend on the condition of repaired walls.
6. Only available constructions within the FCBS spreadsheet will be used, as these have carbon factors derived from the Inventory of Carbon and Energy (ICE) database and the Environmental Product Declarations (EPDs). A best-fit approach will be used, with the most a suitable construction selected.
7. The building will be assessed as a two-storey building; this gives more accurate calculations based on the building type, although it is known there is one apartment on what would be the second floor, the majority of the building is two-storey. If the building is modelled as three storeys, any comparisons/results will be more exaggerated.
8. For reference a new build calculation will be performed based on a similar construction and standard operational performance as defined by the notional building in the SAP calculation methodology. This will be used to provide a frame of reference to the numbers.

BUILDING INFORMATION

The following documentation has been used to base the assessment on:

- RY20003-A-020 Proposed Site Plan
- RY20003-A-126 Proposed Ground Floor Plan
- RY20003-A-127 Proposed First Floor Plan
- RY20003-A-128 Proposed Second Floor Plan
- RY20003-A-130 Proposed Roof Plan
- RY20003-A-220 Proposed Elevations Rev T2
- RY20003-A-351 Proposed Sections
- RY20003-A-360 Proposed Staircase Floor Plans
- RY20003-A-361 Proposed Staircase Sections
- RY20003-A-420 Typical Wall & Floor Construction Details
- RY20003-A-710 Rev T3 Proposed External Door & Window Schedule
- RY20003-A-800 Building Regs Compliance Notes
- RY20003-A-900 Performance Specification
- RY20003-A-900 Architectural and Structural Performance Specification
- Railway Tavern, Malton - Mechanical Performance Specification
- RT Electrical Performance Specification



Figure 2 – Image taken from google

BUILDING FABRIC

Constructions have been taken from the plans and specifications stated, basic values are presented below for the proposed development:

| Element | U-Value, W/m ² |
|-----------------|---------------------------|
| Wall | 0.3 |
| Roof | 0.17 |
| Floor | 0.3 |
| Windows & Doors | 1.8 |

Table 1 – U-Values

These U-values are better than the minimal U-values for a refurbishment.

SERVICING STRATEGY

The flats use electric panel heaters with instantaneous electrical point of use water heaters and electrical cooking facilities.

OPERATIONAL ENERGY

From the SAP calculations the operational energy for the building is:

| Operational Energy | Electrical Energy, kWh/m ² /yr |
|--------------------|---|
| Space Heating | 76.6 |
| Hot Water | 21.8 |
| Cooling | 0 |
| Fans & Pumps | 2.3 |
| Lighting | 5.7 |
| Appliances | 34.6 |
| Cooking | 17.1 |
| Total | 158.1 |

Table 2 – Operational energy

From the FCBS spreadsheet the following figures have been extracted (figure3):



Figure 3 – Data from FCBS for operational energy for proposed building

Figure 3 shows the building is not very energy efficient when compared to best practise, this is primarily due to the building fabric, which performs less well than a new build, as it is a renovation.

For comparison a standard new build has been input into the spreadsheet to show the difference if a new build was constructed instead (figure 4). The standard new build has been modelled with the reference set up for SAP. This new build has the same construction type, with improved u-values to match the SAP reference building and using the SAP reference systems and efficiencies.

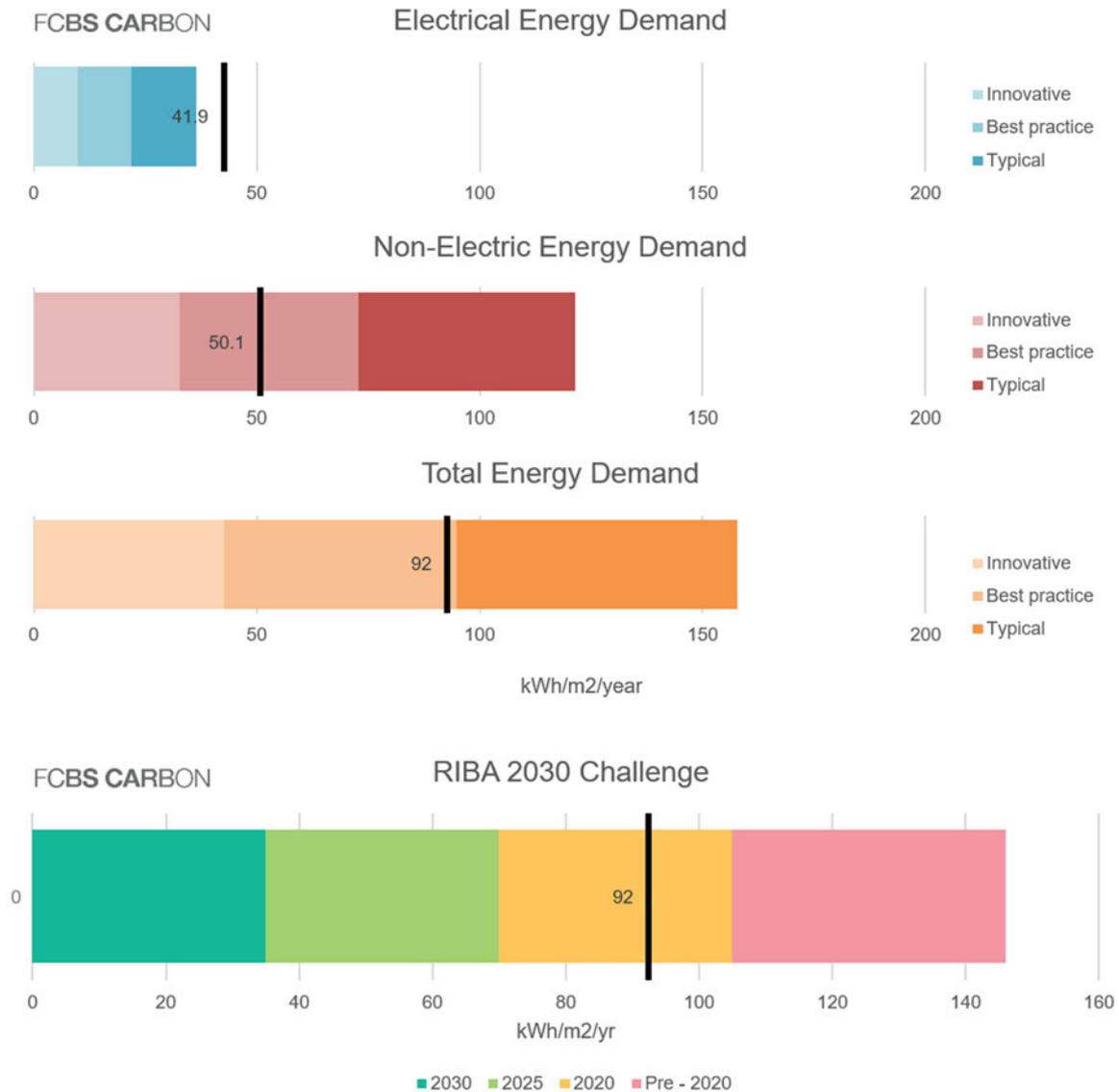


Figure 4 – Data from FCBS for operational energy for typical new build

It is worth noting figure 4 assumes a standard gas boiler, which the government are trying to phase out in favour of electrical ASHP's. The improved u-values of a typical building improve operation energy and as a result the operational carbon used. A possibility to improve the operational energy efficiency and subsequently carbon, would be to provide heating and hot water from an ASHP for the development, if this is viable.

Operational energy could be offset with installation of PV. While the generated energy may not be required when generated due to residential occupancy hours, as long as it can be supplied to the grid or stored locally by a battery, it will reduce the operational carbon.

EMBODIED CARBON

The embodied carbon for the proposed building is:

Distribution of Embodied Carbon of New Building by Building Aspect

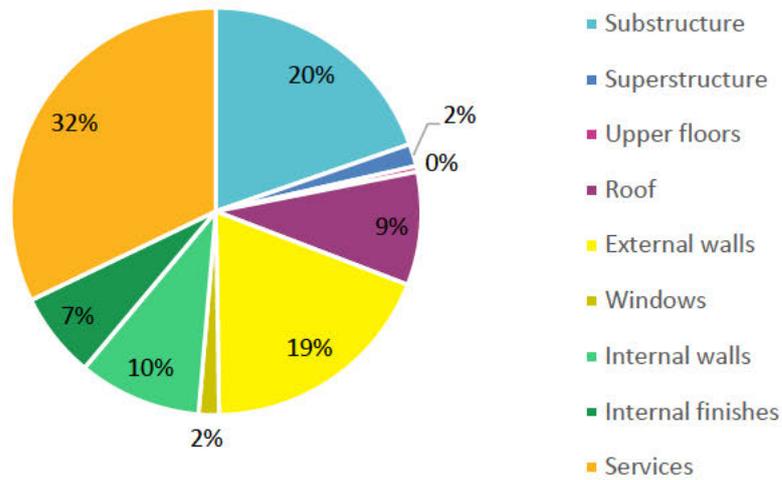


Figure 5 – Distribution of embodied carbon proposed building

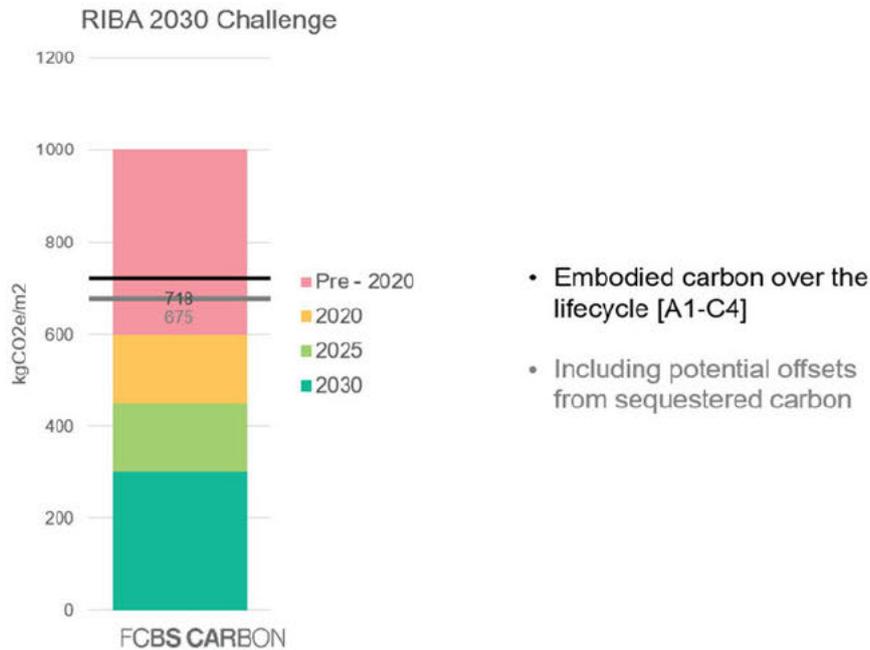


Figure 6 –Embodied carbon proposed building compared to RIBA 2030 challenge

The embodied carbon value of 718 kgCO₂e/m² is favourable and will have the building performing just below the 2020 values for the RIBA 2030 challenge. Benchmark values taken from the WLC assessment guidance are between 1050 to 1250 kgCO₂e/m² for a typical building and 630 to 740 kgCO₂e/m² for an aspirational building. The fact that the refurbishment falls just within the aspirational value shows the advantage of refurbishment over new build. These values are for Modules A1 to C4 excluding B6 and B7 operational energy and water use.

The following shows the results for typical new build:

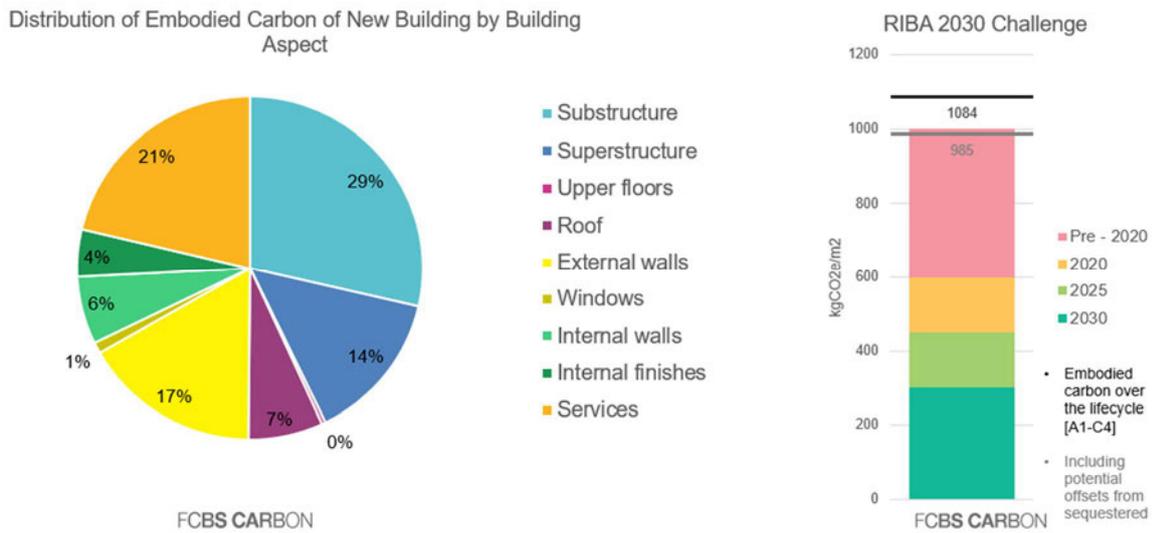


Figure 7 – Distribution of embodied carbon for a typical equivalent new build

The addition of the embodied carbon required to build the structure from scratch pushes the typical new build to 1084 kgCO₂e/m². Although the FCBS analysis is simple, it shows the benefit of refurbishment when looking at embodied carbon.

The embodied carbon to completion (modules A1 to A5) for the development is 466 kgCO₂e/m², this compares favourable to the LETI carbon primer best practise target for 2020 which are 500 kgCO₂e/m².

The typical new build case is 825 kgCO₂e/m², which is in line with the 800 kgCO₂e/m² stated as the business-as-usual case in LETI carbon primer.

WHOLE LIFE CARBON

The following chart shows the analysis for the whole life carbon for the proposed development over a 120-year period.

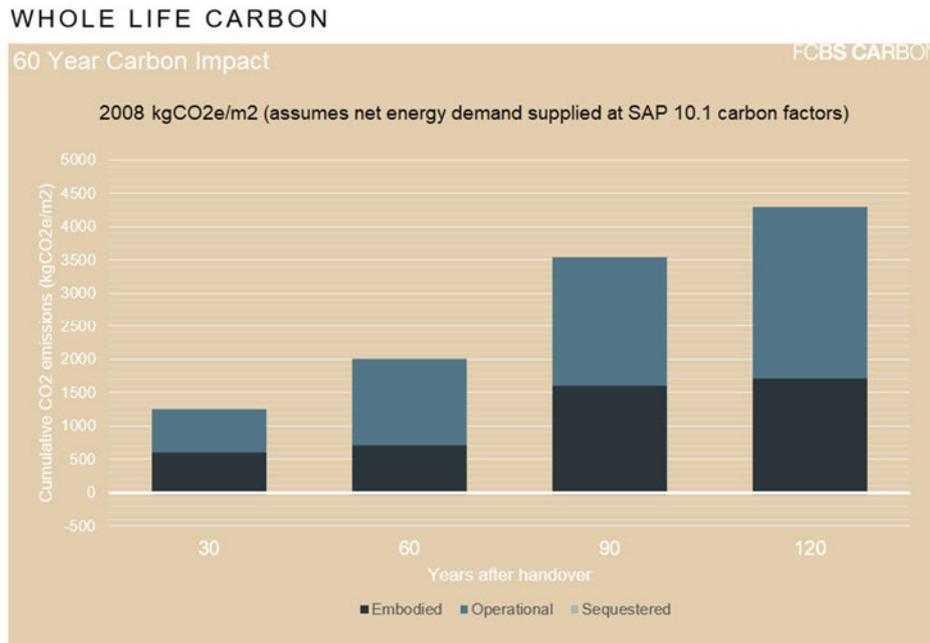


Figure 8 – Whole life carbon proposed development

The following chart shows provides a comparison for a new build over the same period

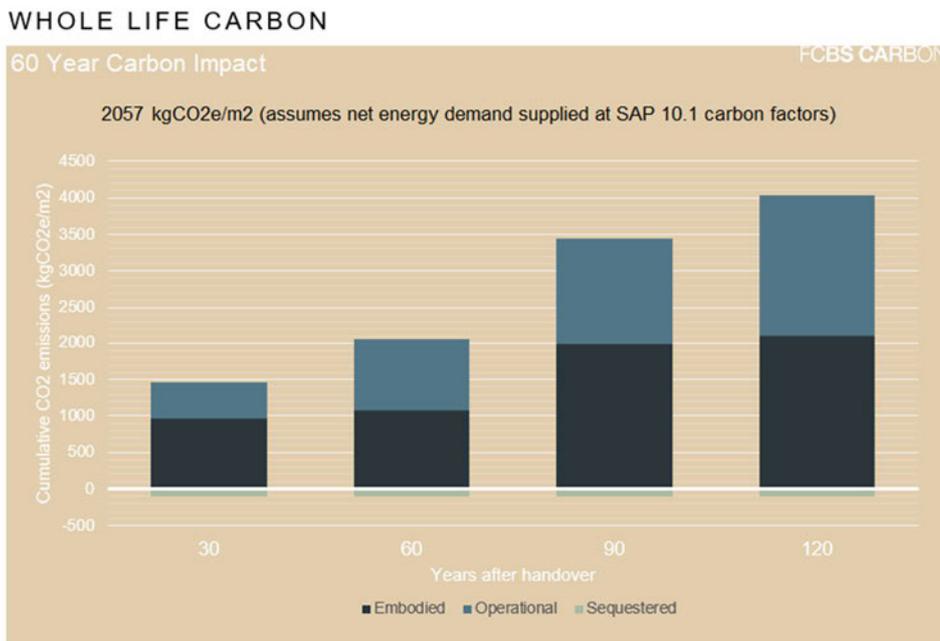


Figure 9 – Whole life carbon typical new build development

The trend shows that after 30 years refurbishment provides significant advantage compared to a new build, after 60 years both are about equal, subsequent years after this the reduction in operational energy would tip the balance in favour of new build. This is typical for any refurbishment, the improved fabric efficiency will at some time out balance the savings from not rebuilding the structure.

CARBON IMPACT OVER THE LIFE CYCLE

The following shows the Carbon impact for the proposed development:

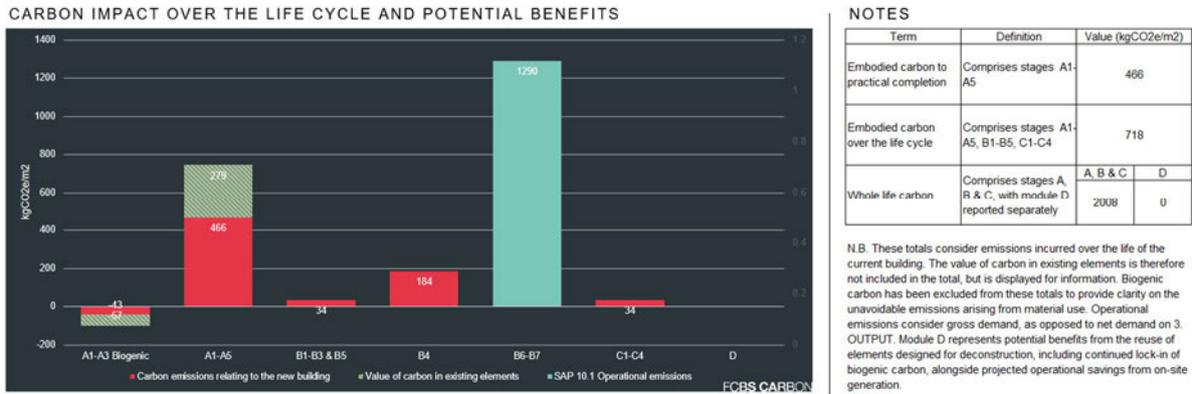


Figure 10 – Carbon impact for the proposed development

For comparison the following shows the carbon impact for a typical new build development

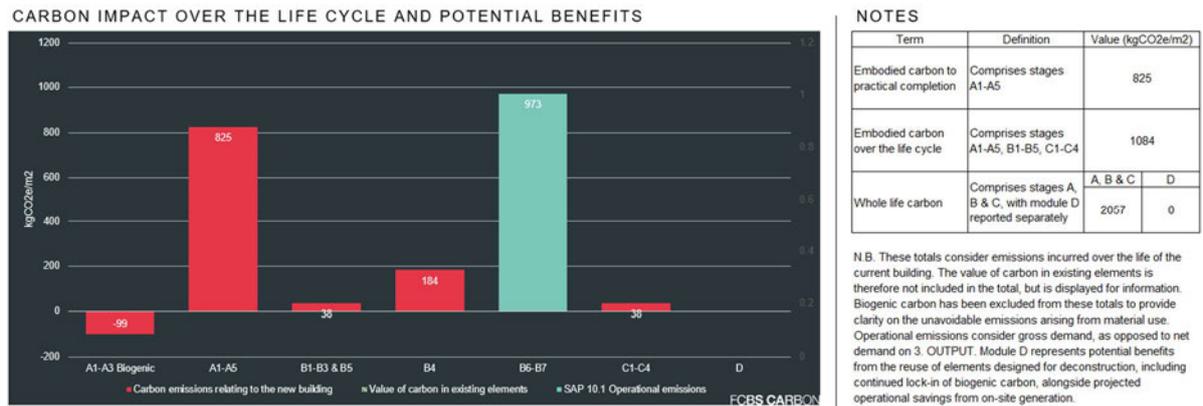


Figure 11 – Carbon impact for a typical new build development

While the totals are similar, the graphs highlight the difference in where the life-cycle carbon is used. The green hatched total shows the carbon saved by renovation to the structure. Overall, after 60 years the proposed development would have a whole life-cycle carbon cost of 2,008 kgCO₂e/m².

The following shows the potential effect on decarbonising the grid the development:

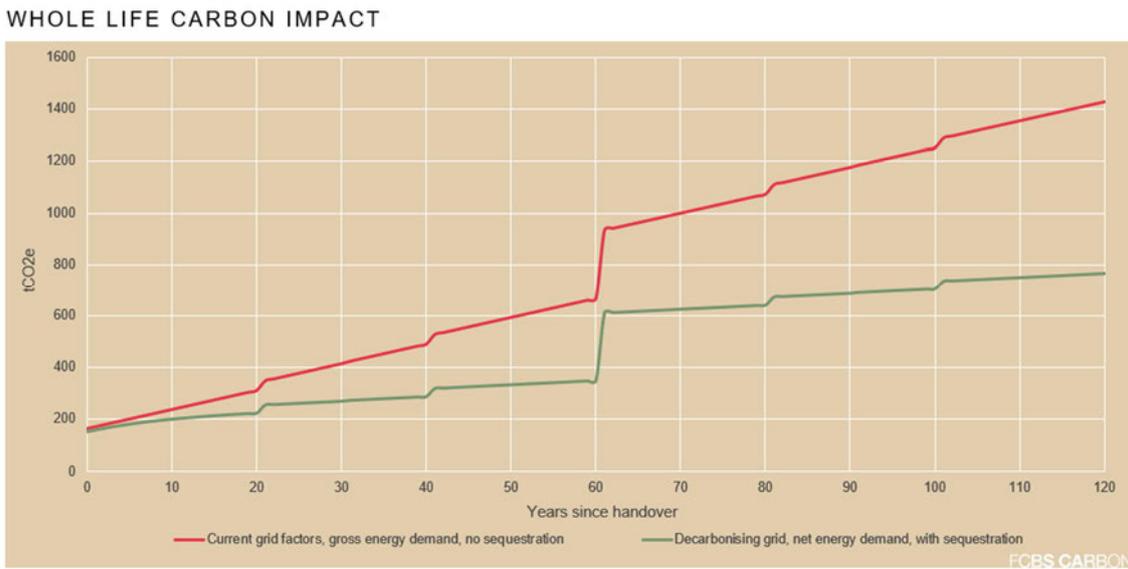


Figure 12 – Decarbonising effect on proposed development

This can be compared to the typical new build case:

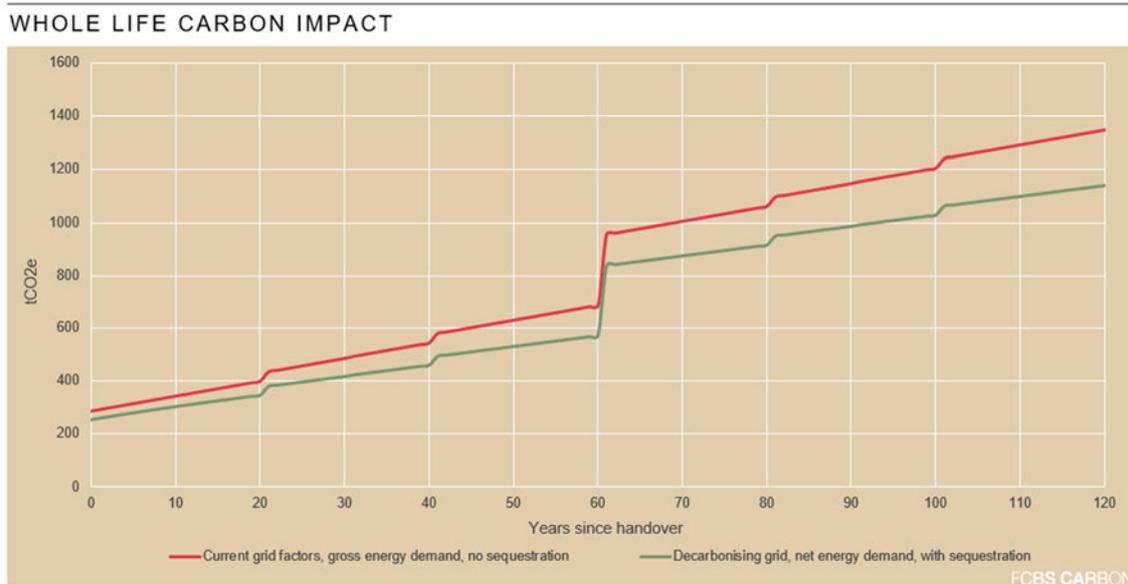


Figure 13 – Decarbonising effect on proposed development

This shows that while gross energy demand using the current grid factors (red line) for the refurbishment is just below 1,000 tCO₂e at 60 years, decarbonising of the grid and sequestration could reduce this to 600 tCO₂e (green line). For the typical new build, the value at 60 years is the same as the refurbishment. For the best case the refurbishment is at 600 kgCO₂e/m² while the new build has a best case at 60 years of 850 tCO₂e. This effect carries on and becomes more exaggerated as the years are added, there is greater potential for carbon savings for the refurbishment.

The electrical energy for the grid should decarbonise as time moves into the future, resulting in a higher comparative value for the typical building using gas. It is worth noting that these are predictions and the gas grid may decarbonise through the uptake of hydrogen technologies. Any predictions looking into the future will be relying on the electrical grid continuing to decarbonise. Many factors affect the rate at which this will happen and how far the UK power generation goes to becoming carbon neutral.

CARBON REDUCTION

The study has shown that refurbishment is the best option for reducing carbon over new build considering a 60-year life span of the building. This also offers the advantage of retaining a symbolic heritage building within Norton.

The main whole life-cycle carbon reduction available with the refurbishment is to reduce B6 and B7, the energy, and subsequently carbon involved in heating and hot water use within the building. Following a fabric first approach, any improvement that can be made to the U-values and ensuring good air tightness of the building structure will reduce heating costs, for both energy and carbon.

An ASHP can have in excess of three times the efficiency of a direct electric system, this offers savings for energy and carbon that will have effect throughout the life span of the building, with greater efficiency predicted as the technology progresses in the future. It should also be noted that a direct electric heating system has high costs and can lead to fuel poverty in winter, especially with the U-values available for refurbishment, that are below building regulation values for new build properties.

As previously mentioned, PV installation can help offset the building carbon and be fed back to the grid or stored locally, when not required within the residential apartments.

CONCLUSION

The report shows the whole life-cycle carbon assessment for the proposed refurbishment of the Railway Tavern in Norton using the FCBS beta V0.8.3 spreadsheet.

It predicts a whole life-cycle cost of 2,008 kgCO₂e/m² for the development over 60 years, with 466 kgCO₂e/m² at practical competition and 718 kgCO₂e/m² for the embodied carbon over the life cycle. The operational energy whole life carbon cost is predicted to be 1,290 kgCO₂e/m².

The operational energy could be reduced through an ASHP, this would reduce the operational carbon significantly and move the building towards best practice. The additional of PV could further offset the operational energy, although it is to be noted the neither of these options have been modelled within the study.

There are shown to be significant advantage to refurbishment in terms of embodied carbon compared to if a typical new build is constructed. If the building lasts 30 years there are significant advantages to the refurbishment when looking at the whole life-cycle carbon analysis with a break-even point at 60 years, the assumed life of the building. The refurbished development also offers potential for reduce carbon costs if the grid decarbonises in line with government promises.

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| PART B: | RECOMMENDATIONS TO COUNCIL |
| REPORT TO: | POLICY AND RESOURCES COMMITTEE |
| DATE: | 23 SEPTEMBER 2021 |
| REPORT OF THE: | CHIEF FINANCE OFFICER (s151) ANTON HODGE |
| TITLE OF REPORT: | RYEDALE'S FINANCIAL STRATEGY 2021-25 |
| WARDS AFFECTED: | ALL |

EXECUTIVE SUMMARY

1.0 PURPOSE OF REPORT

- 1.1 This report contains updates to the contents of the Financial Strategy and the proposed consultation with members of the public on next year's budget. The Strategy is shown as a medium term plan, although the Council is not expected to continue after April 2023. This approach provides the new unitary authority in North Yorkshire with an understanding of the pressures and opportunities facing Ryedale, and investments planned by members.

2.0 RECOMMENDATIONS

- 2.1 The Council is asked to note the content of Appendix 1 of this report which forms the basis of the Council's Financial Strategy
- 2.2 Members are also asked
- i. to consider and approve the proposed areas for consultation with the public as set out in Appendix 2 of this report
 - ii. to note that a full draft consultation will be presented to P&R Committee in November and to agree that P&R will determine the final consultation
 - iii. to agree the timetable as set out below, including the dates of the public consultation

3.0 REASON FOR RECOMMENDATIONS

- 3.1 To ensure proper process is in place to develop the Financial Strategy.

4.0 SIGNIFICANT RISKS

- 4.1 When presented to Council, the Financial Strategy and budget proposals for 2022-23 will contain a full risk and impact assessment highlighting all relevant mitigating controls.

5.0 POLICY CONTEXT AND 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.

6.0 REPORT DETAILS

Introduction

- 6.1 Appendix 1 sets out the content of RDC's Financial Strategy 2021-25, as agreed by Council in February 2021 and then updated again to include more recent and relevant information where available. The Strategy is effectively a live document which at certain points is agreed to ensure that budgets can be set.
- 6.2 On 21 July 2021, the government announced that the county, district and borough councils in North Yorkshire will be replaced by a new unitary council. It is expected that the new council will begin to operate on 1 April 2023. This therefore means that the 2022/23 budget for Ryedale District Council will be its last.
- 6.3 This clearly has implications for the period covered by the existing Financial Strategy and removes the need for a budget beyond next financial year. However the council is obligated to hand over its affairs to the new organisation in the best state it can and this means continuing to tackle known budgetary issues.
- 6.4 The financial implications of the LGR are not yet fully understood but there will continue updates to members as the next few months' progress. It is likely that locally agreed protocols on spending for all councils will be put in place to ensure that the new council is aware of financial issues that will impact on it. However the decision and other agreements do not affect the requirement on Ryedale District Council to set a legal budget for 2022/23 that addresses the Council's aims and objectives. It is also likely that all existing councils will be expected to contribute to the costs of the reorganisation.
- 6.5 A proposed timetable is set out below which notes additional communications with members over the next few months. That timetable is intended to be consistent with the need to continuously review and revise the Strategy as information emerges and is agreed by Members around funding, cost pressures and potential savings. The budget setting process culminates in final decisions being taken by members early in the new year.
- 6.6 The approach also contains a Commercial Strategy which was agreed last year as a key driver to deal with future financial pressures but which now also needs to reflect the changed circumstances
- 6.7 The budget process begins in earnest in August although preparatory work within the Finance Team began in July. The need for public consultation (consultation with ratepayers is a statutory requirement) and the lead in time for Policy & Resources mean that to enable full engagement with Policy & Resources members, Senior Management Board, Service and Budget Managers, the process needs to begin as

soon as final accounts work is complete. That said, budget managers will consider their future budget requirements as part of service planning and in reality budgeting should be an ongoing process informed by in-year budget management and horizon scanning.

- 6.8 The annual process is the opportunity for Budget Managers to refine and collate detailed proposals for consideration by senior management and members and ultimately for inclusion in the Council's budget for the coming year.
- 6.9 The table below sets out the timetable that will ensure we meet targets and undergo due process in setting a budget.

Annual Budget proposed timetable

| Who? | When? | What? |
|---|---------------------------|--|
| Finance | By end of August | Preparatory work – key messages re approach and process ; pay budgets rolled forward based on approved establishment and budgets updated for inflation where appropriate (pay/contracts/utilities) Ongoing assessment of impact of COVID-19 |
| Management Teams/Budget Managers (with support from Finance in high risk areas) | August - October | Detailed budget requirements including savings, commitments, growth, strategic programmes. |
| P&R | 23 September | Consideration of Financial Strategy and intended timescales |
| Council | 7 October | Consideration of Financial Strategy and intended timescales |
| Members | October | Council Plan briefings |
| P&R | 11 November | Updated Financial Strategy including any initial proposals and prioritisation, Q2 monitoring and agree Public Consultation. |
| Public Consultation | 15 November – 13 December | |
| Council | 2 December | Updated Financial Strategy including any initial proposals and |

| | | |
|--------------------|------------------|--|
| | | prioritisation, Q2 monitoring and agree Public Consultation. |
| Members Briefing | December/January | Public Consultation results and other LGR finance issues – may be part of a general LGR briefing |
| Policy & Resources | 3 February | Budget and Council Tax proposals agreed for submission to Council |
| Council | 17 February | Formal budget and council tax setting |

Public Consultation

- 6.10 Appendix 2 sets out a suggested list of areas for public consultation on the budget which will inform the decisions members will take in setting the budget. Members are asked to comment on this.
- 6.11 This feedback will be considered when drawing up the final consultation document. It is suggested that the consultation runs from Monday 15th November 2021 until Monday 13th December 2021, subject to agreement from P&R committee on 11 November.

7.0 IMPLICATIONS

- 7.1 The following implications have been identified:
- a) Financial
Financial implications are explained throughout this report
 - b) Legal
There are no legal implications regarding this report.
 - c) Other
None to report, although in any report to Committee and Council, it will be noted that any proposals which may impact on Equalities, Staffing, Planning, Health & Safety, Climate Change, Environmental, Crime & Disorder will be assessed as part of the budget process.

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Background Papers:

Report to Full Council 10 September 2019
 Report to Full Council 18 February 2021

RYEDALE
DISTRICT
COUNCIL



FINANCIAL STRATEGY

2021-25

FINANCIAL STRATEGY

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Main Report

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Appendices (will be added at relevant stages of process):

- 1: Pay Policy 2022/23
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- 7: General Fund Summary – for council report
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1. Introduction

- 1.1 The Council's Financial Strategy provides the financial framework to deliver the Council Plan.
- 1.2 It aims to provide financial sustainability, resilience and capacity for the Council in pursuing its objectives and secure the resources necessary to deliver the Corporate Plan, whilst managing the funding cuts we are facing.
- 1.3 The Financial Strategy sets out the overall approach in which detailed proposals and actions will be developed and considered when agreeing the annual budgets. This is normally over a four-year period and although the Council is likely to cease to exist after April 2023, this timescale continues to be reflected in the Strategy to provide information to the planning of the successor council.
- 1.4 This Strategy is a live document and as such will be updated as when further information becomes available – such as the expected financial settlement in December 2021.
- 1.5 Any costs arising from LGR are not yet known. Against this backdrop of uncertainty the key drivers for the financial strategy remain unchanged as the pressure on Local Government finance continues.
- 1.6 The Strategy currently covers four years, from 2021 to 2025.
- 1.7 Members will be kept informed of work undertaken, including detailed briefings. This will assist the development of the budget over the period of the Strategy and especially the work required to agree a budget for 2022/23.
- 1.8 Any implications (such as Equalities, Staffing, Planning, Health & Safety, Environmental, Climate Change, Crime & Disorder) will be considered as part of this work and will be reported to Members before recommendations are made and decisions taken.
- 1.9 The Strategy has an emphasis on financial self-sufficiency - aiming to secure the resources necessary to deliver the Corporate Plan, whilst managing the funding cuts we are facing – ultimately over the long term achieving a self-sustaining financial model which sees the Council free from reliance on central government funding by raising income locally through Council Tax and Business Rates as well as through charging appropriately for services, maximising investments and commercial activity.

2. Objectives of the Financial Strategy

2.1 The Financial Strategy contains the following objectives:

1. Budgets are Prudent and Sustainable in the Long Term. The Council will aim to maintain a balanced budget by ensuring that in-year expenditure is matched by income from Council Tax, Business Rates, fees and charges and grants from government and other bodies. Funding from reserves will be used to cover one-off investments or temporary initiatives subject to a detailed business case being approved by Members.
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 with no further borrowing planned at this stage other than Finance lease arrangements. This will be kept under review to ensure optimum Financing arrangements are put in place as capital plans progress.
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 within 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.
10. The Council will seek to maximise income through a Commercial Strategy.
11. Ensure that the successor authority in North Yorkshire is made aware of the overall financial picture of RDC including future financial risks and to work with other councils in line with any local protocols agreed on financial issues.

3. Financial Assumptions

Economic Assumptions

Interest Rates

- 3.1 There were two emergency cuts in Bank Rate from 0.75% to 0.25% and then to 0.10% as a result of the coronavirus outbreak in March 2020. In the latest forecasts received from Link (the Council's treasury management advisors) rates are expected to remain at 0.1% through to 2023. However these assumptions are based upon significant uncertainties around a Brexit outcome and the ongoing impact from COVID-19 and will be closely watched.
- 3.2 The approved strategy already included a cap on investment income of £200k to protect the general fund from over reliance on treasury returns during uncertain times resulting from Brexit. However, the increased turmoil in the financial markets due to COVID-19 and resulting rates forecasts suggest that returns on cash balances will remain below this level for the foreseeable future and will be included as an on-going budget pressure.

| Investment Income | 2021/22 | 2022/23 | 2023/24 | 2024/25 |
|--------------------------|----------------|----------------|----------------|----------------|
| Average rate % | 0.25% | 0.25% | 0.25% | |
| Interest £000's | 50 | 75 | 100 | |

- 3.3 Rates will be kept under review and forecasts updated as necessary.

Pay and Price Inflation

- 3.4 Provision for the public sector pay award for 2022/23 onwards 2% will be assumed.
- 3.5 As at July 2021 CPI inflation was running at 2.0%. However, it remains to be seen how the economic uncertainties and issues with supply chains caused by the UK's exit from the European Union and the ongoing impact of COVID will reflect on the outlook for the economy and inflation. The Monetary Policy Committee sets policies to meet the 2% CPI target and expects rates to rise over the next two years although the effects of COVID and Brexit mean on-going uncertainty. The MTFS assumptions on inflation therefore range from 1.5% to 3.5%, although inflation will only be provided on contractual budgets, staff pay and income.

Settlement Funding

- 3.6 This element of funding has seen the most significant changes in recent years following the localisation of Business Rates and Council Tax Support.
- 3.7 As at September 2021, the figures in this paper use the assumptions as per the budget agreed by Council in February 2021. These will be updated as and when further information is made available.

Business Rates Retention

- 3.8 The Council was part of a successful bid for 2019-20, which included councils in West Yorkshire as well as our colleagues in the North Yorkshire pool and the City of York. This has not continued into 2021/22, in agreement with the other local authorities in the pool.
- 3.9 As at September 2021, the figures in this paper use the assumptions as per the budget agreed by Council in February 2021. These will be updated as and when further information is made available.

New Homes Bonus

- 3.10 New Homes Bonus (NHB) is an incentive scheme which rewards housing growth. It provides 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 scheme is funded partly by the Government and also by top-slicing the Local Government funding settlement. Ryedale achieved £1.676m p.a. when the scheme reached maturity for 2016/17 (year 6 of the scheme).
- 3.11 However, the Government's evaluation of NHB and consultation early in 2016 resulted in it being scaled back to a 4 year scheme with a 0.4% growth threshold – for 2020/21 £835k was received.
- 3.12 New Homes Bonus funding is only currently secured to 2019-20 and it was anticipated that this scheme would be replaced in its entirety from 2020/21 with the Government considering alternative ways to incentivise housing growth. However, NHB did continue in 2020/21 and our previous Financial Strategy currently assumed that this would phase out over the next two years with £475k estimated for 2021/22 and £275k for 2022/23. Figures expected for future years are now £619k in 2021/22 and £157k the following year
- 3.13 The use of this funding in recent years is shown in the table below. The revised Financial Strategy assumes that all of the grant will now be used to support additional spend in the budget on areas such as economic development and housing. This was highlighted in previous versions of the Strategy.

| Year | NHB £000 | Revenue Support £000 | Capital Support £000 | Balance £000¹ |
|----------------------|-----------------|-----------------------------|-----------------------------|---------------------------------|
| 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 (received) | 964 | 0 | 188 | 776 |
| 2019-20 (received) | 861 | 0 | 188 | 673 |
| 2020/21 (due) | 835 | 121 | 0 | 714 |
| 2021/22 (estimate) | 619 | 619 | 0 | 0 |
| 2022/23 (estimate) | 157 | 157 | 0 | 0 |

¹ Allocated to NHB Reserve

Special and Specific Grants

3.14 As part of the Settlement, the government introduced some additional grants for 2021/22. These are set out below and included in the overall figures in section 7.

- Lower Tier Services Grant (£70k). This is our share of a new un-ringfenced funding of £111m to English councils with responsibility for services such as homelessness, planning, recycling and refuse collection and leisure services. The grant contains a one-off minimum funding floor, so that no council – either upper or lower tier – will have less funding available in 2021-22 than this year.
- Local Council Tax Support Grant (£75k)
- Local Tax Income Guarantee (£127k next year). This is to help compensate councils for lost council tax and business rates income and helps to offset the losses over three years.
- COVID-19 Support Grant (£260k)
- Section 31 Multiplier Cap Compensation (£84k)

3.15 The expected negative RSG (£120k) has not deducted and the draft settlement has also confirmed the continuation of Rural Services Delivery Grant.

3.16 These grants are not at this stage expected to continue into 2022/23 and the figures in the Strategy reflect that assumption.

Pensions

3.17 The Council's employers' contribution rate for the North Yorkshire Pension Fund is set every 3 years based upon actuarial assumptions and investment expectations. Like many other Councils Ryedale's pension fund now has an estimated surplus of £8.7m at 31 March 2019 when the last valuation was undertaken. The employers' rate is designed to cover future service costs and a contribution towards the historic deficit, which aims to balance the fund over the long term. Changes to the scheme benefits have also been introduced in order to reduce the costs of future pension payments.

3.18 The triennial valuation took place last year and has set employer contribution rates for the next three years. These show a reduced expectation to the tune of £81k, £144k and £148k over the period 2020-23. As agreed last year, the Strategy assumes that this headroom will be held in reserve to assist any negative of the next valuation in future years.

Debt Charges

3.19 Management of the Council's debt is governed by the Treasury Management Strategy and Prudential Indicators which aim to ensure the Council's capital expenditure plans are prudent, affordable and sustainable, with decisions on borrowing taken in light of spending plans and available funding, cash flow needs and interest rates (current and future forecasts).

- 3.20 Borrowing enables the Council to spread the cost of capital expenditure over time. Generally speaking it gives rise to 2 charges against the revenue budget: Minimum Revenue Provision (MRP) and interest payable on debt.
- 3.21 MRP is an amount set aside to repay debt in accordance with the approved policy within the Treasury Management Strategy. The current policy is to charge MRP for assets included within the debt liability over the useful life of the asset or finance lease term. The current annual charge to General Fund balances is £35k. At this stage, it is anticipated that MRP changes will be reviewed as the Housing Programme progresses, in line with any internal borrowing used to fund scheme costs.
- 3.22 The Council has resolved to fund the current capital programme through the use of grant funding and reserve balances, (with the exception of Finance Leases), thus removing the need to borrow. However, should this position change, the current environment of low returns on cash investments means that it is more favourable to borrow internally (i.e. use available cash earmarked for future spend) than take out new external borrowing. This will be kept under review as part of monitoring the Council's Treasury activities.

4. Commercial Strategy

- 4.1 A key driver for the Council's Commercial Strategy is future financial pressures and a need to plug a likely funding gap in the years to come or to fund investment in services, and to look at how the Council can become self-sufficient other than where specific grants are allocated by central government.
- 4.2 Alongside this is a requirement to ensure that the Council provides the best value for money to the people of Ryedale.
- 4.3 Commercial opportunities can have a positive impact on the Council and the area by:
- Developing the portfolio of services provided by the Council and making it a more attractive place to work
 - Generating additional income which, in addition to plugging any financial gap, can be used to invest in services
 - Working more closely with business and ensuring the Council is a key player in ensuring that we maximise the economic potential of our area and achieve our strategic outcomes across our communities
- 4.4 The Financial Strategy included a number of income targets over the next few years and these have been revised due to the impact of the pandemic.

5. Council Tax

- 5.1 The Council Tax Base in 2021/22 is 21,801 (a reduction from 22,062 the previous year) and the Strategy previously estimated a 1% rise forecast thereafter. Every 0.5% increase above this level would add approximately 110 Band D equivalents to our Tax Base which equates to just over £22k p.a. at the current Band D charge. The full 1% increase will provide £45k.
- 5.2 The Strategy assumes that in 2022/23 central Government will allow district councils to increase their Band D charge by 2% or £5 whichever is the highest, without triggering a referendum. Our assumptions are that this will be 2% or £5 per annum in future years.
- 5.3 The impact of such an increase would be to provide a further £109k of funding.

6. Reserves and Balances

- 6.1 The Local Government Act 2003 places a specific duty on the Chief Finance Officer (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.
- 6.2 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.
- 6.3 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.
- 6.4 The Council's policy is to maintain its contingencies, balances and reserves at levels that are prudent but not excessive. With the outlook for the years after 2020/21 and beyond currently uncertain, 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.
- 6.5 It has been assumed in the past that General Balances are **not** used to support the revenue budget but may be used for temporary or on-off costs – although such costs will be clearly managed and agreed through the use of the Strategic Reserve. In 2021/22, specific amounts were set aside for the following:
- one-off COVID costs (£787k, as set out below)
 - potential costs of Brexit (£50k)
 - original capital budget (£4,456k; see section 9 below)
 - carried forward capital funding (£1,577k; section 9 below)
 - support for the revenue budget (£180k)
 - Livestock Market (£1,500k)
 - Credit Union (£500k)
 - Additional support for Milton rooms (£307k)
 - Community facilities in Pickering (£200k)
- 6.6 General Balances are funding of last resort. Taking account of the size of the Council's revenue budget and risks being managed, a minimum working balance of £1m would seem appropriate.
- 6.7 At 1 April 2021 reserve balances were £16.2m revenue and £456k capital receipts.

6.8 A current list of reserves and balances is shown in the table below. Excluding capital receipts, these would be expected to fall to £5.4m by the end of the current financial year, should planned use happens. This is a significant reduction and details are included below.

Original planned use of reserves 2021/22

| £000s | 31.03.21 | | | | | | | | 31.03.22 |
|--------------------------------------|----------|-----------------|------------------|-----------------|-------------------|---------------------|-----------|-----------------|----------|
| | | original use | capital c/fwd | credit union | original COVID | livestock market | Pickering | Milton Rooms | |
| General Reserve | 3,981 | | | -500 | -787 | | | | 2,694 |
| Capital Fund | 5,405 | -4,456 | -1,577 | | | -1,500 | -200 | -307 | -2,635 |
| Election Reserve | 7 | 30 | | | | | | | 37 |
| New Homes Bonus Reserve | 3,582 | 0 | | | | | | | 3,582 |
| Collection Fund Equalisation Reserve | 837 | -600 | | | | | | | 237 |
| Pensions Reserve | 81 | 225 | | | | | | | 306 |
| Council Tax Hardship | 77 | -77 | | | | | | | 0 |
| COVID grants Reserve | 99 | -99 | | | | | | | 0 |
| Strategic Reserve | 2,133 | -965 | | | | | | | 1,169 |
| | 16,204 | -5,942 | -1,577 | -500 | -787 | -1,500 | -200 | -307 | 5,390 |
| Capital Reserves: | | | | | | | | | |
| Capital Receipts | 421 | | | | | | | | 421 |
| Total Capital Reserves | 421 | 0 | | | | | | | 421 |
| Total Reserves | 16,625 | -5,942 | -1,577 | -500 | -787 | -1,500 | -200 | -307 | 5,811 |

Planned use of reserves 2022-25

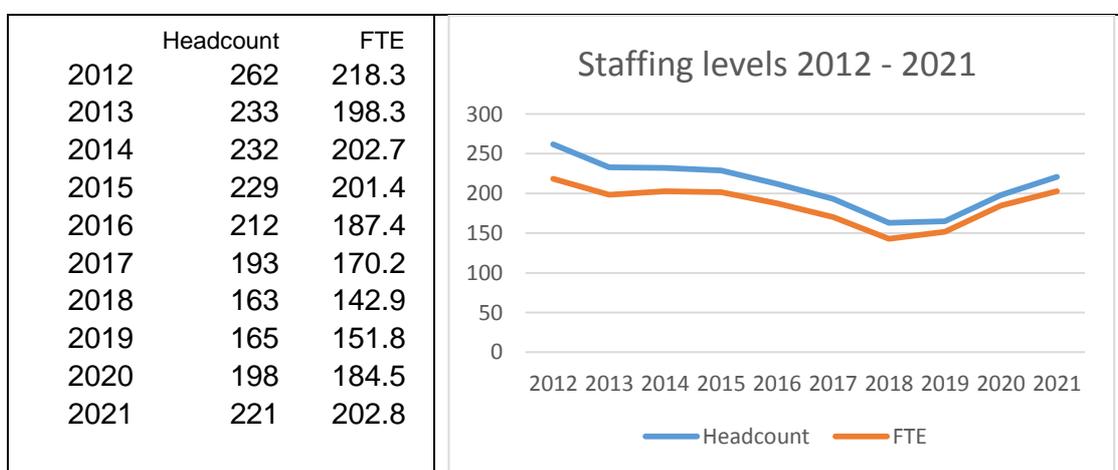
| £000s | 31.03.22 | 31.03.23 | | 31.03.24 | | 31.03.25 | |
|------------------------------|----------|----------|--------|----------|--------|----------|--------|
| | | In-year | | In-year | | In-year | |
| General Reserve | 2,694 | 0 | 2,694 | 0 | 2,694 | 1 | 2,695 |
| Capital Fund | -2,635 | -1,166 | -3,800 | -125 | -3,925 | -110 | -4,035 |
| Election Reserve | 37 | -90 | -53 | 30 | -23 | 30 | 7 |
| New Homes Bonus Reserve | 3,582 | 0 | 3,582 | 0 | 3,582 | 0 | 3,582 |
| Collection Fund Equalisation | 237 | -237 | 0 | 0 | 0 | 0 | 0 |
| Pensions Reserve | 306 | 273 | 579 | -579 | 0 | | 0 |
| Council Tax Hardship | 0 | | 0 | | | | |
| COVID grants Reserve | 0 | | 0 | | | | |
| Strategic Reserve | 1,169 | -1,226 | -57 | -1,539 | -1,596 | -1,487 | -3,083 |
| | 5,390 | -2,446 | 2,945 | -2,213 | 732 | -1,566 | -834 |

7. Budget Outlook 2021/22 – 2024/25

- 7.1 The 2019/20 budget was the first in a number of years where a large underspend or contingency was not set as part of the overall revenue budget and this continued in 2020/21. This means that the Council has gone from a £2.1m underspend in 2017/18 and £1.4m underspend in 2018/19, to a small surplus of £31k in 2019/20. This is an ongoing process and work continues across the Council to ensure that budgets are allocated at appropriate levels.
- 7.2 However in 2020/21 (and continuing into 2021/22), the costs on the Council of COVID have had a significant and detrimental effect on the revenue budget. The outturn position for 2020/21 was a deficit of £345k and this was largely due to COVID-related costs of £1.6m partially offset by government grants of £1.2m.
- 7.3 In 2021/22, the Council allocated £787k from reserves and at Q1 we reported that spending was on track for a balanced budget.
- 7.4 Work continues to identify as best as we can the ongoing impact of Covid and other significant policy changes including EU transition and potential local government reform on the revenue budget in future years. This includes:
- Business Rates income reduction
 - Council Tax income reduction
 - Other lost income
 - Additional staffing costs to enable the delivery of new services and functions legislated by Government, increased workload as a result of a growth in service demand for existing services (e.g. benefits) and /or requirements around Covid-secure compliance, which includes social distancing. At the same time we will take account of any cost increases and reductions that are arising through revised working arrangements.
- 7.5 In general, it is assumed that on average costs will increase in line with inflation.

Employee Costs

- 7.6 The single largest cost to the Council is its employees. In 2021/22 the Council's budget for all employee costs is around £9.8m. Over the past few years staffing levels have returned to the levels of previous years, as shown below.



- 7.7 However some of the staffing is temporary and additional demands such as COVID, preparation for LGR and implementation of the Council Plan and other member priorities have added pressure to workloads and there is a risk that performance will dip unless some projects are discontinued. This issue will be picked up further below
- 7.8 Salary budgets are set at mid-point of scale with no vacancy factor.
- 7.9 The budget includes costs to other organisations – such as NYCC – which replace direct staffing costs. Estimated costs in 2021/22 are shown below. It should be noted that in most cases these are not additional costs, however additional funding is included for finance, Health & Safety and Human Resources.

| Service | Organisation | Budget £000s |
|----------------------|---|-----------------|
| Finance Resource | NYCC | 206 |
| Legal Resource | NYCC | 117 |
| HR Resource | NYCC | 104 |
| Employment Support | NYCC | 39 |
| Resourcing Solutions | NYCC | 31 |
| Health & Wellbeing | NYCC | 16 |
| Collection Fund | NYCC | 5 |
| Cleaning Services | NYCC | 54 |
| Procurement | NYCC | 77 |
| Safeguarding | SBC | 4 |
| Housing | The York, North Yorkshire & East Riding Strategic Housing Partnership | 12 |
| Health & Safety | NYCC | 47 |

Budget Gap

- 7.10 The Financial Strategy agreed by Council in February 2021 noted that while the 2021/22 budget balanced through use of reserves, there remained future funding gaps as below:

| | |
|----------|---------|
| 2021/22: | £0k |
| 2022/23: | £1,226k |
| 2023/24: | £1,539k |
| 2024/25: | £1,487k |

- 7.11 The following paragraphs will set out the changes required to the budget from that position.

Pressures

- 7.12 Work will be undertaken over the next few weeks and months to determine the budget pressures which members are willing to recognise and agree as part of the budget. These will include

- Continuing Impact of COVID on costs and income

- Staffing capacity to ensure that the council plan and other priorities are delivered
- LGR transition costs

7.13 A number of one-off capacity issues were agreed in 2021/22 to support the council's management of COVID and these are currently not factored into the budget beyond September 2021. Some of these areas include staffing costs as highlighted in bold below.

| | Budget £000 |
|---|----------------|
| Stand-by payments | 25 |
| Reduction in investment income | 150 |
| Additional Vehicle Hire (Streetscene) | 23 |
| Loss of car park income | 155 |
| Loss of catering income | 10 |
| Additional finance resources | 50 |
| Ryecare Income | 8 |
| Procurement savings not achieved | 50 |
| Streetscene (reduction of income, offset by reduction in diesel, etc) | 73 |
| Customer Services Staff | 90 |
| COVID Grant Revenue Officers | 25 |
| COVID Marshall | 12 |
| Online meetings | 25 |
| Covid-secure workplace adjustments including PPE | 45 |
| Support for Vol and Community sector incl additional grant allocation | 25 |
| COVID implementation and coordination arrangements | 22 |
| | <u>787</u> |

Savings

7.14 A number of savings were identified and built into the budget. The most significant is an expectation of savings on contracts delivered through improved procurement and management of contracts. In the current year, the target was £100k although £50k of this was offset due to COVID. The current target for 2022/23 is a further £200k, increasing the total to £300k, Work is currently being undertaken to ascertain whether this will be achieved in the current circumstances.

7.15 Other savings (excluding the transfer of pension charges as set out above in 3.18) are:

| | £000s |
|-------------------------|----------------------|
| Recycling - Green Waste | -13 |
| Car Park Income | -15 |
| Pest Control | <u>-5.73</u> |
| Total | <u><u>-33.73</u></u> |

7.16 Similarly work will be undertaken to reassess these and reported back to members in November.

Fees, Charges and Income Generation

7.17 Fees and charges have generally been increased in line with inflation, up to 4%, however there are some specific service areas that are exceptions to this:

- Pest Control: it is anticipated that charges will be increased at a higher level to ensure the service is not subsidised
- Green Waste, these have been frozen since 2017/18 at £38 per licence
- Catering at Ryedale House. Additional targets were included in last year's budget for the service to break even and these remain in the proposals

8. Revenue Summary

8.1 This section of the Strategy sets out the revised budget forecast. This will continue to be revised over the following months.

8.2 At this stage (September 2021), the latest figures are, as below, those agreed by Council in February 2021.

| | 2021/22 | 2022/23 | 2023/24 | 2024/25 |
|---------------------------------------|--------------|--------------|--------------|--------------|
| Base Budget - starting point | 7,909 | 8,503 | 8,434 | 8,614 |
| Pressures identified | 971 | 304 | 213 | 213 |
| Savings | -377 | -372 | -34 | 0 |
| One off revenue budgets from reserves | 842 | 0 | 0 | 0 |
| | <u>9,345</u> | <u>8,434</u> | <u>8,614</u> | <u>8,827</u> |

Planned Contributions to Reserves

Contributions from revenue account

Capital Fund

BR Collection Fund Equalisation Reserve

| | | | | |
|--|-----|-----|----|----|
| District Election | 30 | 30 | 30 | 30 |
| Strategic Reserve | 0 | 0 | 0 | 0 |
| Pensions Reserve | 225 | 373 | 0 | 0 |
| Transfer additional Council Tax to Strategic Reserve | 0 | 0 | 0 | 0 |

Allocation of New Homes Bonus

| | | | | |
|----------------|---|---|---|---|
| To NHB reserve | 0 | 0 | 0 | 0 |
| Capital Fund | 0 | 0 | 0 | 0 |

Planned Use of Reserves

| | | | | |
|---|--------------|--------------|--------------|--------------|
| BR Collection Fund Equalisation Reserve | -600 | -434 | 0 | 0 |
| One-off COVID Contingency | -787 | | | |
| District Election | | -120 | 0 | 0 |
| Strategic Reserve | -55 | 0 | 0 | 0 |
| Support to Revenue Budget | -180 | 0 | 0 | 0 |
| | <u>7,978</u> | <u>8,283</u> | <u>8,644</u> | <u>8,857</u> |

Funded By:

REVENUE FINANCING

Local Income

| | | | | |
|--|--------|--------|--------|--------|
| Council Tax | -4,483 | -4,638 | -4,795 | -4,956 |
| Council Tax Collection Fund (Surplus) / Deficit | 42 | 43 | 43 | 0 |
| Business rates retained growth | -200 | 0 | 0 | 0 |
| Business rates pool dividend | 0 | 0 | 0 | 0 |
| Business rates renewable energy | -32 | 0 | 0 | 0 |
| Business Rates Collection Fund (Surplus) / Deficit | 142 | 142 | 142 | 0 |

Gov't Grants

| | | | | |
|---|--------|--------|--------|--------|
| Settlement Funding - Business Rates | -1,639 | -1,663 | -1,696 | -1,730 |
| S31 Grant - Multiplier Cap compensation | -84 | -85 | -87 | -89 |
| Revenue Support Grant | 0 | 0 | 0 | 0 |
| Lower Tier Services Grant | -70 | 0 | 0 | 0 |
| Local Council Tax Support Grant | -75 | 0 | 0 | 0 |

| | 2021/22 | 2022/23 | 2023/24 | 2024/25 |
|-------------------------------|----------------|----------------|----------------|----------------|
| Covid -19 Support Grant | -260 | 0 | 0 | 0 |
| Tax Income Guarantee Scheme | -127 | -127 | -127 | |
| Rural Services Delivery Grant | -572 | -572 | -584 | -595 |
| New Homes Bonus | -619 | -157 | 0 | 0 |
| Other grants | 0 | 0 | 0 | 0 |

| | | | | |
|--|---------------|---------------|---------------|---------------|
| TOTAL EXTERNAL RESOURCES - Option 2 | -7,977 | -7,058 | -7,105 | -7,370 |
|--|---------------|---------------|---------------|---------------|

| | | | | |
|-----------------------------------|----------|--------------|--------------|--------------|
| Budget (Surplus) / Deficit | 0 | 1,226 | 1,539 | 1,487 |
|-----------------------------------|----------|--------------|--------------|--------------|

| Council tax estimates | | | | |
|------------------------------|--------|--------|--------|--------|
| Base | 218.01 | 220.19 | 222.39 | 224.62 |
| Band D | 205.63 | 210.63 | 215.63 | 220.63 |

9. Capital Programme

9.1 The Capital Programme as agreed by Council and updated for carry-forwards is set below. This will be revised over the next few weeks and months and include a final year's capital programme for Council to agree at the Annual Budget meeting.

9.2

| All figures are £000s | 2021-22 | future years | total |
|--|----------------|-------------------------|---------------|
| Vehicle Replacement | 1,788 | 821 | 2,609 |
| IT Infrastructure | 477 | | 477 |
| Affordable Housing | 2,455 | 2,784 | 5,239 |
| Disabled Facilities Grants | 496 | 1,488 | 1,984 |
| Community Housing Fund | 289 | | 289 |
| Car Park Action Plan | 50 | 100 | 150 |
| Industrial Units - new development | 2,290 | | 2,290 |
| Milton Rooms: grant towards building works | 193 | | 193 |
| Milton Rooms: ringfenced for business case | 307 | | 307 |
| Livestock Market | 1,500 | | 1,500 |
| Ryedale House - Covid-safe Adjustments | 55 | | 55 |
| Malton and Norton Infrastructure | 350 | | 350 |
| Community Facilities in Pickering | 200 | | 200 |
| Flooding Contingency | 100 | | 100 |
| Milton Rooms - Property Condition | 216 | | 216 |
| Former Waste Transfer Site | 65 | | 65 |
| Car Parks | 30 | | 30 |
| Street Lights | 201 | 120 | 321 |
| Other projects | 272 | 210 | 482 |
| | 11,333 | 5,523 | 16,856 |
| <u>Funded by</u> | | | |
| External Funding | 1,747 | 3,266 | 5,014 |
| Leases/Internal borrowing | 1,508 | 856 | 2,364 |
| Capital Receipts/Debtors | 37 | | 37 |
| Reserves | 8,040 | 1,401 | 9,441 |
| | 11,333 | 5,523 | 16,856 |

9.3 All new schemes are reviewed against the Council priorities and a detailed assessment of deliverability is undertaken prior to consideration by Council. This methodology is 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.

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

- 9.5 The Council will continue to work 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.
- 9.6 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.
- 9.7 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.
- 9.8 The revenue implications of funding the capital programme will be built into the medium-term financial forecasts.

APPENDIX 2

Suggested Headings in Public Budget Consultation pack

Summary of financial Position, noting:

- Like others, the Council has had to take action to ensure that we stay within budget and it is likely that our funding will reduce further in future years. As we are limited in how much we can increase Council Tax, we are constantly looking at ways we can work more efficiently.
- Although we are the authority who send you the annual Council Tax bill, we only keep 11% of the money we collect. The other 89% is split between:
 - North Yorkshire County Council 71%
 - North Yorkshire Police 14%
 - North Yorkshire Fire and Rescue Service 4%
- A comparison² of the different responsibilities of the County, District and Parish Councils, as below:

| County Councils | District, borough and city councils | Parish, community and town councils |
|------------------|-------------------------------------|--|
| education | rubbish collection | allotments |
| transport | recycling | public clocks |
| planning | Council Tax collections | bus shelters |
| social care | housing | community centres |
| libraries | trading standards | play areas and play equipment |
| waste management | | consultation on neighbourhood planning |
| | | They also have the power to issue fixed penalty fines for things like: <ul style="list-style-type: none"> • litter • graffiti • fly posting • dog offences |

² <https://www.gov.uk/understand-how-your-council-works>

- Where does our money come from?
- What is the money spent on?

Suggested topics for consultation

- Council Tax level: does it provide value for money? Do you agree that the proposed limits are reasonable?
- Opinion on various services provided by RDC
- Charging for Discretionary Services provided by Ryedale
- What can the Council do to help you more – especially as we cope with and recover from the effects of Coronavirus?
- What should the Council's priorities be in its last financial year of operation?



| | |
|-------------------------|--|
| PART B: | RECOMMENDATIONS TO COUNCIL |
| REPORT TO: | POLICY AND RESOURCES COMMITTEE |
| DATE: | 23 SEPTEMBER 2021 |
| REPORT OF THE: | PROGRAMME DIRECTOR, ECONOMIC DEVELOPMENT, BUSINESS AND PARTNERSHIPS PHILLIP SPURR |
| TITLE OF REPORT: | A64 UPDATE |
| WARDS AFFECTED: | ALL |

EXECUTIVE SUMMARY

1.0 PURPOSE OF REPORT

1.1 The purpose of this report is to:

- make a recommendation to Council as to whether RDC wishes to reaffirm its support for the dualling of the A64 between York and Scarborough, as well as other improvements in between; and
- make a recommendation to Council as to whether RDC calls on the Chair of the Policy and Resources Committee to work with Officers, other local authorities, business leaders and MPs to ensure dualling takes place as quickly as possible

2.0 RECOMMENDATIONS

2.1 It is recommended that:

- (i) Policy and Resources Committee advises Council whether it recommends that Council reaffirms its support for the dualling of the A64 between York and Scarborough, as well as other improvements in between; and
- (ii) Policy and Resources Committee advises Council whether it wishes the Chair of the Policy and Resources Committee to work with Officers, other local authorities, business leaders and MPs to ensure dualling takes place as quickly as possible

3.0 REASON FOR RECOMMENDATION(S)

- 3.1 At the full Council meeting held on 5th July 2021 the following Motion was submitted by Cllr Duncan, seconded by Cllr Goodrick:

“This Council wishes to reaffirm the 22-5 decision taken on June 27, 2019 in relation to support for dualling the A64 between York and Scarborough, as well as other improvements in between. The Council calls on the Chairman of Policy and Resources to work with our Officers, other local authorities, business leaders and MPs to ensure dualling takes place as quickly as possible.”

- 3.2 The purpose of this report is to secure recommendations on the Motion from the Policy and Resources Committee which can be made to the full Council meeting to be held on 7th October 2021.

4.0 SIGNIFICANT RISKS

- 4.1 Proposals to upgrade and dual the A64 have been of interest to RDC and the communities and businesses of Ryedale for some considerable period of time. The exploratory work which is currently being undertaken, led by Highways England (HE), will inform a Department for Transport (DfT) decision on whether enhancement works will be progressed. As a key stakeholder RDC’s view on the proposals will carry important weight.
- 4.2 The dualling of the A64 is expected to generate significant economic benefits for the district, but it is recognised that construction and use will have environmental impacts. These issues will be assessed by HE in its project development work.

5.0 POLICY CONTEXT AND CONSULTATION

- 5.1 The Council Plan 2020 – 2024 sets out a vision of Ryedale as ‘A great place to live, work and visit, which is culturally unique, environmentally sustainable and supports connected communities to thrive. [Ryedale will] have a strong rural economy, with world-class assets and new jobs linked to growth including bio-renewables, food, farming, agriculture, the visitor economy and carbon reduction technologies.’
- 5.2 The Plan identifies key priorities focussed on building strong, inclusive and attractive communities; harnessing Ryedale’s unique economy to deliver growth, homes and jobs; and ensuring that the district is a sustainable, safe and clean place.
- 5.3 Within the economic priority of the Plan improving road and rail connectivity to unlock economic growth is identified as an important activity, with working ‘with partners to improve the A64’ specifically highlighted as a key initiative. Within the environment theme, in line with the Council’s declared Climate Change Emergency, it is recognised that measures are required to reduce the district’s carbon footprint through regional and local initiatives.
- 5.4 At its meeting on 27th June 2019 in response to a Motion which highlighted that “Poor road connectivity is holding Ryedale back, suppressing wages and stunting economic growth. Our only strategic road, the A64, is “significantly stressed” according to Highways England”, Council resolved to:
- (i) renew its commitment to the dualling of the A64 between York and Scarborough and other improvements in between

- (ii) urgently request that the Leader of Council, the Deputy Leader of Council and officers work with local authorities, business leaders and MPs to pull together the strongest case [to progress plans for dualling the A64].

6.0 REPORT DETAILS

6.1 Background – Council Motion

- 6.2 At the full Council meeting held on 5th July 2021 the following Motion was submitted under Procedure Rule 11:

“This Council wishes to reaffirm the 22-5 decision taken on June 27, 2019 in relation to support for dualling the A64 between York and Scarborough, as well as other improvements in between. The Council calls on the Chairman of Policy and Resources to work with our Officers, other local authorities, business leaders and MPs to ensure dualling takes place as quickly as possible”.

- 6.3 Under Procedure Rule 11.4 the Motion was automatically referred to the Policy and Resources Committee for consideration - this report.

6.4 Background – Council/Committee Decisions

- 6.5 The upgrading the A64 has been an issue of interest to RDC for some considerable time, and has been considered by full Council/committee on a number of previous occasions.

- 6.6 At the Policy and Resources Committee meeting held on 13th February 2014 it was agreed (minute number 62) that RDC would enter into a Memorandum of Understanding with partners including the York and North Yorkshire Local Enterprise Partnership, other local authorities (including City of York, Scarborough BC, and NYCC), and Highway England to ‘establish a framework for effective co-operation to enable the development and implementation of a long term programme of improvements for the A64 trunk road between York and Scarborough.’

- 6.7 At the full Council meeting held on 14th April 2016 the Ryedale Economic Action Plan was adopted (minute number 98), which identified A64 dualling from Hopgrove to Barton Hill as a priority economic project for delivery from 2020 onwards.

- 6.8 At the full Council meeting on 27th June 2019 in the context of an imminent DfT decision on investment priorities a Motion was put forward which identified that “Poor road connectivity is holding Ryedale back, suppressing wages and stunting economic growth. Our only strategic road, the A64, is “significantly stressed” according to Highways England.” In response to this Motion Council resolved to:

- (i) renew its commitment to the dualling of the A64 between York and Scarborough and other improvements in between.
- (ii) urgently request that the Leader of Council, the Deputy Leader of Council and officers work with local authorities, business leaders and MPs to pull together the strongest case [to progress plans for dualling the A64].

- 6.9 At the full Council meeting held on 5th July 2021 the Motion set out at s.6.2, above, was submitted, with the Motion referred to this Committee for consideration.

6.10 Scheme Overview

- 6.11 In line with the resolution agreed on 27th June 2019 that RDC work with partners order to progress a case for dualling the A64 RDC engaged with the A64 Growth Partnership, a private sector-led body comprising of business representatives, councils and the LEP focussed on securing Government support to progress plans to upgrade the A64.
- 6.12 On 11th March 2020 Baroness Vere of Norbiton, Transport Minister for Roads, Buses and Place advised that under the second Road Investment Strategy (RIS2) programme the Government would provide funding to develop a proposals to upgrade the Hopgrove roundabout/A64. This development work means that any agreed scheme “can be ready to enter the programme after 2025”. (It should be noted that whilst developmental work will be undertaken any decision on scheme delivery is still to be made.)
- 6.13 Project development work is being led by Highways England, which is examining three dualling options (as set out on slide 5 of the presentation attached at Appendix 1). On 22nd April 2021 officers from the Council’s Economic Development and Planning teams were invited to an introductory meeting with HE and their consultants, AECOM, to discuss the work to be undertaken by HE/AECOM.
- 6.14 In undertaking its work HE’s focus is on:
- improving capacity and journey times to meet future demands
 - relieving congestion, especially at weekends and holiday periods
 - improving safety on this section of the A64
 - improving accessibility for non-motorised and vulnerable users
 - supporting regeneration/economic development/regional economy
 - minimising environmental impacts
- 6.15 The outputs to be achieved are: robust public consultation; and the identification of a deliverable, affordable solution to DfT that provides value for money.
- 6.16 Officers have been seeking a follow up meeting with HE to receive an update on project progress but, at the time of completing this report (10th September 2021), no meeting has been arranged (though a meeting with the A64 Growth Partnership was held on 2nd September 2021). Should any update be received from the HE in advance of the committee meeting this will be reported verbally to the meeting.
- 6.17 Work is therefore progressing, including a public consultation process, with the intention that HE will submit its findings to the DfT in 2022 for the DfT to then determine the way forward. As a key stakeholder RDC’s view on any proposals will carry important weight in the findings put forward by HE and in the decision made by DfT on how/whether to progress the scheme to the next phase of development.

7.0 IMPLICATIONS

7.1 The following implications have been identified:

- Financial
There are no direct financial implications flowing from this report.
- Legal

There are no direct legal implications flowing from this report.

- Other (Equalities, Staffing, Planning, Health & Safety, Environmental and Climate Change, Crime & Disorder)
Whilst there are no direct implications flowing from this report environmental, economic, health and safety, and a range of other issues will be closely scrutinised by HE in the exploratory work it is currently undertaking.

Name of Head of Service **Phillip Spurr**
Job Title **Programme Director, Economic Development, Business and Partnerships**

Author: Phillip Spurr
Programme Director, Economic Development, Business and Partnerships

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Background Papers:

Appendix 1 - A64 Hopgrove Scheme PowerPoint presentation, 10th August 2021

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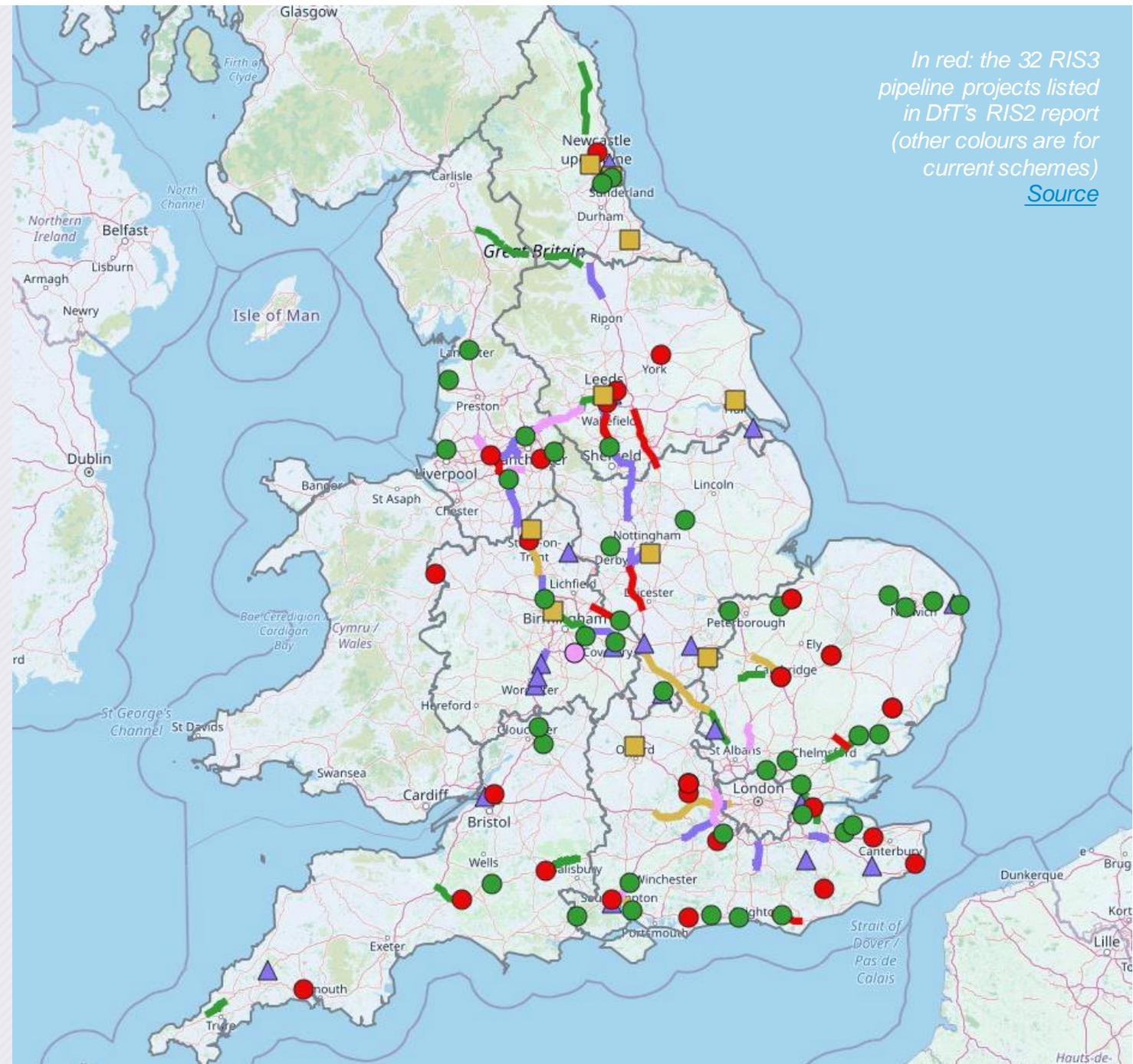
A64 Hopgrove scheme

Ryedale District Council
Update 10 August 2021



RIS3 Pipeline

- **Department for Transport (DfT)'s third Road Investment Strategy (RIS3): 2025-30.**
- £347m invested over Road Period 2 (2020-25) for the **development of future schemes**, including those in the RIS3 pipeline.
- **Highways England's goal:** look to the future to find more ways to deliver safer, smoother and more reliable journeys for our customers.
- **32 potential schemes in the RIS3 pipeline**, named in our Delivery Plan (including A64 Hopgrove scheme), identified with DfT through:
 - strategic studies
 - route strategies
 - specific areas of research
 - stakeholder engagement
- **Pipeline mission:** to provide a range of options for potential future schemes to enable ministerial decision-making, carefully progress their preferred schemes and ensure we are ready for RIS3.
- The pipeline schemes are **NOT** committed for delivery at this stage.



Scheme overview

Background

- A64 York – Scarborough sees congestion at weekends, bank holidays and peak am/pm weekdays particularly where the carriageway merges from dual to single lane
- Options have been developed to upgrade Hopgrove roundabout and dual the study area from Hopgrove to Barton-le-Willows

Work to date

- Stage 1 was carried out 2017 to 2018
- Scheme was paused at end 2018
- Stage 2 resumed in 2021



Objectives

Page 102
Improve capacity and journey time, meet future demand



Relieve congestion especially weekends and holiday periods



Improve safety on this section of A64



Improve accessibility for non-motorised & vulnerable users



Support regeneration, economic development, regional economy



Minimise environmental impacts



Options currently under consideration for further development

Hopgrove Junction Option

Junction Option 1:

Replacement of the existing Hopgrove and Malton Road roundabouts with a single elongated, signalised roundabout.

It utilises existing north and south legs of the Hopgrove Roundabout and adds an additional northbound through-movement.

A new left-turn slip lane from Hopgrove Roundabout is also included, heading north.

Hopgrove Dualling Options

Option A:

Online dual carriageway improvement. Utilises the existing alignment of the A64 dualling the existing single carriageway from a point 500m north of Hopgrove Roundabout to the Jinnah Restaurant.

Option C:

Offline dual carriageway improvement to the northwest of the existing alignment, crossing the existing alignment then re-joining the A64 at the Jinnah Restaurant.

Option D:

Offline dual carriageway improvement to the northwest of the existing alignment, joining the A64 briefly close to Scotchmans junction then re-joining the A64 at the Jinnah Restaurant.



Stage 2 Options Development: key outcome



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Identifying deliverable and affordable solutions to be recommended to the Department for Transport that provides value for money.



Find out more

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highwaysengland.co.uk/ris3pipeline
[Highwaysengland.co.uk/a64hopgrove](https://highwaysengland.co.uk/a64hopgrove)



a64hopgrove@highwaysengland.co.uk



[Highways England's Delivery Plan](#)
(pp. 47-48, and 94 for a list of schemes)



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PART B: RECOMMENDATIONS TO COUNCIL

REPORT TO: POLICY AND RESOURCES COMMITTEE

DATE: 23 SEPTEMBER 2021

**REPORT OF THE: HEAD OF COMMUNICATIONS, TECHNOLOGIES AND BUSINESS
TRANSFORMATION
LOUISE WOOD**

TITLE OF REPORT: EQUALITY POLICY STATEMENT AND OBJECTIVES

WARDS AFFECTED: ALL

EXECUTIVE SUMMARY

1.0 PURPOSE OF REPORT

1.1 The purpose of this report is to request that the Council approve a new equality policy statement and set of equality objectives for the organisation.

2.0 RECOMMENDATION(S)

2.1 It is recommended that:

- (i) Council endorses the content of the equality policy statement and objectives, so that they may be adopted into use.
- (ii) Council notes that the policy statement and objectives form one part of the overall Equality Scheme for Ryedale District Council. The other parts of this Scheme include a detailed operational action plan (currently in draft pending approval of the policy statement and objectives) and associated operational appendices. The draft action plan will be updated following P&R and presented to the Overview and Scrutiny Committee in September 2021, with progress against the action plan reviewed six monthly by that Committee.

3.0 REASON FOR RECOMMENDATIONS

- 3.1 Ryedale District Council's equality scheme is now out of date. An HR policy on Equality in Employment was adopted in March 2020, nevertheless, a more holistic scheme is still required in order for the Council to meet its obligations under the Public Sector Equality Duty, which is part of the Equality Act 2010.
- 3.2 The key strategic elements of the Equality Scheme are the policy statement, and the objectives. These determine the direction for equalities work in the Council in the period 2021 to April 2023. The input of the Policy & Resources Committee is sought on these strategic elements.
- 3.3 Once agreed, the policy statement and objectives will be operationalized through a detailed action plan, which will be reviewed through the Overview & Scrutiny Committee. An action plan has already been created as a working draft, but may be adapted in line with any amends to the policy statement and objectives, as required by the Policy & Resources Committee.

4.0 SIGNIFICANT RISKS

- 4.1 There are no significant risks associated with adopting the policy statement and objectives as set out. There is a risk that if the statement is not agreed and objectives are not set, the Council will be in breach of its duty under the Public Sector Equality Duty.

5.0 POLICY CONTEXT AND CONSULTATION

- 5.1 The Equality Statement and objectives have been developed to meet the requirements of the Equality Act 2010 and the Public Sector Equality Duty. They encompass and build upon the Equality in Employment Policy, which was adopted into use in March 2020.
- 5.2 The Equality Statement and objectives draw significantly upon the Local Government Association Equality Framework 2020, which sets out a structure for local authorities to assess and enhance their equalities position.
- 5.3 The findings of the Equalities Task Group, a sub-group of the Overview and Scrutiny Committee, have been fully taken into account in the drafting of the policy statement, objectives and the detailed draft action plan.
- 5.4 Staff views have also been taken into consideration in the preparation of the policy statement, objectives and draft action plan.

REPORT

6.0 REPORT DETAILS

6.1 The proposed equality policy statement and objectives are attached in Appendix 1.

7.0 IMPLICATIONS

7.1 The following implications have been identified:

- a) Financial
There is no direct financial implication from the adoption of the policy statement and objectives. Any resource requirement associated with the operationalization of the objectives will be considered as part of the Financial Strategy over the next few months.
- b) Legal
Adoption and publication of the equality policy statement and objectives will bring RDC into alignment with its legal responsibilities under the Public Sector Equality Duty.
- c) Equalities
The purpose of the equality statement and objectives (and supporting action plan) are to enhance the Council's position and activity around the equality, diversity and inclusion agenda, hence this is an expected outcome of the recommendations made in this paper.

Author: Louise Wood, Head of Communications, Technologies and Business Transformation
Telephone: 01653 600666 ext: 43223
Email: louise.wood@ryedale.gov.uk

Background information:

LGA Equality Framework 2020 (current) version available at:

<https://www.local.gov.uk/sites/default/files/documents/Equality%20Framework%20For%20Local%20Government%202020.pdf>

Interim report of the Scrutiny Committee Equalities Task Group available at:

<https://democracy.ryedale.gov.uk/documents/s46042/Scrutiny%20Review%20Equalities.pdf>

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**RYEDALE
DISTRICT
COUNCIL**



**POLICY STATEMENT
(forms part of Equality Scheme)**

Equality policy statement and objectives for 2021-2023

| | |
|-----------------------------------|--|
| Author | Head of Communications, Technologies and Business Transformation |
| SMB owner | Head of Communications, Technologies and Business Transformation |
| Policy reference no. | |
| Version | 1.0 |
| Status | Draft |
| Ratifying committee | Policy and Resources |
| Date ratified | [Date to be inserted on approval] |
| Date policy effective from | [Date to be inserted on approval] |
| Review cycle | 2 years |
| Review date | Not applicable. Will cease with commencement of new unitary. |

Legislative context

This document has been prepared in the context of the Equality Act 2010. The Act provides the legal framework to protect the rights of individuals and advance equality of opportunity for all. Under the Act, it is unlawful to treat someone unfairly because they belong (or someone thinks they belong) to a group of people with the following protected characteristics:

- Age
- Disability
- Gender reassignment
- Marriage and civil partnership
- Pregnancy and maternity
- Race
- Religion and belief
- Sex
- Sexual orientation

Under Section 149 of the Equality Act 2010, Ryedale District Council is required to comply with the Public Sector Equality Duty. The purpose of the Equality Duty is to ensure that public bodies consider the needs of all individuals in their day to day work – in shaping policy, delivering services, and in relation to our own workforce.

Under the Equality Duty we must give due regard to the following three aims when making decisions:

- Eliminating unlawful discrimination, harassment, victimisation and any other conduct prohibited by the Act
- Advancing equality of opportunity between people who share a protected characteristic and people who do not share it. In practice this means:
 - Removing or minimizing disadvantages suffered by people due to their protected characteristics
 - Meeting the needs of people with protected characteristics
 - Encouraging people with protected characteristics to participate in public life or in other activities where their participation is low
- Fostering good relations between people who share a protected characteristic and people who do not share it. In practice this means:
 - Tackling prejudice and promoting understanding between people who share a protected characteristic and others

Under the Equality Duty, there are specific things that Ryedale District Council must do. We must:

- Publish information to demonstrate our compliance with the general equality duty. This must include:
 - Information about people who share a protected characteristic in our workforce
 - Information about people who share a protected characteristic and who may be affected by the Council's policies and practices
- Publish one or more objectives that we wish to achieve to further equality and human rights

Our response to the Public Sector Equality Duty is set out in the following pages.

Equality policy statement

Ryedale District Council values the enriching contribution that people from all backgrounds and experiences bring to Ryedale as a place, and the Council as a body.

As a Council we oppose prejudice and discrimination, and we will take every possible step to ensure that our citizens and our workforce are treated with dignity and respect across all of our activities.

As an organisation we will seek to provide services to our citizens in a way that acknowledges the needs of different communities, and that does not discriminate against any citizen on grounds of age, cultural background, socio-economic situation, disability, ethnicity, sex, gender reassignment, sexual orientation, faith or belief.

To support this we are developing our ability to make evidence-based decisions that reflect community needs, aspirations and feedback, and we continue to share information with our partners and contractors to ensure those working with us, or on our behalf, adopt an equality approach.

As an employer we recognise that we will develop and deliver services to the community better, if our workforce is inclusive and demographically representative of the community of Ryedale as a whole. For that reason, we will strive to be an organisation that reflects the diversity of our communities in Ryedale by monitoring the equality aspects of our recruitment and taking positive action to encourage applications from under-represented groups.

We pledge to make decisions on employment fairly, and create/promote an inclusive environment where all of our employees are respected and supported and can be their authentic selves at work.

We recognise and embrace our responsibilities under the Equality Act 2010, and the Public Sector Equality Duty, and we undertake to deliver on the equality objectives and activities set out in our Equality Action Plan.

Our strategic aims and objectives

We have two over-arching aims:

- Service: To enshrine equality, diversity and inclusion in everything that we do, so that all Ryedale citizens are fully able to access and use our services without issue or discrimination.
- Workforce: To create and maintain an inclusive working culture, where everyone feels able to be their authentic selves, and is supported to achieve at work.

Sitting beneath these over-arching aims are a number of strategic objectives which draw upon the Local Government Association Equal Framework (2020). These are listed below.

Understanding and working with our communities

1. We will improve our understanding of our communities by gathering, analysing and sharing profile data, which can be used for evidence-based decision-making
2. Working with partners, we will implement the Place Standard in key localities across our district, as a means to gather information about community needs and aspirations, and give communities a role in decision-making
3. We will foster good community relations by increasing our active participation in equality, diversity and inclusion (EDI) awareness days and partnership campaigns, and championing inclusion in democratic structures

Leadership and organisational commitment

4. We will signal the Council's commitment to reducing inequality by publishing our equality policy statement
5. We will reach out to partners in the voluntary and community sector and wider community to build relationships, and provide an opportunity for key issues to be raised
6. We will strengthen our processes to ensure that equality issues are considered in decision-making
7. We will report on, and publicize, progress against our objectives and equality action plan

Responsive services and customer care

8. We will refresh our procurement and commissioning processes to take account of the diverse needs of clients and ensure that providers understand the requirements of the public sector equality duty
9. We will embed equality into service planning
10. We will increase and improve our systems for gathering customer feedback and measuring satisfaction with our services
11. We will improve our ability to communicate with members of the community who have special communications needs

Diverse and engaged workforce

12. We will build upon our understanding of our recruitment and workforce demographics against protected characteristics
13. We enhance our EDI training to encompass a broader training offer for our workforce to ensure that equality, diversity and inclusion and its practical application is understood
14. We will raise awareness of our mechanisms to support employee health and well-being issues



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| PART B: | RECOMMENDATIONS TO COUNCIL |
| REPORT TO: | POLICY AND RESOURCES |
| DATE: | 23 SEPTEMBER 2021 |
| REPORT OF THE: | STRATEGY & PERFORMANCE MANAGER LYNNE BAYES |
| TITLE OF REPORT: | COUNCIL PERFORMANCE – QUARTER 1 2021-2022 |
| WARDS AFFECTED: | ALL |

EXECUTIVE SUMMARY

1.0 PURPOSE OF REPORT

- 1.1 To provide a progress update on Council performance up to the end of quarter 1 of the reporting cycle (April – June 2021) for 2021-22.
- 1.2 The update covers Council Plan 2020-2024 delivery and progress against key performance indicators (PIs).

2.0 RECOMMENDATION(S)

- 2.1 It is recommended to Council that:
 - (i) The progress report is noted.

3.0 REASON FOR RECOMMENDATION(S)

- 3.1 To inform Elected Members of progress in delivering the Council's objectives and key performance indicators.
- 3.2 Where applicable, any specific areas where progress for individual PIs has not been achieved is highlighted with an explanation of planned actions to make improvements moving forward.

4.0 SIGNIFICANT RISKS

- 4.1 Delivery of Council Plan objectives such as combating social isolation, processing benefits quickly and supporting the economy is helping people and businesses across Ryedale to recover from the impact of Covid-19. This means that Covid-19 continued to have a significant impact on workloads during quarter one (April – June 2021). Wherever possible, action was taken to ensure that this did not disrupt core work of the Council. Consequently, most key performance indicators continue to be at target.

- 4.2 Performance began to be further impacted by local government reorganisation during the quarter, with significant work undertaken to respond to a demanding Government timeline. The risk associated with this were largely mitigated in quarter 1. However, this is likely to have a cumulative impact on performance over the next 18 months.
- 4.3 As full delivery of the 2020-24 Council Plan will not be possible by the time Ryedale District Council ceases to exist in April 2023, a reprioritisation process is being conducted to determine priorities for delivery between now and this date.

5.0 POLICY CONTEXT AND CONSULTATION

- 5.1 The Quarter 1 2021/2022 report shows progress across all of the Council's corporate priorities: Our Communities, Our Economy, Our Environment and Our Organisation.
- 5.2 Key performance indicators are also broadly on track.

6.0 REPORT DETAILS

Introduction and background

- 6.1 Performance reporting of progress against the Council's priorities – as set out in the Council Plan 2020-24 – is a key element of performance management arrangements.

Ongoing successful delivery of the Council's priorities is demonstrated by a combination of:

- Progress against priority projects/high level actions (are we meeting/expecting to meet delivery timescales); and
- Performance against relevant key performance indicators (are targets being met; are we getting better)

This report covers the period April to June 2021. It should be note that the Covid-19 pandemic and national lockdown arrangements continued throughout this period.

- 6.2 This report includes the following detail:
- Actions and project activities completed against the aims and objectives set out under each theme of the Council's objectives in the Council Plan 2020-24.
 - Relevant key performance indicator statistics measured against the Council's priorities.
 - Future activities planned to address the areas requiring some improvement.

Summary of progress

- 6.3 This report shows the ongoing strong performance of this Council in the first quarter of 2021-22, across all its ambitions. The Council continues to support people, communities and businesses despite operating in an extraordinarily challenging period characterised by Covid-19.
- 6.4 Overall, out of the 22 key performance indicators, 17 are showing a green status, 2 as an amber status and 3 as a red status when analysing quarter 1 performance. Particular highlights are as follows.
- Affordable housing delivery continues to perform well above target, with 33 homes delivered in this quarter, against a target of 75 per year.
 - The speed of processing new claims for both housing benefit and council tax support during quarter 1 is significantly higher than the target, placing us as one of the top performing authorities across North Yorkshire.
 - The processing of major planning applications continues to operate above target at 75% processed within the 13 week time period.
 - Stage 2 complaints closed within the target timescale of less than 10 days is at 100%.

Red and Amber Indicators

- 6.5 Red indicators mean that performance is below where we would want it to be. The areas where this has occurred are summarised below along with explanations for this status. As stated earlier in this report, Covid-19 has affected the progress against each of these indicators significantly. The reasons for this include increased demand and disruption to supplies and services.

Successful prevention or resolved homelessness

The impact of a delay in void works being carried out on empty properties by social housing providers, by private landlords selling properties, and by a very demanding private rental market have all contributed to the performance in this area. The Covid-19 pandemic has without doubt, had a significant impact on the availability of privately rented accommodation and the number of residents looking to find such accommodation.

Energy efficiency measures

An external company has experienced a great deal of difficulty in sourcing installers for Air Source Heat Pump installations, thus having a large impact on this area of work during the first quarter. Working together with external providers to find suitable installers is planned to take place as we move into the next quarter of the reporting cycle.

Standard searches

Substantial delays in this area have largely been caused by receiving late returns from North Yorkshire County Council due to Covid-19. It is understood that the issues they were experiencing have now been resolved and searches are already being returned more quickly.

6.7 Amber indicators are important to highlight as they show where the Council must maintain a level of vigilance to ensure that performance does not slip further. Again, Covid-19 has played a role in the status of these indicators, as demand for services increased.

Minor planning applications

A large increase in applications being received has seen this indicator fall a little short of the target. Recruitment is now underway to increase staffing capacity to deal with the levels of applications being received by the Council.

Other planning applications

A large increase in applications being received has seen this indicator fall a little short of the target. However, recruitment is now underway to address the lack of staff capacity to deal with these applications.

7.0 IMPLICATIONS

7.1 The following implications have been identified:

- a) Financial
Delivery of Council Plan priorities is reflected in the Medium Term Financial Strategy.
- b) Legal
The organisation complies with all relevant statutory, legislative and constitutional matters when executing the delivery of its Council Plan and delivering against key performance indicators.
- c) Resource
Performance reporting highlights where we can explore opportunities to adjust resources to support effective implementation of the Council Plan as part of our on-going business and budget planning.
- d) Other
Equalities, staffing, health and safety, and policy matters such as environmental and climate change inform the content and execution of the Council Plan and performance priorities on an ongoing basis. Anyone requiring this information in an alternative format, may contact the report author to request this.

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Background Papers:
Council Plan 2020 – 2024
<https://www.ryedale.gov.uk/resources/council-plan/>



RYEDALE
DISTRICT
COUNCIL



Delivering the Council Plan

Q1 2021-22

Delivering the Council Plan

The Council Plan 2020-2024 provides the strategic direction for Ryedale District Council.

Strategic performance management enables us to assess whether we are achieving the objectives of the Council Plan and other key performance indicators related to value for money and the delivery of efficient and effective services for those living, working and doing business in Ryedale.

This quarter one performance report provides details of progress between April and June 2021. All progress was achieved during the continuing unprecedented challenges of the COVID-19 pandemic.

Our vision: the Ryedale we will achieve

A great place to live, work and visit, which is culturally unique, environmentally sustainable and supports connected communities to thrive. We have a strong rural economy, with world-class assets and new jobs linked to growth including bio-renewables, food, farming, agriculture, the visitor economy and carbon reduction technologies.



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Communities: strong, inclusive and attractive – our objectives

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Help for those in need

Healthy and happy communities

A place like no other - to live, work and visit

1.1 Help for those in need

We will tackle homelessness, rough sleeping and poverty by providing services in partnership with others to prevent homelessness.

Using funding from Homes England and Commuted Sums, Ryedale District Council successfully purchased three properties on Castlegate, Malton this quarter. Two will be used to support tenants in the Next Steps Accommodation project, which aims to prevent homelessness for single people. The third property will be let by a local letting agent to a local single person for an affordable rent. The properties have been upgraded and support put in place to help the tenants obtain the skills and help they need to live independently, maintain their tenancy and prevent repeat homelessness.

A pilot scheme for Ryedale, which is very similar to the Rent to Buy option already used by several of our partner registered providers, was put in place. Rent Plus will manage seven affordable units at West Fields, Kirkbymoorside on an interim basis until a local Registered Provider can take over the management of these units. Prospective purchasers can decide on how long they want to rent before buying; it can be up to five years. After that period has elapsed, Rent Plus / the registered provider will pay the deposit for the purchaser. If the occupant decides they no longer want to purchase, Rent Plus / the registered provider will help them find another suitable property.

The Council continued to provide accommodation at Derwent Lodge, a 14-bed supported housing scheme in Norton, to support people with developing independent living skills and tenancy support to successfully move on into their own accommodation. Over the quarter, seven out of eight residents who moved out of Derwent Lodge had a positive move. Two moved into shared private rental accommodation, two into more independent supported accommodation and three to friends or family.

The Council is supporting 17 vulnerable clients who have been rough sleeping or are at risk of doing so to maintain their longer-term accommodation in the community. Five new clients were signed up in this quarter.

The Council saw increased demand for Rough Sleeper support; 27 clients were supported within the quarter, compared to 18 the previous quarter. Referrals have mainly been due to relationship breakdowns (violent and nonviolent) and family breakdowns. Clients moved into accommodation such as Derwent Lodge, social housing, accommodation gained through jobs, accommodation gained through foundation housing and shared houses.

| KPI | Value | Target | Status | Notes |
|--|-------|----------------|---|--|
| Number of cases where Housing Services successfully prevented or resolved homelessness | 26 | > 55% of cases |  | 46.4% of homelessness cases were successfully prevented or resolved. This was impacted by a delay in void works being carried out on empty properties by social housing providers, by private landlords selling properties, and by a very demanding private rental market. |

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Housing access, availability and affordability continue to be an issue for Ryedale, with Covid-19 having a clear impact; preventing and responding to homelessness will remain challenging in this context.

| Measure | Value | Baseline data | Notes |
|---|---------------------|---------------------------|---|
| Number of households approaching threatened with homelessness or homeless | 56 | 53 (Q4 2020/21) | 220 approaches during the last financial year (2020/21) |
| Number of households approaching with housing options enquiries | 191 | 189 (Q4 2020/21) | This is over twice as many as during the same period in 2019. |
| Number of households accepted as statutory homeless | 8 | Historic data unavailable | We hope to see no more than 21 households accepted as statutory homeless each year. |
| Number of households in temporary accommodation where the council has a duty to accommodate | 14 (as of 30.06.21) | 7 (as of 13.03.21) | This is just a single-date snapshot, but there has been an increase of single people being accommodated and with limited one-bed accommodation and specific needs, they were unable to move on quickly. |

As detailed above, the Council is tracking a number of new performance indicators, which are considered critical for assessing progress against this strategic objective. From quarter two onwards, these will enable the Council to track changes in performance and demand for services more effectively.

We will offer advice, support and budgeting assistance to those who need it, helping them to manage their finances, ensuring they can access Citizens' Advice services and working with the credit union to promote access to small loans. We will also act promptly to process benefit applications.

Our housing benefits processing times placed us as one of the top performing authorities across North Yorkshire.

Ryedale also had the fastest processing time for new housing benefit claims in North Yorkshire. This means that Ryedale citizens who applied for housing benefits for the first time, or who have had a change in their circumstances, were helped as quickly as possible to receive the exact benefits they were entitled to.

During this quarter, the Council spent £11,726 of funds allocated to the Exceptional Hardship Scheme. This funding was awarded to 19 residents in receipt of Council Tax Support who demonstrate they are suffering exceptional hardship during the quarter. The remaining funds will be used to continue the scheme for the rest of the year.

The Council attended community drop-in sessions as part of an initiative involving Citizens Advice's new advice van service. This attends Pickering and Helmsley markets once a month and acts as an information point, promoting free services and campaigns such as Scams Awareness Fortnight, Hate Crime awareness, and all things Warm & Well, including switching and saving on utilities and energy efficiency.

| KPI | Value | Target | Status |
|--|-----------|----------|---|
| Speed of processing new Housing Benefit claims | 6.9 days | <21 days |  |
| Speed of processing new claims for Council Tax Support | 19.1 days | <25 days |  |

We will create a district where everyone feels welcome and can thrive. We will safeguard vulnerable people, become a ‘dementia-friendly’ and ‘autism-friendly’ council, and ensure that equalities, mental health and well-being are at the heart of service design, giving training to our employees and encouraging businesses and communities to do the same.

At the start of the COVID-19 pandemic Ryedale District Council, North Yorkshire Police and North Yorkshire County Council set up the Community Connect partnership to coordinate our response and support for our most vulnerable citizens. The partnership has been expanded to include representatives from North Yorkshire Fire & Rescue Service, Clinical Commissioning Group, town councils, Citizens Advice, First Yorkshire and voluntary and third sector organisations. Active subgroups include mental health and wellbeing, community volunteering and voluntary community and social enterprise (VCSE) sustainability, and tackling increased poverty and personal debt. As part of this work, Ryedale District Council developed information booklets on mental health and wellbeing and financial hardship to support those in need of help during the pandemic and established a Community Connect website which shares best practice and provides information for those seeking help and assistance: [Home | Ryedale Community Connect \(ryedale-community-connect.com\)](https://ryedale-community-connect.com).

The Council has taken action to ensure all of our workforce have up to date safeguarding records in place in line with best practice. All new starters now receive training as part of the induction process and mandatory refresher training takes place.

The Domestic Abuse Act 2021 came into force with new duties on local authorities around safe accommodation and homelessness. Domestic Abuse awareness raising was provided for our workforce, and we continued to take part in North Yorkshire wide initiatives to respond to the changes:

- Between the 1st April and the 30th June, 42 staff members were trained over four sessions.
- Level 2 safeguarding training covering both children and adults were set up for all managers within the organisation.
- Key officers were trained in dementia awareness and mental health first aid.

We want everyone in our communities to be able to live independent lives. We will promote our Lifeline service and provide wellbeing services, Disabled Facilities Grants and handyman services to enable people stay in their own homes. We will also support community transport schemes to help those in need get around.

The Ryecare Lifeline service operates 24/7, handling emergency calls from throughout the district and beyond. The closing figure for this quarter was 540 live connections against a year end target of 600; 31 lifelines were installed and 24 returned this quarter.

The Wellbeing Service assisted in 24 cases during the first quarter - a rate roughly equal to last year's quarterly average. Handyman Services have carried out 30 small repairs - an impressive total, given just 28 were completed during the previous year (2020-21). Minor adaptations have also increased this quarter, though by a smaller proportion: 156 took place between April and June, in comparison to last year's quarterly average of 103.

The Council operates in partnership with Scarborough Borough Council through the White Rose Home Improvement Agency to deliver Disabled Facilities Grants. £665,000 is earmarked for this scheme in the 2021-22 capital budget. From 24 referrals, 18 Disabled Facilities Grants were awarded during the first quarter; an increase of 30% from last year's quarterly average.

The Council continues to support community-led organisations, including Ryedale Community Transport CIO. New data reported that 610 people used Ryedale's community transport services between April and June.

1.2 Healthy and happy communities

Ryedale is home to hundreds of voluntary organisations delivering invaluable services for local people. We will work with this essential sector to ensure it continues to flourish. We will aim to build strong communities by contributing to community events, activities and facilities through our community grants scheme.

Community Grants are open to any Ryedale community-based organisation or group, for projects that make a positive impact on community-owned or managed facilities and activities in Ryedale, such as village halls, play areas, sports facilities, village-owned shops and activities that support the local community. In the quarter, six community development grants were awarded, a total value of £4,347.

- Lastingham Village Hall received a 25% contribution for their heating system.
- We covered 25% of the cost of resurfacing the car park at Newton Village Hall.
- Kirby Misperton Village Hall was awarded a grant for 25% of the cost of improving their toilet and corridor.
- We contributed 100% of the funds required for Hovingham Action Group's playground equipment.
- Settrington Village Hall Trust successfully applied for a 25% grant for a mower and towing vehicle.

We will promote our creative industries and expand our cultural offer by supporting Ryedale's network of skilled craft businesses and thriving arts hubs.

Four commissions were competitively awarded in early 2021 (£4,500 each) to provide strategically-investment support to our creative industries. The quarter from April to June included the recruitment launch for Helmsley Arts Centre's Technical Theatre Training Programme - for which five appointments have since been made, and planning for the Art Licks touring exhibition at rural venues in Ryedale. This was the result of a commissioned wellbeing project which worked with ten individuals identified through partnership with the Next Steps mental health charity, Norton.

Strong engagement with strategic organisations also continued throughout the quarter with the aim of leveraging additional funding for Ryedale based organisations. This included Museum Development Yorkshire, Ryedale/North Yorkshire Health Creation Network, and the Arts Council England. 92 recipients received our monthly e-bulletin for arts and culture organisations/sector workers in Ryedale.

1.3 A place like no other to live, work, visit and invest

We will work with partners to meet shortfalls in our visitor accommodation and increase visitor spend. We will promote the district's niche and unique activities, as well as the development of eco-tourism.

The focus of visitor economy work in quarter one was on helping Ryedale to reopen safely as a visitor destination. COVID-19 safety measures and environmental enhancements in our town centres were made using funding from the Reopening High Streets Safely fund totalling £98,531.

Work to promote the district also took place. We facilitated two journalist familiarisation visits in quarter one: Phat Cupcake wrote a piece on '24 hours in Malton', and Leeds List ran a feature called 'Escape to Ryedale'.

We will support our market towns to thrive by installing free Wi-Fi, keeping our streets tidy and devising a new car parking strategy with residents and visitors at its heart.

Activity in quarter one included the design and installation of a number of temporary and permanent signs in our car parks, including public information relating to Covid-19 vaccination and testing.

Economy: harnessing Ryedale's unique economy to deliver growth, homes and jobs – our objectives

Quality homes people can afford

A connected rural economy

Open for business

2.1 Quality homes people can afford

We want people to live in high quality, safe and sustainable homes. We will promote the highest standards of construction and work in partnership to improve energy efficiency and achieve carbon reduction. We will work with landlords to ensure rental accommodation, in particular houses in multiple occupation, comply with the law and follow best practice.

To promote standards across private sector housing, the Landlord Newsletter was developed and shared with landlords across Ryedale in this quarter. This included details about the Landlord Forum, the EU Settlement Scheme, rough sleeping, homelessness and eviction prevention, the Local Housing Allowance update, Council Tax, and Energy Performance Certificates.

An annual Landlords' Forum also took place virtually in April with speakers from Ryedale District Council Housing Team, the Benefits and Revenues Team, the National Residential Landlord Association and suppliers Daikin and Communitas.

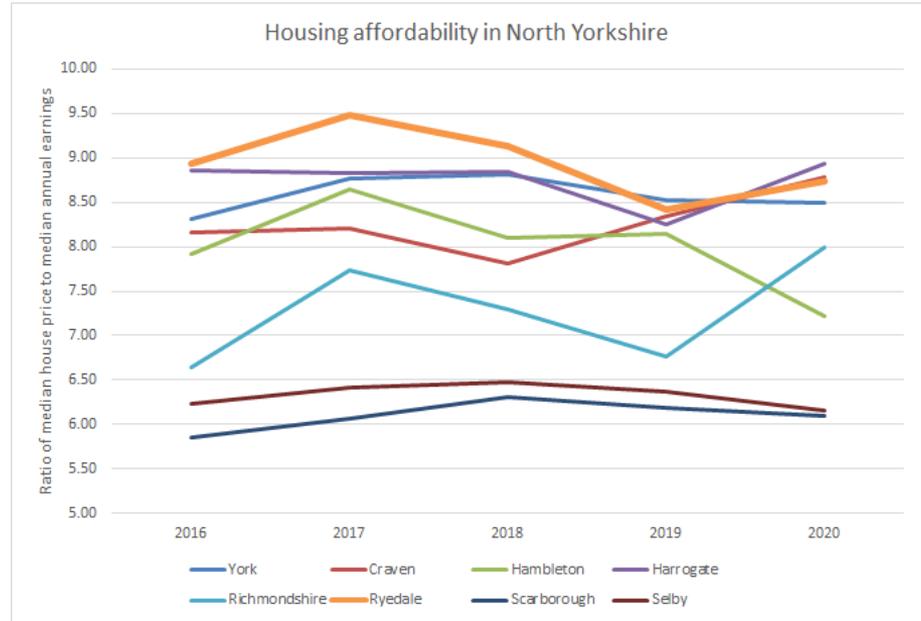
We will work with our partners to deliver more affordable homes and ensure a supply of good quality housing that reflects the needs of our communities at all stages of their lives. We will work with developers and use our own assets to achieve this, as well as bring more empty properties back into use.

The Council is working to bring empty properties back into use: in the first quarter, three homes were recovered this way. We had been working with the owner for a considerable time, before supporting the Fitzwilliam estate to regain ownership of them.

Managing housing supply is a vital part of our commitment to provide high quality, affordable housing. With a median property price over eight times the median salary, Ryedale was less affordable than all but two areas in Yorkshire and The Humber in 2020. However, the financial year from 2020 to 2021 saw the completion of 188 net additional homes.

Quarter one saw the opening of the call for sites for the Local Development Scheme, and the aim is to consult on strategic distribution options this Autumn. Work is ongoing to bring proposals forward for the development of up to ten units of housing at a site identified during quarter one.

To ensure that affordable housing is let in the most effective way to meet housing needs, we are preparing to hold allocation events and boost publicity in the rural towns and villages where affordable homes are being built, so that local people are aware of the available properties.



| KPI | Value | Target | Status | Notes |
|--|-------|--------------|---|---|
| Number of new affordable houses completed | 33 | 75 per annum |  | Out of the 33 affordable homes delivered, 21 were rural at the West Fields site in Kirkbymoorside and have been handed over to Thirteen Group. These are a mix of affordable rent and shared ownership. |
| Number of empty properties brought back into use through Council involvement | 3 | 10 per annum |  | |
| Energy Efficiency Measures undertaken by the Ryedale Energy Savings Scheme | 9 | 10 per annum |  | Six boiler placements and three loft insulation installations were completed. Those cost £16,010 of the £40,000 available per year. |
| Energy Efficiency Measures undertaken through external partners | 1 | 76 per annum |  | We are working with Yorkshire Energy Solutions (YES) to deliver the Ryedale Energy Saver Scheme, providing investment in energy efficiency. Due to a lack of appropriate installers, no Air Source Heat Pumps were installed during the first quarter. One first-time gas installation was completed, with six live jobs progressing through the Warm Homes Fund scheme (target: 26). |
| Major planning applications processed by 13 weeks | 75% | 70% |  | |
| Minor planning applications processed by 8 weeks | 74% | 80% |  | Large increase in applications. 23 out of 31 applications completed. Actively recruiting. |
| Other planning applications processed by 8 weeks | 81% | 90% |  | Large increase in applications. 126 out of 137 applications completed. Actively recruiting. |
| % Standard searches carried out in 10 working days | 55.7% | 100% |  | Substantial delays were caused by late returns from NYCC. It appears that the problems at NYCC may now have been resolved and searches are now being returned more quickly. |

2.2 A connected rural economy

We want to improve our road and rail connectivity to unlock economic growth. We will work with partners to improve the A64, integrated public transport connections and station facilities.

We will support and invest in measures to cut congestion and improve traffic flow in our market towns, including HGV reductions in urban centres. We will facilitate the construction of new infrastructure through the Local Plan.

To prepare for Round Two of the Government's Levelling Up Fund, a proposal for improvements to Malton Station for inclusion within a 'Transport Bid' for a number of rail station upgrades across North Yorkshire was developed. If successful, this would include construction of a second platform, an accessible pedestrian and cycle bridge, and a link path to Norton.

The Council also submitted a Master Plan and Development Brief for the Rail and Bus Station forecourt and public realm areas for inclusion in a bid headed up by the Local Enterprise Partnership under the heading 'North Yorkshire 21st Century Future Towns'. This was submitted to access funding from the Government's Community Renewal Fund.

2.3 Open for business

We want entrepreneurship to flourish across our district. We will promote and support micro, small and medium sized businesses by exploring the introduction of a competitive grants scheme for start-ups and offering advice as we recognise the long term success of this sector is essential to Ryedale's future success.

We will work with Government, industry and businesses to bring new investment to the area, expanding the commercial space on offer within the district in a sustainable way. We will develop the council's role in providing workshop, incubator and scale-up space for small start-up businesses and facilitate the expansion of business parks.

Three economic initiatives were progressed as part of the Local Enterprise Partnership (LEP)'s Growth Programme:

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- **Thornton Road Business Park and Starter Units:** the developer continued progress with preparatory works and planning matters. This included alternatives to the basic Starter Units to incorporate further climate change mitigation measures. The costs of the Starter Units were agreed in detail, and consideration given to the cost of climate change measures. At the end of quarter one, discussions were ongoing regarding access arrangements.
- **Malton-Norton Enterprise and Business Centre:** We completed a feasibility study this quarter; the information will now being used to consider appropriate development opportunities.
- **Kirkbymoorside Additional Employment Land:** A feasibility study was completed this quarter, enabling the Council to assess development opportunities in quarter two.

Environment: a sustainable, safe and clean place – our objectives

A safe place to live

Clean and attractive streets

Sustainability into the future

3.1 A safe place to live

Ryedale is a low crime area, but not without its problems. We will tackle antisocial behaviour by working closely with North Yorkshire Police and other partners.

During the first quarter, the Council and North Yorkshire Police set up a co-located Community Safety Hub. This has enabled the two public services to work more closely together to tackle anti-social behaviour at the earliest point. Together they have reviewed and expanded the multi-agency problem solving meetings, becoming intelligence led, and developed five new place-based areas to support better localised delivery.

During quarter one 2021-2022:

- 145 cases of anti-social behaviour were referred to the Council
- There have been three referrals to mediation services
- Three Acceptable Behaviour Contracts (ABCs) were used
- The Multi-Agency Problem Solving group (MAPS) discussed 11 cases
- Four prevention initiatives were carried out in the first quarter, covering rural crime, hoarding, littering and fly tipping, and cycle safety
- We conducted two speed awareness events and held an event to promote awareness of safe distances between cars and bicycles
- More officers were trained and licensed to use Orcuma multi-agency case management software to track incidents of anti-social behaviour
- We developed place-based areas and area profiles to gain a better understanding of neighbourhood needs and become intelligence-led



We will work in partnership to uphold the highest standards of animal welfare, train staff to deal with issues and hold public information events.

During quarter one, the Council made progress in a number of ways regarding animal welfare, including:

- Relevant officers undertook animal welfare-related training, including dog handling, animal chip scanning and invoicing for dog housing and collecting
- The Council purchased equipment for kitting out a van for collecting stray animals
- Civil Enforcement officers went on a KBT Academy course on environmental crime and enforcement
- Dog collection procedures were put in place
- Four stray dogs were collected and microchip scanned in the first quarter.

3. Clean and attractive streets

We will take tough action on littering, dog fouling and fly tipping through proactive and dedicated enforcement, prosecuting where required.

We want to keep our streets clean. We will improve our Streetscene operations and support communities to do more.

We always aim to ensure our streets are clean and attractive and to take action on antisocial behaviour and environmental crime. To tackle these issues, the Council:

- Implemented a finance solution enabling us to take payment of Fixed Penalty Notices. Of the three penalty notices handed out in quarter one, two were paid during the first month of operation. Fines can now be issued for littering and fly tipping offences, with targeted delivery linked to area intelligence.
- Responded to 31 incidents of dog fouling and 32 reports of fly tipping or litter in quarter one.

3.3 Sustainability into the future

We will take ambitious steps to reduce our carbon footprint through regional and local initiatives. This includes implementing our Climate Change Action Plan.

The latest Carbon Accounting report revealed significant reductions in emissions from Council-owned vehicles, heating and electricity in the quarter when compared to 2018-19, the last year unaffected by COVID-19. Using newly-available tools, we will be able to measure whether we are meeting our goal of reducing CO₂ emissions by 5% each year.

During quarter one we also put in place procedures to ensure that the procurement process now includes consideration of carbon footprint. The procurement plan 2021-2023 for the Council states how the procurement process will work to promote sustainability and protect the environment.

We are working to reduce carbon emissions through national home improvement programmes. Through the Local Authority Delivery (LAD) scheme, the Council has secured £430,000 in grants to support low-income households by upgrading the most energy inefficient homes on the mains gas network. We have submitted expressions of interest for two new funding streams: the next phase of LAD funding; and the Home Upgrade Grant, which targets homes off the gas grid.

We are promoting alternatives to carbon-intensive heating solutions. Heat Network Delivery Unit funding was confirmed during the quarter, and we are looking into partnering with Third Energy to generate geothermal energy within Ryedale.

Owners of electric vehicles can now charge them at Council-owned car parks in all five of Ryedale's historic market towns. Workplace charging stations are also up-and-running at Ryedale House and Streetscene Depot as part of the Council's move towards a greener fleet.

We will increase our recycling rate in line with emerging national policy, including by promoting recycling awareness, investing in our mini-recycling centres, exploring the possibility of recycling a wider range of materials and working with more trade and garden waste collection customers. We will also work with partners to expand ‘circular economy’ schemes across the district.

The Council contributed to the national debate around waste services: since April, we have produced reports on Resource and Waste, Extended Producer Responsibility, Deposit Return Schemes, and the government’s proposed Waste Prevention Programme. As quarter two gets underway, we will be responding to forthcoming consultations, including giving local perspectives on Consistency in Collections.

| KPI | Value | Target | Status | Notes |
|--|----------|-----------|---|--|
| % Household waste sent for reuse, recycling and composting | 52.67% | > 50% |  | Not adjusted for seasonal variation. Awaiting data validation by DEFRA. |
| % Household waste sent for dry recycling | 21.61% | > 20% |  | Not adjusted for seasonal variation. Awaiting data validation by DEFRA. |
| % Household waste composted | 31.06% | > 30% |  | Not adjusted for seasonal variation. Awaiting data validation by DEFRA. |
| Residual household waste collected per household | 108.76kg | < 107.5kg |  | The aim is to minimise residual household waste. Our current target is to get below 430kg per household per annum. |

Recycling was also promoted through collaboration with the Ryedale Environment Group and by visiting Helmsley Community Primary School.

Organisation: an innovative, enterprising council

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Accessible to all

Value for money

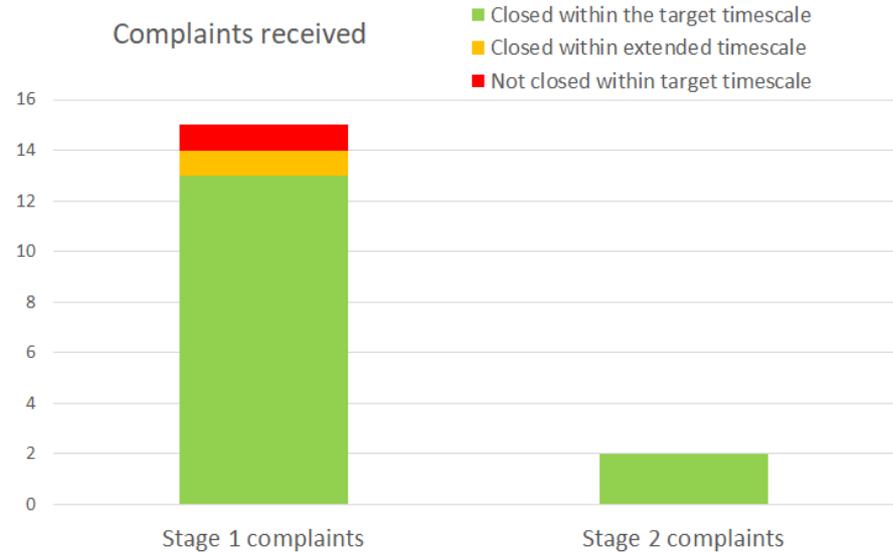
A great place to work

4.1 Accessible to all

We will transform our customer services, using new ways of working to improve our responsiveness.

During quarter one, the Council's new complaints procedures were implemented with additional training taking place across organisation to promote customer excellence in this area.

| KPI | Value | Status | Notes |
|--|---|--------|--|
| % Stage 1 complaints closed within target timescale (<10 days) | 85.7% (92.9% were closed within target or a permitted extended timescale) | 🟢 | 12 were resolved within ten days; one had an extension and met this timescale; one exceeded the target timescale |
| % Stage 2 complaints closed within target timescale (<10 days) | 100% | 🟢 | |



We will be open, honest and transparent by publishing key policies and financial information and responding promptly to freedom of information requests.

During quarter one, the close of accounts and budget outturn for 2020-21 was successfully completed. The [Statement of Accounts](#) is available to view on the Ryedale District Council website (published in quarter two).

We reviewed our publication scheme in quarter one, which illustrated that Ryedale District Council is publishing resources in line with local authority requirements. Through the website rebuild (launched in quarter 2), we were able to make improvements to access of information for Ryedale citizens. Going forward, we will continue to publish more resources in order to improve access to information.

At the end of quarter one, the delivery of our external audit programme for 2021/22 is on track. The Council maintains a professional relationship with Grant Thornton, the body responsible for the external audit of the Council. Regular review meetings are held with the Chief Executive and s151 Officer and regular reports are presented to the Audit Committee. During quarter one, Grant Thornton issued a detailed Audit Plan to the Audit Committee, setting out their proposed approach in order to give an opinion on Ryedale District Council's 2020/21 financial statements and the Auditor's Annual Report on our value for money arrangements.

An internal audit programme is one of the key elements of good governance, as recognised throughout the UK's public sector. During quarter one, the Internal Audit Work Programme 2021/22 was presented to Overview and Scrutiny Committee.

Delivery for the counter fraud programme 2021/22 was on track at the end of quarter one. The Council has a Counter Fraud and Corruption Strategy, covering 2020-24, and a Counter Fraud and Corruption Policy, which was also reviewed in line with annual practice.

4.2 Value for money

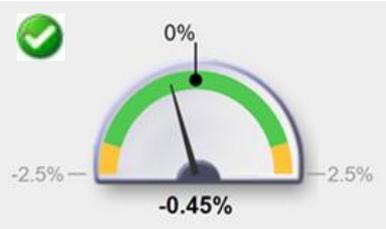
We will maintain strong finances into the future by delivering customer-focussed and cost-effective core services.

We continue to do quarterly COVID-19 financial reports to Elected Members. We also continue to complete a monthly tracker which is routinely submitted to central government (Ministry of Housing, Communities & Local Government). Through this we continue to lobby for additional costs that cannot be funded by the Council.

During quarter one, we calculated the gross costs incurred by the Council during 2020-21 resulting from the COVID-19 pandemic. The figure was £1.59m. This amount is a reduction of the 2020/21 quarter three estimate of £1.96m.

Service reviews are routinely undertaken to ensure that required capacity is funded and resources managed effectively; this remains critical as COVID-19 continues to impact on service demand in key areas of business. This increased demand is not anticipated as lessening during 2021/22.

Financial management is essential in achieving good corporate governance and underpins service quality, improvement and accountability. It supports effective performance and the achievement of organisational aims. Ryedale District Council's agreed Medium Term Financial Strategy (MTFS) highlights expected need. As of the end of quarter one, we are on track with regards to Ryedale's Financial Strategy 2021-22. Work also began on Ryedale's Financial Strategy 2022-23, which is due to be presented to Full Council in February 2022.

| KPI | Value | Target | Status | Notes |
|-------------------------------------|--------|-----------------------|---|---|
| Outturn within tolerable target (%) | -0.45% | Within -2.5% and 2.5% |  | Suggested target is that variance should be within 2.5% (+/-) of net budget, excluding exceptional events. Excluding the exceptional event of COVID (the net cost of COVID was £385k), the outturn was a £40k underspend. This represents 0.45% variance of the net budget of £8,842k, well within the 2.5% variance allowance. |

| KPI | Status | Notes |
|--|---|---|
| Budget/MTFS Strategy to be submitted to Full Council on time for approval |  | On track. Work began in quarter one and the first report will go to Committee in September (quarter two). This will include a timetable showing how we will achieve: <ul style="list-style-type: none"> A. Approval by Council in February 2022 B. The deadline of March 2022 |
| Final accounts signed off by 31st July 2021 and 31st December 2021 with an unqualified audit opinion for RDC |  | On track. Work completed in quarter one meant that we were able to meet the first statutory deadline of 31 July (publication of Draft Accounts). In quarter two and three, we will be working with external auditors to ensure they can sign off the accounts. |
| Pension pooling arrangements in place |  | These are in place as a part of North Yorkshire scheme. |

4.3 A great place to work

We will empower them to deliver ambitiously for Ryedale, promote wellbeing and publish the results of staff surveys.

Weekly all-staff meetings held by the Chief Executive and other senior managers were ongoing during quarter one. Routine operational and strategic liaison meetings with Unison also continued. A key focus of these meetings between April and June was the ongoing management and consequences of COVID -19, and Council preparations for eventualities based on the possible outcomes on local government reorganisation. This ensured the workforce was kept up to date with key information about Government decision-making as it arose.

We will nurture talent through succession planning, recruiting graduate trainees and apprentices

Three Graduate Trainees joined the existing five at Ryedale District Council in quarter one, meaning there is a total of eight graduates currently enrolled on the programme. During quarter one, the programme continued to provide its routine offerings, including bi-monthly graduate network events (which include topical talks from senior staff), individual mentor support and management training.

Ryedale District Council is participating in the national Kickstart Scheme, one of the initiatives launched as the Government's Plan for Jobs, in response to COVID-19. The Kickstart Scheme provides funding to create new six-month jobs for 16 to 24 year olds on Universal Credit who are at risk of long term unemployment. During quarter one, we hired one apprentice via the Kickstart Programme, who has taken up a Housing Assistant role.

We will ensure that training and development opportunities are available for all employees.

All employees must complete an induction programme when starting their role at Ryedale District Council, which includes completing 11 essential training modules (plus an additional 2 training modules for staff with line management responsibilities) within the first month of employment. The below table shows the training completion rates for all Council employees, as of the end of quarter one.

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| KPI | Period | Value | Notes |
|---------------------------|---------------------|-------|---|
| Training completion rates | Quarter one 2021/22 | 99.6% | <p>Average completion rate across the essential training modules.</p> <p>99.6% was recorded on 30th June 2021.</p> <p>New starters have one month to complete their mandatory training modules, and so this can explain the 0.4% of uncompleted modules.</p> <p>At present, 215 employees are registered with Learning Zone (NYBCP and relief staff do not have to register).</p> |

Staff turnover:

| KPI | Value | Measure | Period | Benchmarking data |
|----------------|-------|--|---------------------|---|
| Staff turnover | 4.4% | The percentage of leavers (10 between April – June 2021) out of the Council’s headcount (229 - excludes NYBCP, relief employees and Councillors) | Quarter one 2021/22 | 13% annually all English authorities (Source: <i>LGA workforce survey 2017/18</i>) |

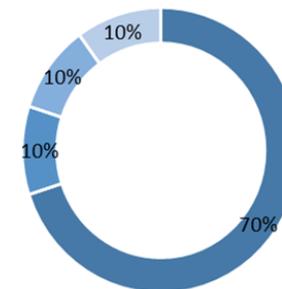
Staff turnover is up across the sector post-COVID-19 lockdowns. Local government consultant Karen Grave has remarked, ‘After these big events you tend to see a lot of turnover. [...] It’s been an absolutely exhausting time. People are really tired, everybody has been at full tilt making sure citizens are OK.’ (The MJ, “[Workforce churn will continue for some time, say sector experts](#)”).

To understand why employees have left the organisation, Ryedale District Council offers leavers exit interviews and questionnaires. The information received indicates the most common reason for leavers is career progression, with 30% of leavers in quarter one 2021 on fixed term or relief contracts.

The Council provides regular pulse surveys to current employees to identify potential retention issues prior to employees leaving the organisation. This is supported by Deloitte Global Millennial Survey 2020, which states employee’s intentions to remain with their employer increases when organisations address employee needs. Source: Deloitte, “[Global Millennial Survey 2020](#)”).

This information provides a snapshot of the organisation's turnover rate and would not be used to predict annual trend. This will be supported with analysis of annual turnover and retention rates within the yearly workforce report.

Q1 2021 Termination Reason



■ Resigned - Voluntary ■ Retired ■ Unknown ■ Other

Sickness absence rates:

| KPI | Value | Benchmarking data | Notes |
|---|-------|----------------------------|---|
| Average days lost per person | 1.09 | Quarter one 2020/21: 1.24 | This is a 12.09% decrease compared to days lost per employee in quarter one of 2020/21. |
| Lost time rate (the percentage of total time available that has been lost to sickness during the noted time period) | 2.07% | Entire year 2020/21: 1.85% | While the trend shows a 0.22% increase in the lost time rate compared to the overall 2020/21 rate, the quarter one 2021/22 rate should not be used to predict an annual trend. Contrarily, the above KPI (average days lost per person) shows a decrease on days lost per employee compared to the same quarter in the previous financial year. |

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The above data includes NYBCP employees and excludes relief employees. The information provides a snapshot of the organisation workforce and would not be used to predict annual trend. This will be supported with the yearly workforce report. All absence data presented is based on information provided by managers and individuals in MyView, the Council's system for HR records.

The Council's lost time rate (the percentage of total time available lost to sickness) for the financial year 2020/21, 1.85%, is reflective of the UK's 2020 rate (1.8%), the lowest recorded level that ONS has reported (Office for National Statistics, 2021).

The most common absence reasons noted for quarter one 2021/22 include stress, depression, anxiety and related (87 days lost), stomach, liver, kidney and digestion (72 days lost) and musculoskeletal problems (32 days lost).

RYEDALE
DISTRICT
COUNCIL



Published by:
Ryedale District Council, September 2021
Anyone requiring this information in an
alternative format, should contact the Council
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| | |
|-------------------------|---|
| PART B: | RECOMMENDATIONS TO COUNCIL |
| REPORT TO: | POLICY AND RESOURCES |
| DATE: | 23 SEPTEMBER 2021 |
| REPORT OF THE: | STRATEGY & PERFORMANCE MANAGER LYNNE BAYES |
| TITLE OF REPORT: | RYEDALE DISTRICT COUNCIL ANNUAL REPORT 2020/21 |
| WARDS AFFECTED: | ALL |

EXECUTIVE SUMMARY

1.0 PURPOSE OF REPORT

1.1 The Council Plan 2020-2024 acts as the strategic route map of the organisation. Appendix 1 contain the draft annual report, which details progress against the Plan in 2020-21.

2.0 RECOMMENDATION(S)

2.1 It is recommended to Council that:

- (i) The 2020-21 Annual Report of progress against the Council Plan (2020-2024) is noted.

3.0 REASON FOR RECOMMENDATION(S)

- 3.1 A Council Plan is an essential part of a Council's strategic planning framework, providing a mechanism for guiding Council business and resource allocation.
- 3.2 Producing an annual report detailing progress on delivery of a Council Plan is considered good practice.
- 3.3 Showing progress against the Plan gives Elected Members and staff the opportunity to celebrate successes. This is particularly pertinent given that throughout the year of 2020-21, the Council was fully engaged in:
 - Activities to suppress the spread of the COVID 19 infection
 - Finding new and more effective ways of managing the virus and enabling life to return closer to normal
 - Minimising damage to the economy, society, jobs and livelihoods.

- 3.4 Showing progress against the Plan also demonstrates to local communities that the Council is delivering on strategic initiatives that will improve the quality of life for residents, as well as making good use of public money.

4.0 SIGNIFICANT RISKS

- 4.1 Delivery of Council Plan objectives relating to issues such as combating social isolation, processing benefits quickly, effectively managing homelessness, and supporting the economy mitigated significant risks to lives and livelihoods during 2020-21. Delivery of priorities like electric vehicles charging points, free WIFI and LED street lighting contributed to the delivery of the Council's Climate Change Action Plan.
- 4.2 Work on Council Plan objectives has continued in 2021-2022, with clear progress being made. This progress will be reported separately to Elected Members in the Quarter 1 Performance Report 2021-2022.
- 4.3 Full delivery of the 2020-24 Plan will not be possible given Government's decision to implement local government reform in North Yorkshire. This means that Ryedale will cease to exist by April 2023. A reprioritisation process is being conducted to determine priorities for delivery between now and this date.

5.0 POLICY CONTEXT AND CONSULTATION

- 5.1 The Council Plan 2020-2024 acts as the strategic route map of the organisation. Activities and projects detailed in the Annual Report have been carried out with due regard to any statutory, legislative, constitutional and best value 'tests', delivery against the strategic direction and priorities for the Council.
- 5.2 The District Council is here to serve local people across Ryedale and support all of our communities, alongside those visiting, working and doing business here, to live healthy and happy lives in a vibrant and safe environment. As the Council operates in complex organisational landscape, some aspects of delivery within this report have been dependent on working with others to achieve our goals. The Council thanks all of our partners for their efforts.

REPORT

6.0 REPORT DETAILS

- 6.1 It is important to note that the attached report will include visual content when it becomes a full public document. The current version is purely a textual one as it is currently in draft.
- 6.2 This Annual Report covers the period April 2020 to March 2021. The most notable factor during this period which has impacted on our performance and supporting monitoring framework, is the Covid-19 pandemic and national lockdown arrangements which continued throughout this period.
- 6.3 It has however, been essential that we have continued to review our outputs and the impacts of these on outcomes for our communities, in line with the Council Plan 2020-2024.

6.4 Year-end reporting is an opportunity to reflect on the previous year and draw lessons to inform future practice, and as such, is an important element of good governance.

6.5 Key areas to highlight in this report are:

COVID business grants

During 2020/21, Ryedale District Council gave out 7,500 grants to local businesses totalling £45m.

Environment

To help the environment and promote sustainability into the future, during 2020/21, Ryedale District Council installed 296 energy-saving LED bulbs in its footway lights and 20 electric vehicle charging points across Ryedale.

Housing benefit processing times

In 2020/21, we processed new housing benefit claims 8.75 days quicker than the national average, and change of circumstances housing benefit claims 4.17 days quicker than the national average.

Safeguarding vulnerable Ryedale residents

The Council played a key role in multi-agency efforts to provide “shielding” services for the most vulnerable people in our communities. This included those who have been recently discharged from NHS care and who need extra support. Ryedale District Council made nearly 3,000 shielding calls, resulting in numerous referrals to community support organisations.

Free public Wi-Fi in Ryedale

During 2020-21, Ryedale District Council launched free public Wi-Fi in Malton, Pickering and Helmsley to identify a high quality, user-friendly and reliable solution to boost businesses and benefit shoppers and visitors.

6.6 The Annual Report 2020/21 will be published on the Council’s website in the interests of transparency.

7.0 IMPLICATIONS

7.1 The following implications have been identified:

a) Financial

Delivery of the Council Plan is reflected in the Medium Term Financial Strategy. Where budget was required outside of the standardised annual cycle for key projects, these were agreed by Committee and with the full endorsement of the Section 151 Officer.

b) Legal

The organisation complied with all relevant statutory, legislative and constitutional matters when executing the delivery of its Council Plan.

c) Resource

Achievements were delivered during the COVID 19 crisis. Performance reporting highlights where we have made effective progress on the Council Plan as part of our on-going business and budget planning.

- d) Other
Equalities, staffing, health and safety, and policy matters such as environmental and climate change inform the content and execution of the Council Plan on an ongoing basis.

**Name of Service Lead
Job Title**

**Lynne Bayes
Strategy & Performance Manager**

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Background Papers:

Council Plan 2020 – 2024

<https://www.ryedale.gov.uk/resources/council-plan/>



Foreword

In 2020, Ryedale District Council published its Council Plan, setting out the strategic direction and objectives of the Council under the themes of communities, economy, environment, and organisation. This Annual Report for April 2020 – March 2021 sets out the progress made in delivering the Council Plan.

Soon after the publication of the Council Plan, communities and businesses began to feel the impact of the COVID-19 pandemic, and the Council worked hard to adapt to these new challenges.

In this report we highlight some of the key activities undertaken by the Council to provide citizens, communities and businesses with vital support in a rapidly changing situation.

The Council would like to pay tribute to the dedication shown by all of its staff, who worked tirelessly to deliver services during an unprecedented year, and to all those in partner agencies and the voluntary and community sector, who worked alongside us to deliver support in Ryedale in 2020/21.

Communities: strong, inclusive and attractive

Our aims:

- Help for those in need
- Healthy and happy communities
- A place like no other to live, work, visit and invest

Case study 1 – strong, inclusive and attractive communities

Tackling homelessness in Ryedale during the COVID-19 pandemic:

Help for those in need: We will tackle homelessness, rough sleeping and poverty by providing services in partnership with others to prevent homelessness.

Throughout 2020-21, Ryedale District Council worked hard to maintain excellence in the standard of service provided to those in need of housing. This was challenging as 2020 saw a large increase in the number of housing enquiries we received, highlighted in the snapshot below:

| | April – September 2019 | April – September 2020 |
|---------------------------------------|------------------------|------------------------|
| Total housing enquiries | 182 | 336 |
| Homelessness assessments | 68 | 115 |
| Households in temporary accommodation | 23 | 40 |

By mid-March 2020, local authorities were having to move swiftly in response to the threat COVID-19 posed to the health of rough sleepers. We re-organised our homelessness functions in response to this and to deliver the Government's Everyone In programme. Launched on 26 March, Everyone In was designed to bring rough sleepers in from the streets and settle them into longer-term accommodation. Ryedale District Council received £1,650 to do this.

During April to September 2020, Ryedale received 336 housing enquiries. 115 homeless assessments were undertaken and 40 households were placed in temporary accommodation. Of the 40 in temporary accommodation during this period, 23 households were housed thanks to the Everyone In campaign and the efforts of Ryedale District Council.

During April to September 2020, 26 people rough sleeping or at risk of rough sleeping were also provided with support, with 16 being resettled into new accommodation or returning home, and seven connected with accommodation or homeless support in other local authority areas.

Some of our efforts and initiatives to tackle homelessness in Ryedale during the COVID-19 pandemic included:

- Negotiating the use of holiday homes, bed and breakfast and hotel accommodation so that rooms could be made available as quickly as possible as and when more people needed accommodating, and to ensure that there was access to laundry and cooking facilities for those staying there.
- Ensuring that all those accommodated had access to food through foodbanks and COVID-19 volunteers.
- Enabling all those accommodated to have access to a mobile phone so they could maintain contact with us (these were donated by Tesco).
- Assisting people with moving by arranging transport and removals.
- Connecting individuals to GPs to ensure people were registered for health services and able to book COVID-19 vaccinations.

DRAFT

Case study 2– strong, inclusive and attractive communities

Safeguarding vulnerable Ryedale residents

Help for those in need: We want everyone in our communities to be able to live independent lives. We will promote our Lifeline service and provide wellbeing services

The Council supported vulnerable Ryedale residents in multiple ways to live independent lives throughout 2020-21.

Our Ryecare Lifeline service, monitored by a dedicated team 24 hours a day, seven days a week, 365 days a year, not only continued to operate, but also made additional welfare calls to its customers.

Feedback from Ryecare customers

“Thank you for caring and thinking of me.”

“Thank you, it’s very nice to hear from someone. I haven’t stepped out of my gate for 18 months.”

“Thank you for taking the time to contact me and my mother.”

The Council also played a key role in multi-agency efforts to provide “shielding” services for the most vulnerable people in our communities. This included those who have been recently discharged from NHS care and who need extra support. Nearly 3,000 calls were made, resulting in numerous referrals to community support organisations. All calls provided information on the changing lockdown rules, referrals for shopping, prescription collections, befriending and Ryecare services.

As we know that some local people don’t have access to the internet, to ensure that everyone could continue to access our services from their home during the pandemic, the Council also distributed leaflets to over 4000 vulnerable customers. This gave them access to telephone numbers for support from hundreds of local voluntary organisations.

Case studies 3-6 – strong, inclusive and attractive communities

Housing benefits

Help for those in need: We will offer advice, support and budgeting assistance to those who need it, helping them to manage their finances, ensuring they can access Citizens' Advice services and working with the credit union to promote access to small loans. We will also act promptly to process benefit applications.

The Council provided advice, support and budgeting assistance to those who needed it throughout 2020-21, promptly processed benefit applications and delivered additional services for those who required extra assistance.

Our processing times for housing benefit claims placed us as one of the top performing authorities (source: Department for Work and Pensions). Ryedale citizens who applied for housing benefits for the first time, or who have had a change in their circumstances, were helped as quickly as possible to receive the exact benefits they were entitled to.

Housing benefits (new claims) 2020/21

| | |
|--|-----------|
| New claims processed | 192 |
| Average number of claims processed per month | 16 |
| Average processing time for new housing benefit claim | 8.25 days |
| National average processing time for housing benefits (new claims) | 17 days |

Housing benefits (change in circumstances) 2020/21

| | |
|---|-----------|
| Change in circumstances processed | 5,387 |
| Average number of change in circumstances processed per month | 449 |
| Average processing time for change in circumstances | 1.83 days |
| National average processing time for change in circumstances | 6 days |

- In 2020/21, we processed new housing benefit claims 8.75 days quicker than the national average
- In 2020/21, we processed new change of circumstances housing benefit claims 4.17 days quicker than the national average

Council Tax support

In 2020/21, Ryedale District Council administered a new council tax reduction scheme. Under the scheme, families of working age could receive up to 100% reduction of their council tax bill, depending on their income and circumstances.

The reduction in the bill was paid for by the government's Council Tax Hardship Fund – an extra pot of money that the Government gave to councils to help reduce the burden of council tax on low income families during the COVID-19 pandemic.

Ryedale District Council's Council Tax Reduction Scheme entitled people of working age to a reduction on their council tax of 100%, 75%, 50% or 25%, depending on their weekly income and size of household.

As well as the Council Tax Hardship fund, Ryedale District Council also administered two additional council tax reduction schemes in 2020/21. Overall, Ryedale residents had an accumulative council tax bill reduction of £256,100 in 2020/21.

The following payments were paid to Ryedale residents' council tax accounts during 2020/21:

| Scheme | Number of payments | Total money distributed |
|-----------------------------------|--------------------|-------------------------|
| Council Tax Support Hardship Fund | 55 | £25,678 |
| COVID-19 hardship payments | 1716 | £211,503 |
| Locally Defined Section 13A | 22 | £18,919 |

Test and trace isolation payments

The Council also administered the government's national Test and Trace self-isolation payment scheme for Ryedale. This was introduced for people on low incomes who have been told by NHS Test and Trace to self-isolate, and those who are a parent/guardian of a child who has been told to self-isolate. The scheme was designed to protect the most vulnerable people from loss of income, and to prevent the spread of COVID-19.

During 2020/21, the Ryedale District Council team processed 201 applications, 96 of which were successful in qualifying for a £500 payment. All payments were made within the required 3 days from receiving all information needed to process the application.

| | |
|--|---------|
| Applications received | 201 |
| Applications paid | 96 |
| Total value of self-isolation payments | £48,000 |

Case study 7 – strong, inclusive and attractive communities

Support for the arts

Healthy and happy communities: We will promote our creative industries and expand our cultural offer by supporting Ryedale's network of skilled craft businesses and thriving arts hubs.

In 2020/2021, a number of arts projects were funded by Ryedale District Council including:

Everwitch Theatre: 'A Performed Walk in the Park' - Grant £970.40

This project was based on the recollections of veterans who were based in a camp at Duncombe Park, Helmsley, before taking part in the D-Day landings. The funding paid for the writing and production of five short performances at the site. These were enjoyed by 50 audience participants in total. Developing the work involved three Normandy veterans, a widow of Normandy veteran, three carers, three volunteers and one work placement student. Over 5,000 people were engaged via social media. Helmsley Arts Centre and Everwitch Theatre are in talks to get a digital version available on their website so there will be even greater legacy and engagement.

Feedback:

"Really good performance, enjoyed it very much. So well done, actors brilliant. Need more like this. Quite emotional."

"A thoroughly enjoyable and extremely entertaining walk through the wood. Helena Fox has written and directed a fantastic piece, acted sympathetically and engagingly with beautiful singing by Esme (Schofield) to accompany. I came away feeling like I'd been back to the war time and witnessed the life that Hank led. It was emotional at times and amusing too. Well done to everyone involved"

Serena Partridge: 'Snail Mail Art' - Grant £1,000

Artist Serena Partridge's Snail Mail Art Project was designed to respond to the feelings of detachment people felt during lockdowns and social distancing. The project comprised of creative workshops held with four classes in four different Ryedale schools. Children learned drawing techniques and created 'thank you' cards which were sent to members of the community they wanted to thank. Pupils were encouraged to respond in a unique and imaginative way.

92 pupils in four classes across 4 Ryedale schools all in years 3 to 6 took part. There were also 92 recipients in the local community. A short video on how to create the cards was developed and made available online so there is facilitating ongoing access and engagement with the public who want to create further.

Feedback:

"All the staff and children cannot speak highly enough of the work you did in school. They have thoroughly enjoyed the projects, put their hearts and souls into them and then taken more pleasure from the positive feedback they have got from recipients."

"Serena and Libby, A long overdue email to thank you both for your inspiring work with pupils at West Heslerton CE Primary. The children thoroughly enjoyed their project and the time spent with you both. The results were so creative, thoughtful and individual. We would absolutely love the

opportunity to work with you again should the opportunity arise. With many grateful thanks, Rachel and the staff and pupils at West Heslerton CE."

"It brightened up my day to see such a beautifully decorated envelope during my postbox collections. If you run the project again I would happily be interviewed in my postal uniform, to tell the children more about my job and the impact letters can have in the community." Ryedale postal worker.

Art Happens Here: Flock - Grant: £1,000

This project found ways to bring people together who could not meet physically due to social distancing restrictions and to promote community spirit in difficult times. Holding workshops in two different Ryedale schools, the artists worked with children to help them draw different garden birds to create a bird identifier sheet. These were mailed out to local people including a 'hello' letter from one of children and a bird seed hanger for a tree. Retailers in Malton also accommodated images of the bird drawings in their windows for people to spot while they are out and about on the high street.

100 pupils over 4 classes from 2 schools, all years 3 & 4., took part There were also 100 recipients of the mail outs from children. 22 shops in Malton took part in displaying the images in their windows which are open to the public.

Feedback:

"Dear every child in class 3...I was so thrilled and so impressed with the little parcel. It is not Christmas, it is not my birthday, and so it came as a lovely heart lifting surprise. It was beautifully presented. I loved the packet with its stamp and hand coloured sticker. I love the card with the beautifully coloured bird and great writing on the back. I have put it up on my dresser. I also love the little Flock sheet; it is very interesting and again so carefully and cheerfully coloured in. I will keep that by my bird book. I keep a list too of all the new birds I recognise. The birds and I both say thank you for their food. I will definitely hang it on my bird table. I wonder if you spotted it when you did your delivery? I am going to drop a little donation off at school and I hope you will use it to do something kind for the birds next term....perhaps some food or some shelter? I hope you all have a lovely summer holiday and again thank you so much for thinking of me and taking so much trouble. I bet you have made lots of people happy." Jane (recipient)

"Oh my days...the bird drawings, I just LOVE, what an excellent project, would love to see more!" Kate (recipient)

"Thank you so much for letting us take part in the Flock Art project. Several of the children named FLOCK as a highlight, in their written review of the year" Mrs Ashton (Year 4 teacher, Norton Primary)

Make More Arts: Ryedale Place Pledge -Grant £1,000

The Ryedale Place Pledge was a community engagement project which allowed school groups and local businesses to spend time reflecting on what is special about Ryedale and provided opportunities for responding creatively. Local school children created artwork that explored the things they value about Ryedale and where they live. The pledges were made available online via a dedicated blog. A professional artist created some visual representations of the businesses who took part and these drawings can be downloaded from the blog as colouring sheets. This webpage will be added to over time.

67 young people took part, 22 from years 1 & 2, 30 from years 5 & 6 and 15 sixth form students. A selection of local businesses and staff at heritage sites also contributed. The webpage is a work in

progress and the pledges and artwork are still being uploaded but it can be viewed [here](#) and is open to all.

Feedback:

“The children at Kirkbymoorside had a really positive experience with the teacher highlighting how much they had enjoyed feeling ‘grown up’ thinking about the grown-up topic of how we look after our environment and area”

“The teacher of the sixth-form group at Lady Lumley’s fed back that her class had been ‘challenged in their thinking’ – which is ideal for a group of older teenagers!”

Malton In Bloom: Highfield Road Art Project - Grant £1,000

This grant provided match funding towards the arts strand of a larger project Malton In Bloom developed to refurbish a disused bus shelter on Highfield Road in Malton. The disused bus shelter sits outside Malton School and was in a dilapidated state but was sometimes used by parents to shelter from the rain while dropping off or picking up children. Malton In Bloom secured funds to have the roof fully repaired and then sought to work with the school and children to design artwork for the shelter. Professional street artists Art Of Protest were commissioned to do the painting. The new revamped shelter is in the public realm so viewed by all who use or pass by it.

Feedback:

“Social media has been excellent on this project. Malton Town Council have received extremely positive feedback from residents in this area.”

“Malton CP School have now commissioned Art of Protest to carry out additional artwork at the school due to the success of the bus shelter. House Martins nursery on St Michael’s Street, Malton have also commissioned them to paint their play area.”

Economy: harnessing Ryedale’s unique economy to deliver growth, homes and jobs

Our aims

- Quality homes local people can afford
- A connected rural economy
- Open for business

Case study 8 – Ryedale’s unique economy delivering growth, homes and jobs

Installing free public Wi-Fi in Ryedale market towns

A connected rural economy: We want everyone, no matter where they live, to be digitally connected.

During 2020-21, Ryedale District Council launched free public Wi-Fi in Malton, Pickering and Helmsley. Prior to this, Wi-Fi across the three market towns suffered from a lack of good consistent mobile coverage for every type of network.

The objective was to identify a high quality, user-friendly and reliable solution to boost businesses and benefit shoppers and visitors. Malton’s network went live in December 2020, Pickering’s in January 2021, with all three networks in operation by March 2021.

How the project was funded

| | |
|---------|--|
| €15,000 | Ryedale District Council was awarded €15,000 as part of the WiFi4EU initiative – an EU-funded scheme which aims to develop more digital communities and improve digital access across the EU |
| £8,975 | A digital connectivity grant of £8,975 was awarded by the York and North Yorkshire Local Enterprise Partnership to cover the operating costs for three years |
| £20,000 | Ryedale District Council allocated £20k of its budget for the project |

How public Wi-Fi is benefitting Ryedale

- Higher town centre footfall.
- Less congestion on 3G and 4G networks, giving communities better access to online services and information, improving digital skills and fostering economic growth.
- Greater access for everyone to the benefits that the internet provides.
- Promoting Ryedale as a progressive and attractive place to invest, visit and do business.
- Attracts greater visitor spend - upon connection to the relevant town centre network, users are directed to the local visitor website which provides information on local businesses, activities and events.

Clara Challoner Walker, CEO and Founder of Cosy Cottage, reached out to Ryedale District Council to give feedback on how the free public Wi-Fi has benefitted her business:

“It was the eve of the end of lockdown and our small business in Malton was excited for the long awaited pre-Christmas reopening. Our internet provider had other ideas! On 8th December our telephone and internet service was disconnected. We had been overcharged, our account was in credit, and the internet provider’s systems seemingly couldn't cope with accounts in credit.

Panic set-in; there were few businesses last December able to face the prospect of a December with no means to collect card or contactless payments, particularly in an environment of socially distanced trading where cash was to be discouraged. Then we happened upon the words 'Ryedale Free Wi-Fi' in our iPhone settings. The ingenuity and proactiveness of Ryedale District Council saved the day, saved our business and saved our team's jobs last Christmas.”

The installation of these Wi-Fi networks will also support further initiatives to support our towns and businesses including Wi-Fi based car parking machine transactions and smart bins.

Case study 9 – Ryedale’s unique economy delivering growth, homes and jobs

Discretionary Business and Additional Restrictions Grants

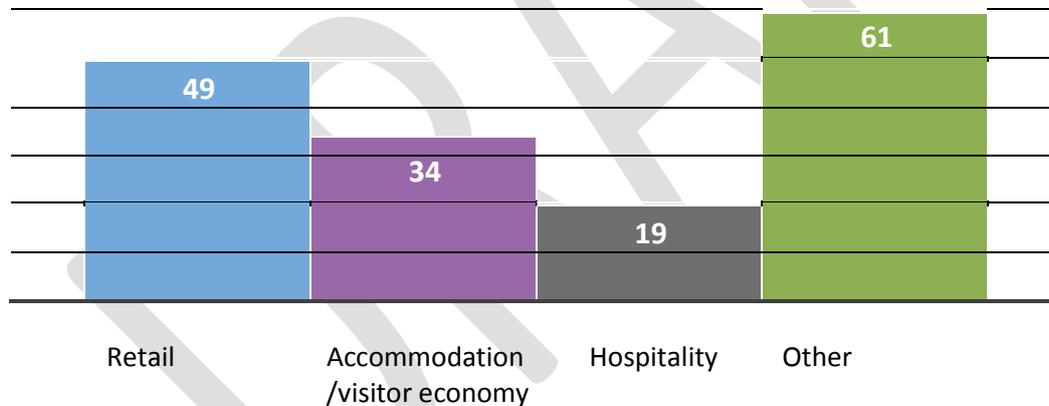
Open for business: We will promote and support micro, small and medium sized businesses

During 2020-21, Ryedale District Council focused on initiatives to promote business survival and protect livelihoods. This included the delivery of a series of Government-funded business support grant schemes, Discretionary Business Grants and Additional Restrictions Grants. All of these provided financial assistance to Ryedale businesses that had been severely impacted by COVID-19. During 2020/21, Ryedale District Council gave out 7,500 grants to local businesses totalling £45m.

Discretionary Business Grant Scheme (National Lockdown 1)

- We received £1,125,500 from Government
- 100% of this funding was awarded to 163 businesses
- The top three sectors to receive this funding were: Retail (49 businesses), Accommodation/Visitor Economy (34) and Hospitality (19)

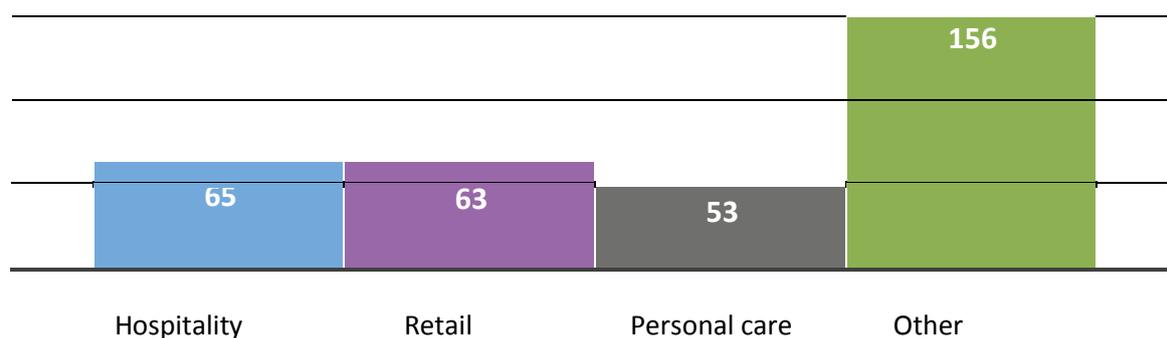
Top sectors supported by Discretionary Business Grants



Additional Restrictions Grant (ARG) (National Lockdown 2 & 3 (plus Tier 3 restrictions))

- We received £1,599,543 from Government as of Spring 2021 (we are awaiting a further £638,400 from the government)
- 100% of this funding was awarded to 337 businesses
- The top three sectors to receive this funding were: Hospitality (65), Retail (63) and Personal Care (53)

Top sectors supported by Additional Restrictions Grants

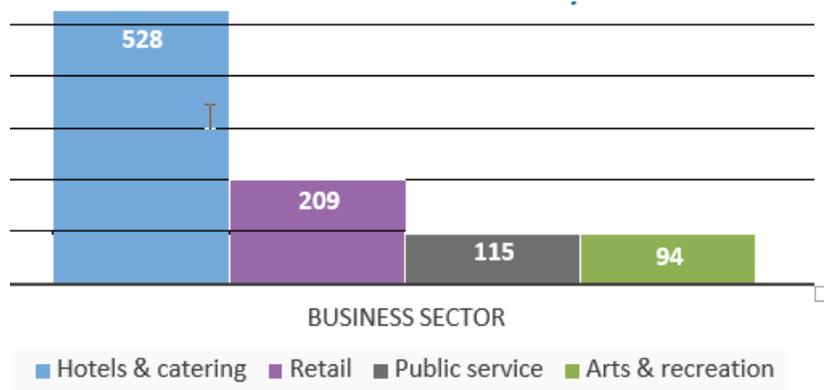


Mandatory business support grant payments

We also administered a number of mandatory business support grant schemes.

| Grant scheme | Number of grants given | Accumulative total of money distributed |
|---|------------------------|---|
| Small Business Grant (March – Sept 2020) | 1,465 | £14,650,000 |
| Retail, Hospitality & Leisure (March – Sept 2020) | 463 | £8,140,000 |
| Local Restrictions Support Grant Addendum (November 2020) | 1,050 | £1,551,248 |
| Local Restrictions Support Grant Addendum (January 2021) | 1,057 | £4,783,558 |
| Local Restrictions Support Grant | 1,391 | £5,124,509 |
| Close Business Lockdown Payment | 1,057 | £4,680,000 |
| Tier 2 Open - 289 payments totalling £316,841 | 289 | £316,841 |
| Tier 2 Closed - 9 payments totalling £13,816 | 9 | £13,816 |
| Tier 3 Closed - 36 payments totalling £10,294 | 36 | £10,294 |
| Christmas support payment for wet-led pubs | 21 | £21,000 |

Example sector breakdown: top sectors support by Local Restrictions Support Grants (during the November lockdown 2020)



Feedback from businesses receiving grants

“We are so delighted that RDC can help us – this grant will make such a difference to us in terms of navigating our way through the next few months and, hopefully, surviving. I am incredibly grateful to you for the conversation we had last week. Thank you so much.”

Ruth Hannah, Musical Memories CIC

“Thank you so much. Literally could hug you.”

Toni Lamb, Panther Fitness

“Just to let you know funds were received overnight, just wanted to let you know. Thanks again for all yours and the Council’s support which will provide a lifeline for us.”

Tony Fawcett, The Fairfax Arms

“Many thanks for your much needed continued support, yourself and Ryedale Council have been superb throughout this crazy year for everyone.”

- David Padley, self-employed taxi driver

“The response I received was prompt, courteous and concise, clarifying the situation, what monies had been paid under which grant and which applications I still should make.”

Sue Anderson, Chestnut Cottage B&B and Holiday Cottage

“Thank you so much for letting me know that we have been able to receive this grant and for transferring the funds to us so quickly. It is very much appreciated and a huge help to enable us to keep the business alive during the current times. We hope to bounce back stronger once restrictions are lifted and these funds will go a long way to ensure that we are still here to do so.”

James Costello, Costello’s Bakery

Case study 10 – Ryedale’s unique economy delivering growth, homes and jobs

Helping Ryedale businesses comply with COVID-19 regulations

Open for business: we will promote and support micro, small and medium-sized businesses

Ryedale District Council played an essential role in making Ryedale COVID-safe through:

- Activities to suppress the spread of infection
- Finding new and more effective ways of managing the virus and enabling life to return closer to normal
- Minimising damage to the economy, society, jobs and livelihoods

We conducted compliance checks across the whole district throughout the pandemic, taking formal enforcement action when needed.

We were also actively involved in managing COVID-19 outbreaks in a range of settings including:

- The hospitality sector, such as cafes and restaurants
- Close contact services, such as beauty salons and hairdressers
- Workplace settings, such as large manufacturing settings, food retailers, butchers

The Government made £60m available nationally for increased enforcement and compliance work by local authorities, and Ryedale District Council’s allocation was £23,573.

We dealt with approximately 200 requests from businesses and members of the public regarding COVID-19 regulation issues, and worked proactively with local businesses by advising how to comply with the latest COVID-19 guidance and regulations, and in particular, what COVID-secure premises should look like. This work involved sending out timely newsletters to 400 sector-specific businesses such as the licensed premises and 50 close contact services such as hairdressers, helping them understand new requirements.

With the COVID-19 lockdowns lifting in set stages, it was important that businesses, citizens and visitors felt safe with the proposed changes. To help make businesses safer, Ryedale District Council created a free ‘Back to Business’ pack which included posters and floor stickers reminding people to respect social distancing.

Ryedale District Council distributed over 600 ‘Back to Business’ packs to businesses to help them comply with legal requirements of a COVID-secure workplace.

Environment: a sustainable, safe and clean place

Our aims

- A safe place to live
- Clean and attractive streets
- Sustainability into the future

Case study 11 – A sustainable, safe and clean environment

Emergency response to flooding

A safe place to live: We want to reduce flooding risk by investing in flood alleviation measures and working with partners to provide an emergency response.

Throughout seven weeks of flooding between December 2020 and January 2021, Ryedale District Council worked with multi-agency partners including North Yorkshire Police and Fire and Rescue to protect communities, businesses and properties across the district. The collective response included:

- 32 portable pumps, which operated in Malton, Norton and Old Malton at the height of the event
- 1705 sandbags delivered across the district to 13 towns and villages.
- Providing residents whose properties were affected internally by flooding with temporary accommodation.

Case study 12 – A sustainable, safe and clean environment

Expanding support to community litter pickers during the COVID-19 pandemic

Clean and attractive streets: We want to keep our streets clean. We will improve our Streetscene operations and support communities to do more.

During the COVID-19 pandemic, as more and more people took to walking and exercising more outdoors, local people noticed that litter was becoming more prevalent, especially in open areas and at the side of roads and footpaths.

Some contacted Ryedale District Council to ask if they were allowed to carry out litter picks and to request support. We extended support to a number of community groups.

£3,482 of funding was obtained from the Ministry of Housing, Communities & Local Government's Welcome Back Fund to purchase additional litter picking equipment to loan to groups and individuals across the district. Equipment included litter picking sticks, hoops, hi-vis vests and bags to collect the rubbish in.

After these litter picks, our Waste and Environment teams collected and disposed of the bags of rubbish from agreed collection points.

Case study 13 – A sustainable, safe and clean environment

Waste and recycling collection during the pandemic

Clean and attractive streets: We want to keep our streets clean. We will improve our Streetscene operations and support communities to do more.

During lockdown, the amount of household waste and recycling collected by Ryedale District Council increased by 30% (March – June 2020/21).

- 283 tonnes of extra recycling were collected in 2020/21 compared to 2019/20
- Ryedale District Council is ranked second in North Yorkshire for highest recycling rate (Source DEFRA Wastedataflow)

The safety of our staff was a priority and measures were put in place to keep them as safe as possible. Safety precautions included hiring additional vehicles so that the crews could socially distance. Each vehicle was equipped with extra PPE and sanitised on a daily basis.

We received hundreds of thank you messages and pictures drawn by children in support and appreciation of the waste and recycling collection teams. Some residents also baked cakes and dropped them at the depot, making the staff feel their extra efforts were valued.

Case study 14 – A sustainable, safe and clean environment

Installing energy-saving LED bulbs in Ryedale's footway lights

Sustainability into the future: We will replace our street lights with energy-efficient LEDs.

During 2020/21, Ryedale District Council installed 296 energy- saving LED bulbs in its footway lights in Malton and Norton to cut costs and help the environment. The goal of the scheme is to save 84% of current light energy consumption, and can be counted towards our efforts to cut carbon usage across the district.

Case study 15 – A sustainable, safe and clean environment

Installing electric vehicle charging points in Ryedale

Sustainability into the future: We will promote sustainable transport by installing extra electric vehicle charging points

Ryedale District Council embarked on a programme of installing Electric Vehicle (EV) charging points across Ryedale. In total, we installed 20 charging points across Ryedale in 2020/21 including in long stay car parks in the market towns of Malton, Pickering, Helmsley and Kirkbymoorside. The Council also installed an additional 10 charging points at Council-owned properties (Ryedale House, Streetscene depot and North Yorkshire Building Control offices).

Ryedale District Council received a grant from the Office for Zero Emission Vehicles (OZEV) of £70,170, a contribution of 75% towards the cost of the EV units and installing them in the car parks. We also received a workplace charging grant from the Office for Zero Emission Vehicles (OZEV) of £3,500 towards the cost of the EV units and installing them in the workplace locations.

Ryedale is a rural district with market towns that service large areas of rural North Yorkshire. The introduction of town centre charging points aims to encourage local residents unable to install home charging units to make the switch to an electric vehicle by having fast convenient units situated near to their homes.

Our towns and countryside also attract tourists and day visitors who look to stay for several hours at a time. The locations of Electric Vehicle Charging points will provide visitors with convenient and practical access to charge their vehicles, encouraging them to stay longer and spend more locally.

In 2020, 1,125 charging sessions were recorded at the Council owned charging points. This equates to 15,700kg Co2 saved.

Organisation: an innovative, enterprising council

Our aims

- Accessible to all
- Value for money
- A great place to work

Case study 16 – an innovative, enterprising council

Public sector co-operation

Accessible to all: We will bring partners into Ryedale House and provide options for a “one-stop” Public Services Hub.

In February 2021, the Ryedale Community Safety Hub was formalised when North Yorkshire Police’s Safer Neighbourhood team began co-locating with the Council’s Civil Enforcement and Community teams. The Hub will improve collaboration opportunities with the aim of reducing crime and fear of crime, reducing running costs, and making it easier for citizens to access key services from one single location.

Some of the key initiatives the Hub worked on included combatting domestic violence and safeguarding children and vulnerable adults.

Case study 17 – an innovative, enterprising council

Graduate Development Programme

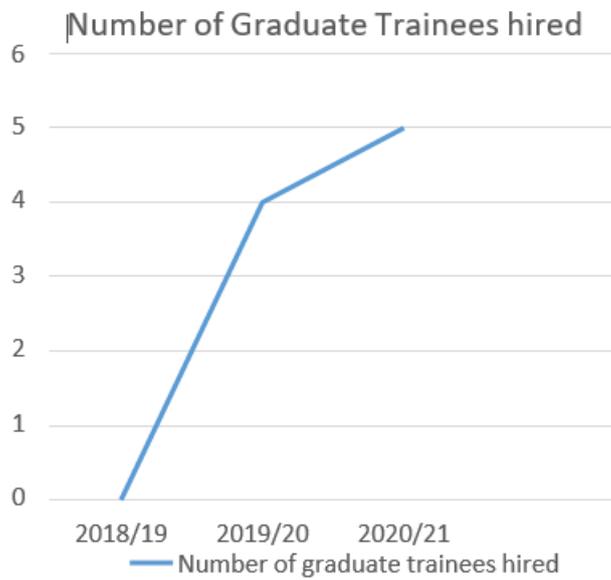
A great place to work: We will nurture talent through succession planning, recruiting graduate trainees and apprentices.

Since 2019, RDC has offered a range of roles across the organisation to recent graduates.

The scheme includes:

- Management training
- Access to Ashridge Management College (a triple-accredited, global business school with executive education programmes)
- Access to a suite of online learning - via learning zone
- A Graduate Network membership - includes ‘topical talks’ from senior staff, a Talent Management Adviser (TMA), lunchtime learning and electronic forums
- Mentor support
- Coaching and feedback
- Skills/service-specific training

The programme is two years long and incorporates training within the operational job role. We also aim to help our graduates secure a position with us upon the completion of their programme.



In the year 2020/21, graduate trainees were hired in Business Transformation, Economic Development, Environmental Health, Housing and Waste and Environment.

Graduate Development Programme: Jade Hutchinson

Jade joined the Graduate Development Programme at Ryedale District Council in 2019 after graduating from Hull University with a degree in Business and Management. Upon finishing the Graduate Programme in early 2021, Jade secured a permanent role at Ryedale District Council as a Data Analysis Officer.

How was your experience on the Graduate Development Programme?

“I really enjoyed my experience as a Graduate Trainee. It allowed me to develop skills and find aspects of work I really enjoyed. I got to work on different projects from beginning to end, and I really felt involved in the work I was undertaking. The Graduate Trainee post allowed me to have opportunities not necessarily available elsewhere.”

What skills did you gain on the Graduate Programme?

“During the programme, I definitely improved my skills in data analysis, project management, time management and problem solving. I also improved my interpersonal skills, including developing how I communicate with both internal and external colleagues. I also learnt new skills in the form of new software which in turn helped me to understand my strengths and build confidence.”

What elements of the Graduate Programme did you find most beneficial?

“The opportunity to undertake projects and work within multiple departments allowed me to gain a great insight into a range of roles. Also, through the Aspiring Managers and Middle Managers training programmes, I gained insight into the experiences and challenges managers can face.”

Please can you tell us a little bit about your new role and how the Graduate Programme led you to the role?

“The work I had undertaken in my graduate role included work around data analysis, and I realised this was something I enjoyed doing. When the role came up for Data Analysis Officer it seemed like a perfect opportunity to progress with this area of work further, and hopefully gain further skills around this area. I also enjoyed working at Ryedale District Council, and felt I had built strong ties with both my team and other departments. It was somewhere I wanted to progress my career and stay within. In my new role, I work across the same departments and within the same team I previously worked with in my graduate role. This was a team I wanted to stay within. I definitely feel like a valued member of my team.”

How has your overall experience at Ryedale District Council been so far?

“I have really enjoyed my experience at Ryedale District Council so far, everyone is really friendly and helpful and it is just generally a nice place to work.”

Is there anything you'd like to add?

“The whole scheme was a great experience that has enabled me to progress further and start a career.”

Case study 18 – an innovative, enterprising council

Training and Learning

A great place to work: We will ensure that training and development opportunities are available for all employees.

During 2020/21, our approach to training and learning had to be adapted due to COVID-19. Our adaptations included:

- Developing new targeted training modules to help employees face new challenges, for example, helping managers learn how to support staff remotely.
- All training went online so people could continue to learn while working from home.

During 2020/21, we significantly increased our training offering. Through our Learning Zone, employees have access to over 60 learning modules, 11 of which are mandatory for all employees, and 2 of which are mandatory for employees who have line management responsibilities. During 2020/21, our 230 members of staff completed an accumulative total of 2,001 mandatory training modules.

| Mandatory training modules: |
|--|
| Introduction to Information Management |
| Health and safety for employees |
| Customer Focus |
| Equalities and diversity |
| Mental health awareness |
| Data protection - GDPR update |
| Dealing with customer feedback |
| Information security |
| Freedom of information |
| Safeguarding adults under the Care Act |
| Safeguarding children: Online learning child protection basicawareness |
| Safer recruitment and selection (mandatory for line managers only) |
| Health and safety for Managers (mandatory for line managers only) |

Keiran Owen, Senior Financial Support Officer at Ryedale District Council

At Ryedale District Council, we are committed to facilitating training and learning opportunities for our employees. Keiran started his Chartered Institute of Management Accountants (CIMA) qualification in January 2021, and is due to complete the course in 2024. At present, Ryedale District Council has agreed to fund the first year of the course.

Please tell us about your current role at RDC.

"In my current role as a Senior Financial Support Officer I manage a small team which provides services such as accounts payable/receivable, accountancy support, payment management, treasury management, insurance and various other areas. I support my colleagues in the wider Finance team as well as staff across the organisation with training, support and advice."

How has your experience at RDC been so far?

"I have now been with RDC for 7 years and can honestly say that I have thoroughly enjoyed my time here. I think RDC is a fantastic place to work and I'm sure it will go from strength to strength. I have seen a lot of changes in a relatively short period of time, and think that ultimately, RDC continues to meet the challenges it faces due to the hardworking nature of the workforce."

How have you found undertaking your course while working at RDC? Please tell us about your experience.

"So far, so good! I passed my first exam last month and have enjoyed learning something new after being out of formal education for nearly ten years (how did that happen!?). I have my children Isobel (4) and George (2) at home so juggling work, family and CIMA has been challenging at times!"

What skills have you gained through your course?

"I have recently been studying Management Accounting and have picked up some really useful skills in relation to full costing and budgetary control which complements that work I do at RDC and has given me a greater understanding of some of the underlying principles of the profession."

How will the course and skills gained benefit your role at RDC and future career?

"In Accountancy, as with other professions such as Legal and Planning, to further your career you need to complete a professional qualification. CIMA will hopefully take my career to the next level and provide me with a deeper understanding of accountancy principals which will allow me to provide greater financial insights in my team and across the organisation at all levels."

Is there anything you'd like to add?

"I would like to thank RDC for giving me the opportunity to study CIMA."

Lizzie Phippard, Planning Officer at Ryedale District Council

Lizzie is studying a part-time Masters degree in Town and Regional Planning at Leeds Beckett University, which is funded by Ryedale District Council. She started in September 2019, and is due to finish in October 2021.

Please tell us about your current role at RDC.

“I started at RDC in the Planning Technical Support Team, validation planning applications, dealing with enquiries and handling Community Infrastructure Levy (CIL). Since December 2020, I have been a planning officer in the policy department, contributing to planning policy projects, handling a caseload of applications and also still handling CIL.”

How has your experience at RDC been so far?

“RDC is a lovely community of people and that’s added to the experience.”

How have you found undertaking your course while working at RDC? Please tell us about your experience.

“It’s been tough juggling both, especially in the midst of the pandemic, but RDC have allowed day release and colleagues have been very supportive and helpful. The course has taught me a lot about the history of planning and other spatial planning outside of Local Government. The course has also helped a lot in terms of learning to cope well under pressure, meeting deadlines, improved my report writing, presenting skills and overall confidence in my competency.”

How will the course and skills gained benefit your role at RDC and future career?

“Once I hopefully gain the qualification at the end of the year, I will look to apply for Chartership with the Royal Town Planning Institute to become properly recognised as a professional within that field. In order to advance professionally in planning it is really important to have this qualification, so I am really grateful to RDC for this opportunity.”

Case study 19 – an innovative, enterprising council

Employee well-being at Ryedale District Council

A great place to work: We will empower staff to deliver ambitiously for Ryedale, promote wellbeing and publish the results of staff surveys.

The 2020/21 financial year saw a big shift in focus at Ryedale District Council, driven by the COVID-19 pandemic. Many employees moved to remote working in order to protect their health and protect the Council's ability to deliver services to the public with minimal or no interruption.

Despite the global pandemic, the total sickness absence during 2020/21 was below an average of five days per employee.

Well-being shifted up the agenda significantly too, as we sought to support employees in a variety of ways during a difficult period of time.

In addition to the 24/7 counselling helpline, which was available to all staff, pulse surveys were taken to gain an understanding of how we could best support our workforce, and initiatives introduced to support their health and well-being. These included mental health awareness training, resilience training and the introduction of a digital pledge to encourage employees to look after their well-being when working remotely online.

Case study 20 – an innovative, enterprising council

Accessible to all: we will improve our engagement with you

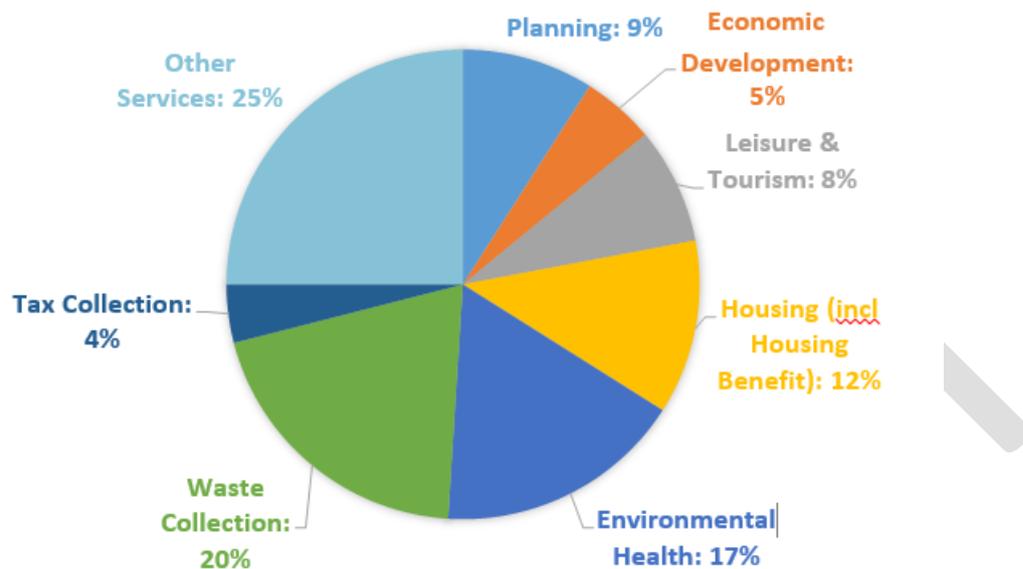
We began live streaming council meetings during 2020-21 to ensure public access to democracy. We set up the Ryedale District Council Live Streaming YouTube channel in late September 2020. By the end of the year, the channel has 73 subscribers and 29 publicly accessible meetings, and the streaming of council meetings had attracted over 5000 views.

We also responded to 30% more calls through our customer services teams during 2020-21. Our calls totalled 38,671, reaching a peak between July and September,

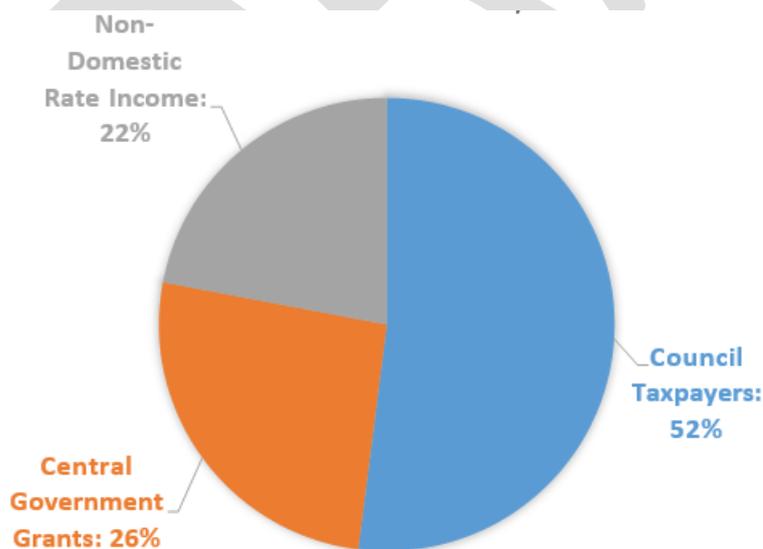
General Fund revenue Expenditure in 2021/22

Value for money: we will maintain strong finances into the future

The net cost of the Authority's revenue activities was £10.325m. This was spent on services as summarized in the chart below:



After adjusting for the payment of parish precepts of £1.092m, the receipt of investment income (£0.177m) and the net credit from appropriations (£0.670m) the amount met from Taxation and Non-Specific Grant income was £10.571m, which is funded as follows:





**URGENCY POWERS
PRE-DECISION CONSULTATION**

TITLE OF CONSULTATION: CARAVAN SITE AND CONTROL OF DEVELOPMENT ACT 1960 – FIT AND PROPER PERSON (F&PP) TEST

**OFFICER REQUESTING: PROGRAMME DIRECTOR FOR ECONOMIC DEVELOPMENT, BUSINESS AND PARTNERSHIPS
PHILLIP SPURR**

1.0 PURPOSE

1.1 Approval is sought to adopt a Fit and Proper Person Fees Policy and a Determination Policy and to support the introduction of the Fit and Proper Person test (F&PP) in relation to caravan site licensing (residential sites) which came into force on the 1st July 2021.

2.0 RECOMMENDATIONS

2.1 It is recommended that:

- (i) The Chief Executive in consultation with the Vice Chair of Policy & Resources Committee notes the new duty to undertake a Fit and Proper Person test in relation to caravan site licensing and approves the charging of a fee of £226.91 per application which will be reviewed as part of the Council's annual fees and charges processes.

3.0 REASON FOR RECOMMENDATION(S)

3.1 This is a new function for the Local Authority, enabling us to recover costs in accordance with an adopted Fees Policy. The approval of the fees and determination policies will support the performance of a new and important statutory function.

3.2 As the Fit and Proper Person test and the subsequent licences have to be completed by the 30th September 2021, as prescribed by legislation, if the report was submitted at the Policy and Resources meeting on the 23rd September 2021, this would be insufficient time to accurately process and turn around the application forms received for the sites in question. The information relating to the new policies was made available at the end of June. This was due to delays in respect of the legal opinion and training in the new legislation which was undertaken on the 16 July, consequently the deadline for the July Policy and Resources committee meeting could not be achieved.

4.0 SIGNIFICANT RISKS

4.1 To not agree the Fees Policy and Determination Policy would result in applications being received without any charging policy in place and no means of assessment.

- 4.2 All residential sites must have the Fit & Proper Person in place to manage the relevant sites by the 1st October 2021.
- 4.3 By not adopting the Determination Policy, it increases the risk of challenges to decisions made in relation to the Fit and Proper Person test.

5.0 IMPLICATIONS

5.1 The following implications have been identified:

a) Financial

Adopting the fee will ensure that the Ryedale District Council can recover the costs associated with delivering this process. If the fee cannot be set, the Council will not recover costs incurred with the process. The fee relates to currently 2 sites in Ryedale. The site fees are proposed to be set at £226.91. Finance have been consulted regarding the fee and the policy and have no comments regarding it. The Fees policy has been reviewed and signed off by the Council's 151 Officer.

b) Legal

Failure to adopt The Mobile Homes (Requirement for Manager of Site to be Fit and Proper Person) (England) Regulations 2020 leaves the Council open to the challenge of failing in its statutory duty. Adopting the Determination Policy will enable the Council to make decisions and reduces the risk of successful challenges to decisions. Not adopting the Determination Policy increases the risk of challenges to decisions made in relation to the F&PP test.

Through the Local Authority Caravan Site Licensing Officers' Forum which has over 200 local authority members, a specialist barrister was instructed to provide legal opinion which has been obtained with regards to the above legislation and in the preparation of both policies. The legal advice that has been received and is being used by all Local Authorities has also been shared with Ryedale Legal Shared Services who have reviewed the documentation and have no further comments to add.

c) Other

Staffing within existing resources,
Planning none, sites already in existence,
Crime & Disorder- to ensure that site are managed by fit and proper persons. The new legislation allows for us to request a DBS check to ensure that there are no convictions that would prohibit them from being licensed to manage the site in a safe and proper manner. We can also request information relating to the sites financial standing and whether they have procedures in place to ensure that customer complaints can be dealt with in a timely and reasonable manner.

6.0 MONITORING OFFICER ADVICE

As this matter would normally have been dealt with by the Policy and Resources Committee, the Vice Chair of that Committee (in the absence of a Chair) should be consulted. Although this item would normally have been referred on to Full Council, as it is a matter of policy, rather than process, it is not recommended that the Chair of Council be consulted.

7.0 CONSULTATION RECORD

According to the Constitution, under urgency powers, decisions usually taken by the Council and its committees are taken by the CEO following consultation with the appropriate elected members.

The appropriate elected members are:

- The Leader of the Council
- The Chair of the appropriate committee, for matters relating to that specific committee¹
- Relevant Ward member(s), if any, for matters of particular relevance to that ward²

| | |
|--|--|
| Name of consultee | Cllr Dinah Keal – Vice Chair of Policy and Resources Committee (Acting as the Chair) |
| Councillor Keal was supportive of the proposals. | |
| Date consultation completed | 06-09-21 |

8.0 DECISION

| | |
|---|---------------------------------|
| Decision of the CEO based on consultation | The recommendation is approved. |
| Date | 06-09-21 |

¹ “Chairman of the appropriate Committee” refers to committee specific matters and does not mean that all Committee Chairs will be consulted on everything

² “Relevant Ward Member(s), if any” refers to ward specific matters and does not mean that all Members will be consulted on everything

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**FIT AND PROPER PERSON DETERMINATION POLICY
(MOBILE HOMES SITES)**

Introduction

The Mobile Homes (Requirement for Manager of Site to be Fit and Proper Person) (England) Regulations 2020, require the manager of a site to be a Fit and Proper Person (“the Regulations”). Local authorities are accordingly required to introduce a fit and proper person test for mobile home site owners, or the person appointed to manage the site, unless they are eligible for an exemption under the Regulations¹.

The Regulations, made on 23 September 2020, allow local authorities to receive applications from site owners, or the person appointed to manage the site, from 1 July 2021 up to and including 30 September 2021.

A local authority must be satisfied that the site owner “*is a fit and proper person to manage the site*” or, if the owner does not manage the site, “*that a person appointed*” to do so by the site owner “*is a fit and proper person to do so*” or has, with the site owner’s consent, “*appointed a person to manage the site.*”

Where a site owner or their manager fails the fit and proper person test, and they are unable to identify and appoint a suitable alternative manager, who must pass the fit and proper person assessment, the local authority can instead appoint a person to manage the site, but only with the consent of the site owner.

Principally, the fit and proper person test applies to a “relevant protected site”. A relevant protected site is a site, which requires a licence and which is not solely for holiday purposes or is otherwise not capable of being used all year round. The fit and proper person requirement will ensure that site owners, or their managers, have integrity and follow best practice. Additionally, it provides the safeguard that such individuals will not pose a risk to the welfare or safety of persons occupying mobile homes on the site i.e. park home owners.

The Evidence

When conducting the fit and proper person assessment, Ryedale District Council (a local authority) must consider the following points relevant to the application:

1. Is the individual able to conduct effective management of the site?

This includes, but is not limited to, securing compliance with the site licence and the long-term maintenance of the site. It follows that, the local authority must have regard to:

- (i) whether the person has a sufficient level of competence to manage the site;
- (ii) the management structure and funding arrangements for the site or
- (iii) the proposed management structure and funding arrangements.

¹ *i.e. it is a non-commercial, family occupied site under Regulation 3

(a) Competence to manage the site

This includes reviewing the competency of the appointed individual. The individual must have sufficient experience in site management, or have received sufficient training, and be fully aware of the relevant law as well as health and safety requirements.

(b) The management structure and funding arrangements for the site

Ryedale District Council will consider whether relevant management structures are in place and whether they are adequate to ensure effective management of the site. The local authority may want to ensure that the applicant has a robust management plan, this should also be reviewed to ensure it addresses the following issues: the pitch fee payment, proximity of the manager to the site, manager's contact details for residents (including out of office and emergency contact details), the complaints procedure, maintenance, staffing, and refuse removal.

It is advisable that the site is managed by an applicant based in the UK and a management structure would be unlikely to be suitable if the applicant is an individual, or a company (including its directors), which does not reside or have a permanent UK address. This is because there may complex issues as a result of this, such as needing the court's permission to serve a claim in a foreign country. Should this happen, counsel would be able to assist. The applicant's interest in the land will also have an important impact, as would their financial standing, management structures and competence, all of which could contribute to the overall assessment of their suitability to manage the site effectively.

(c) The proposed management structure and funding arrangements in place for managing the site

Ryedale District Council must consider whether the applicant has sufficient funds (or has access to sufficient funds) to manage the site and comply with licence obligations. Evidence of these funds should be readily available.

Third party (including an associated company), the local authority should be wary if this is not disclosed as this will impact on the local authority's ability to deem whether the application is financially viable.

2. Personal information relating to the applicant concerned

This would include a criminal record check and should include evidence that the applicant:

- (a) has not committed any offence involving fraud or other dishonesty, violence, firearms or drugs or any offence listed in Schedule 3 to the Sexual Offences Act 2003 (offences attracting notification requirements);
- (b) has not contravened any provision of the law relating to housing, caravan sites, mobile homes, public health, planning or environmental health or of landlord and tenant law;
- (c) has not contravened any provision of the Equality Act 2010 in, or in connection with, the carrying on of any business;
- (d) has not harassed any person in, or in connection with, the carrying on of any business;

- (e) is not or has not been within the past 10 years, personally insolvent;
- (f) is not or has not been within the past 10 years, disqualified from acting as a company director;
- (g) has the right to work in the United Kingdom and,
- (h) is a member of any redress scheme enabling complaints to be dealt with in connection with the management of the site (when this is in place).

Ryedale District Council has a duty to investigate any conduct which could amount to harassment and any evidence obtained should be reviewed to determine whether it is sufficient to be used to prosecute a site owner. Officers may also rely on convictions by the courts as evidence of harassing behaviour which would reduce the risk of the local authority being successfully challenged on any refusal to approve an applicant on this basis.

Ryedale District Council may have records of previous harassment complaints made against a site owner or their manager. Even if no action was taken on these complaints it is still advisable that these be taken into consideration in the fit and proper person determination. These complaints may identify further potential risks and can also provide an indication of potential underlying problems with the management of the site or the site owner's lack of experience/skills in dealing with customers. Officers can address any underlying issues by attaching conditions to the individual's entry on the register.

3. Upon rejection of a person's application by Ryedale District Council this will be centrally recorded and include the details of the person involved and the reasons for the rejection.

Items to take into consideration

1. "The applicant" is defined at paragraph 2 of the Regulations as "the person who makes an application under regulation 6".
2. The "relevant person" is also defined at paragraph 2 of the Regulations to mean "the subject of the fit and proper person assessment under Regulation 7".
3. The conduct of any person associated or formerly associated with the relevant person is also an important factor to be considered in the fit and proper person assessment.
4. Site owners may be required to provide details of any current or former associates of the relevant person in the application form. Those associates will not include other current joint owners.
5. It is not routinely required to provide information of all current or past associates of the site owner. However, it is advisable that, prior to making any final decisions, officers consider the conduct of past and current associates relevant to that individual's application. The site owner can be asked to provide additional information during the application process.

6. Officers will be required to establish whether an individual is considered to be an associate of the relevant person and then whether their conduct is relevant to the application. A relevant associate could be defined as any individual who may have played a part, directly or indirectly, in a decision or action, which has had an impact on residents' rights, or the quiet enjoyment of their homes.
7. The Regulations are drafted widely giving the opportunity for local authorities to take into consideration other relevant matters. However, officers should be confident that poor management practices do not affect a person's conduct, unless they are also a breach of the criminal or civil law. A person cannot be deemed unfit due to conduct, simply because of poor management, although that factor is highly relevant to determining any question of suitability or competence. However, all conduct is relevant in relation to the person's fitness to hold a licence and/or manage the particular mobile home site.
8. Officers are able to decide the specific matters they consider relevant to the fit and proper person application. These matters could be in relation to current or previous issues, or events, that have occurred in relation to the park site or any other park site owned or managed by the site owner or site manager in another local authority area. Additionally, the site owner's conduct regarding other business, outside of the park homes sector, can also have implications on the financial and management arrangements of the site in question. Any matters which are believed to be of relevance to the application should primarily focus on the relevant person's conduct, competence and their suitability to manage the site.
9. It is advisable that evidence is obtained by officers to support any additional matters that they require to be taken into consideration for the application. This is to mitigate any risks should they face being challenged at a tribunal because of their final decision. The evidence could include previous tribunal and court decisions, documents or records from Companies House, or other public bodies or financial institutions. Allegations which have not been investigated or documented may be difficult to use as evidence to support an authority's decision.

Applications

The Regulations use various terms in the application process and these are outlined in the table at the beginning of the document.

As mentioned earlier "Relevant person" is defined in paragraph 2 of the Regulations and is "the subject of the fit and proper person assessment under 6 Regulation 7". Please note that this could be the site owner or person appointed to manage the site by the site owner.

"Relevant officer" is defined in paragraph 1 of Schedule 2 of the Regulations, where the applicant is a company, a relevant officer will be a director or other officer of the company; or, where the applicant is a partnership, a partner; or, where the applicant is a body corporate, a member of the management committee of that body.

"Required Information" is defined in paragraph 14 of Schedule 2 of the Regulations as: the person's name and business contact details; details of the person's role or proposed role in relation to the management of the site; where the person has not yet been appointed, the address, telephone number and email address (if any) at which the person may be contacted in respect of the application; details of each relevant protected site (other than that to which the registration application relates) — for which the person holds a licence issued under section 3 of the Caravan Sites and Control of Development Act 1960, or in which the person has a legal estate or equitable interest, or which the person manages.

The application for inclusion in the fit and proper register, must therefore include the following:

The applicant and site details required

1. Details of the site and applicant:
 - (a) The applicant's name and business contact details
 - (b) Where the applicant is not an individual, the following information in relation to the individual completing the application on behalf of the applicant and each relevant officer:
 - (i) the person's name
 - (ii) details of the person's role (if any) in relation to the management of the site
 - (c) The name and address of the site
 - (d) Evidence of the applicant's legal estate or equitable interest in the site
 - (e) Confirmation that the applicant is the occupier within the meaning of section 1 of the Caravan Sites and Control of Development Act 1960
 - (f) The name and business contact details of any other person that has a legal estate or equitable interest in the site
2. The name and address of each other relevant protected sites:
 - (a) for which the applicant holds a licence issued under section 3 of the Caravan Sites and control of Development Act 1960;
 - (b) in which the applicant has a legal estate or equitable interest; or
 - (c) that the applicant manages
3. The applicant must clearly specify whether their application is made in respect of either the applicant, or site owner, or the person that the applicant or site owner has appointed to manage the site

Information relating to the site manager

1. In circumstances where a "site manager" has been appointed to manage a site more information is needed. The person who is applying for the site manager to be registered as a fit and proper person (the relevant person) must provide the following information: the site manager's name and details of that person's role (if any) in relation to the management of the site.
2. If the site manager has appointed or intends to appoint a further individual ("A"), 'Required Information' would also be needed from A. And where A is not a relevant officer of the site manager, the relevant officer to whom A is accountable for the day-to-day management of the site, should be the one to provide the Required Information.

Additional information when the applicant is the relevant person and an individual

1. When the applicant is the relevant person, and is an individual, and the applicant has appointed, or intends to appoint, someone else ("B") to be responsible for the day-to-day management of the site, 'Required Information' would be needed from B. If B is not an individual but is, instead, for example, a company, and B has appointed an individual ("C") to do the day-to day management, 'Required Information' would be needed from C. Where C is not a Relevant officer of a company, the relevant officer to whom C is accountable for the day-to-day management of the site would also need to provide the Required information.

Additional information where applicant is relevant person and not an individual

1. When the applicant is the relevant person but is not an individual and the applicant has appointed or intends to appoint someone else ("B") to be responsible for the day-to-day management of the site, Required information would be needed from this person. If B is not a Relevant officer of the applicant the person to whom B is accountable for the day-to-day management of the site ("C") would also need to provide the Required Information. Where B itself is not an individual, the individual ("D") that B has appointed or intends to appoint to be responsible for the day-to-day management of the site would also need to provide the Required Information. Where D is not a Relevant officer of B, the relevant Officer to whom D is accountable for the day-to-day management of the site would also need to provide the Required Information.
2. It can be seen from the above that the Regulations prohibit the operation of a relevant protected site unless the site owner or its site manager (whatever the management structure might be) has been assessed by the local authority as a fit and proper person to do so. This has been included to ensure that consistent standards are applied to companies and other organisations that are not individuals.

Criminal record certificate/s

1. Criminal Records Certificates must be issued under section 113A (1) of the Police Act 1997 and will be required where: (a) the Relevant person is an individual and (b) for each individual in relation to whom the applicant is required to provide information for example, a site manager or individuals A, B, C or D as outlined above.
2. The application will need to be accompanied by a basic DBS certificate.
3. The certificate must have been issued no more than six months before the date of the application. It is incumbent upon the site owner to ensure that any certificates provided meet this requirement.

Declaration

1. A declaration made and signed by the "appropriate person", which means:
 - (a) where the applicant is a company, a director or other officer of the company;
 - (b) where the applicant is a partnership, one of the partners;
 - (c) where the applicant is a body corporate and the conduct of the management of the body is vested in its members, a member;
 - (d) where the applicant is not a body falling within (a) to (c) above, a member of the management committee;
 - (e) where the applicant is an individual, that individual.
2. Where the applicant is not the relevant person, the declaration must confirm that the applicant has made all reasonable enquires into the matters mentioned in paragraph 9 of the Regulations and considerations relevant to the fit and proper person assessment as set out below.
3. The declaration should also state that the information provided in the application is correct and complete to the best of the applicant's knowledge and belief.

Considerations relevant to fit and proper person assessment

1. Proper management of the site includes, but is not limited to, securing compliance with the site licence and the long term maintenance of the site.
2. To be able to secure the proper management of the site, the local authority must (amongst other things) have regard to whether the relevant person has a sufficient level of competence to manage the site and the management structure or proposed management structure and funding arrangements.

Decisions, notification and rights of appeal

1. The local authority must make a decision on the application in a timely and practicable manner and either:
 - (a) where the decision is to grant the application unconditionally and include the relevant person on the register for 5 years, serve a final decision notice on the applicant; or
 - (b) otherwise, serve a preliminary decision notice on the applicant.
2. On receipt of an application the local authority may:
 - (a) grant the application unconditionally;
 - (b) grant the application subject to conditions; or
 - (c) reject the application.

Granting the application unconditionally

1. Where officers are satisfied that the applicant meets the fit and proper person test unconditionally, they must include the applicant on the register for 5 years. The authority must issue a final decision notice to the applicant to inform them of its decision.
2. The final decision notice must clearly state:
 - (a) the date the final decision notice is served;
 - (b) the final decision;
 - (c) the reasons for the decision;
 - (d) when the decision is to take effect;
 - (e) information about:
 - (i) the right of appeal to the First Tier Tribunal; and
 - (ii) the period within which an appeal may be made.

To include the applicant on the register subject to certain condition(s)

1. In some circumstances, the local authority can specify that the individual for the fit and proper person test will only be successful if certain conditions are met. If these conditions are satisfied, the local authority can grant an application subject to those condition(s). The local authority can also grant an application for less than 5 years.
2. It may be the case that officers decide to include the person on a register subject to condition(s), if it would only be satisfied that the person would meet the fit and proper requirement if the condition(s) were complied with. An applicant will be able to appeal against the decision to attach (or vary) any condition to an entry on the register. It is therefore imperative that officers have clear and justifiable reasons for attaching any condition(s) and that any conditions imposed can be enforced by the Ryedale District Council.
3. Conditions will need to be clearly stated for the applicant's understanding and this will also allow for local authorities to ensure that they are enforceable.

An example of the requirements are included in the Table 1 below.

Table 1

| | |
|-------------------|--|
| Specific | The specific condition/s a site owner is being requested to address. |
| Measurable | The conditions required and the outcome(s) expected. |
| Achievable | The applicant should be reasonably expected to be able to achieve the condition. For example, it may not be reasonable to expect a site owner of one small site to have the same resources to introduce the same procedures as a medium sized company. |
| Realistic | The applicant should have a clear understanding of how the required outcome can be reached and that there are no circumstances or factors which would make the achievement of the outcome impossible or unlikely. |
| Timebound | A clear timescale in which the task/action must be completed. |

What can a condition relate to?

1. The fit and proper person test is aimed at ensuring that the person managing the site is competent and the conditions should relate directly to the person's ability to secure the proper management of the site.
2. Where a person has contravened legislation, or committed offences set out in paragraph 2 above, it is not recommended that conditions are set in relation to those

matters. This is because such a condition would be unlikely to meet the tests set out above in paragraph 33. For example, if a person has committed fraud or violence, that specific incident cannot be reversed by requiring the person to perform a specific task.

3. In cases where the person has committed those listed offences or contravened legislation, these breaches should be considered, together with all the other information available, when reaching their preliminary decision.
4. A condition can also be set with respect to ensuring the relevant person has the ability to secure the proper management of the site. In summary, conditions can relate to any factors which are relevant to the person's competence to manage the site, the management structure, or funding arrangements for the site, an associated person's influence, and any other relevant factors.
5. **Example 1** - The local authority has evidence of a site owner's failure over a certain period of time to address residents' complaints. This is an example of poor management which could be resolved by the site owner implementing an adequate complaints procedure. A condition could be attached requiring the site owner to *"implement an effective and accessible three stage complaints process for residents by xx date and provide the LA with quarterly reports of complaints and outcomes, from that date and for the first year"*.
 - (a) If the condition is met within the specified time frame, the local authority can record this in the register. If, at a future date, it is found that the site owner failed to implement a complaints procedure, a further opportunity to comply may be given and this could include a new condition of the site owner providing quarterly reports of complaints and outcomes for each year. The site owner could also be expected to complete a relevant "CPD customer service/Dealing with complaints" course by a certain period. However, should the local authority consider the actions as unlikely to achieve the desired outcome, the site owner could be removed from the register.
6. **Example 2** – If, when considering an application, certain documents or information are unavailable to the applicant, because of delays from third parties, the local authority may wish to attach a condition to the entry on the register that the site owner "is to provide the authority by registered post, with the original xx document by xx date".
7. **Example 3** - An associated person has been visiting the park and, through their action 'X', has caused distress to the residents impacting their well-being and security. A condition could be attached to the register requiring the site owner to put measure(s) in place by xxx date preventing the associated person, or any other person, from carrying out action X on the site.

Decisions not to include the applicant on the register

1. Should Ryedale District Council determine that the applicant does not meet the requirements, and attaching conditions would not be appropriate, the authority can refuse to grant the application.

2. Where the authority makes a decision to include the applicant on the register, subject to conditions, or not to include the applicant on the register, a preliminary decision notice to the applicant must be issued.

3. The preliminary decision notice must clearly state:
 - (a) the date the preliminary decision notice is served;
 - (b) the preliminary decision;
 - (c) the reasons for it;
 - (d) the date it is proposed that the final decision will have effect;
 - (e) information about the right to make written representations
 - (f) where the preliminary decision is to refuse the application, the consequences of causing or permitting the land to be used as a relevant protected site in contravention of the regulations; and
 - (g) where the preliminary decision is to grant the application subject to conditions, the consequences of failing to comply with any conditions.

Right to make a representation

3. An applicant who receives a preliminary decision notice will have 28 days in which to make representations to the local authority. The 28-day period begins with the day after the day on which the notice was served.

4. The local authority is obliged to consider and take any representations it receives into account before making a final decision.

Final decision notice

1. The local authority must, as soon as reasonably practicable, after the end of the period allowed for making representations, make a final decision and serve the decision notice on the applicant.

2. The final decision notice must set out:
 - (a) the date the final decision notice is served;
 - (b) the final decision;
 - (c) the reasons for it;
 - (d) when the decision is to take effect;
 - (e) information about the right of appeal and the period within which an appeal may be made;
 - (f) where the decision is to refuse the application, the consequences of causing or permitting the land to be used as a relevant protected site in contravention of the regulations; and
 - (g) where the decision is to grant the application subject to conditions, the consequences of failing to comply with any condition.

Appeals

1. The applicant can decide to appeal the decision by making an application to the First-tier Tribunal (Property Chamber) (“the tribunal”) within specific timeframes set by the tribunal. The applicant is permitted to appeal against any decisions served by the Authority. These could include:
 - (a) including the relevant person on the register for an effective period of less than 5 years;
 - (b) including the relevant person on the register subject to conditions; and
 - (c) rejecting the application.

2. Where an applicant accepts the authority’s decision not to include the person originally stated in the application on the register, they will be required to seek alternative management arrangements to comply with the fit and proper person requirement. If they fail to do so they will be committing an offence.

3. An appellant will not be able to claim compensation for losses incurred pending the outcome of an appeal.

Withdrawal or amendment of notice

1. There may be circumstances where the authority may decide not to continue or to withdraw a previously agreed action such as after serving:

- (a) a preliminary decision notice but before service of the final decision notice;
 - (b) a final decision notice but before the decision to which it relates takes effect; or
 - (c) a notice of proposed action but before the proposed action is taken.
2. To withdraw or amend a notice, the authority must serve notice to the person on whom the original notice was served.
 3. There are no requirements for notices to contain specific information, however, it is recommended that a withdrawal or amendment notice should state:
 - (a) That it is withdrawing/amending the original notice (a copy of the original notice should be attached for reference);
 - (b) the reasons for withdrawing the notice;
 - (c) the date it takes effect; and,
 - (d) the implications of the decisions in relation to the person's entry on the register.

Removal from the register

1. If, after a person is included in the register, and new evidence relevant to the person's inclusion becomes available, the authority may decide to:
 - (a) remove the person from the register;
 - (b) impose a condition on the inclusion of the person in the register (whether or not there are conditions already imposed);
 - (c) vary a condition; or
 - (d) remove a condition.
2. Officers must use their judgement when determining whether to review an entry and consider any subsequent actions are required. Any such decision should be related to the person being a fit and proper person rather than, for example, site licensing issues which are governed separately. If the local authority decides to take any of the actions listed in paragraph 51 (a) to (c) above, the local authority must serve a notice of any proposed action on the occupier.

The notice of proposed action must clearly state:

- (a) the date the notice of proposed action is served;
- (b) the action the local authority proposes to take;

- (c) the reasons for it;
 - (d) the date it is proposed that the local authority will take the action;
 - (e) information about the right to make written representations;
 - (f) where the proposed action requires the removal of a person from the register, the consequences of causing or permitting the land to be used as a relevant protected site in contravention of the regulations; and
 - (g) where the proposed action is to impose a condition on the inclusion of a person in the register or to vary a condition, the consequences of failing to comply with said conditions.
3. A notice of proposed action is not required if the local authority decides to remove a condition attached to an entry. A removal of a condition is viewed widely as being a positive step, which is unlikely to be opposed. It is for that reason that a notice of proposed action is not required. As good practice, the authority will make the site owner or their manager aware of the decision in writing and also ensure the register is updated.

Notice of action taken

1. Where a notice of proposed action is given, the occupier will have 28 days, starting from the day after the notice is served, in which to make representations.
2. The local authority must, as soon as reasonably practicable after the end of the 28-day period, decide whether to carry out the proposed action.
3. Where the local authority decides to take the action, the local authority must serve a further notice on the occupier, indicating the action that has been taken, within the period of 5 working days beginning with the day after the day on which the action was taken.
4. The notice of action must set out:
 - (a) the date the notice of action is served;
 - (b) the fact that they have taken the action;
 - (c) the reasons for doing so;
 - (d) the date the action was taken;
 - (e) information about the right of appeal and the period within which an appeal may be made;
 - (f) where the action is to remove a person from the register, the consequences of causing or permitting the land to be used as a relevant protected site in contravention of regulations; and
 - (g) where the action is to impose a condition on the inclusion of a person in the register or to vary a condition, the consequences of failing to comply with any condition.

Offences

1. There are 3 offences which can occur within the Regulations. They are as follows:

- Operating a site in contravention of the fit and proper person regulations - The site owner will have certain defences under the Regulations in any proceedings brought against them.
- Withholding information or including false or misleading information in the registration application - The site owner will not have any defences under the Regulations in any proceedings brought against them for this offence.
- Failing to comply with a specified condition - The site owner will have certain defences under the Regulations in any proceedings brought against them.

2. Ryedale District Council is responsible for enforcing the regulations. A site owner found guilty of any of the above offences will be liable on summary conviction to a level 5 (unlimited) fine.

Defences

1. One defence is available to a site owner who has inherited a site and would be found to have a reasonable excuse for failing to make an application within the relevant periods as set out below.

Relevant periods in specific circumstances

1. The below table outlines limited circumstances where a site owner may have a defence.

| Row | Circumstance | Relevant period for making an application in the circumstance |
|------------|---|---|
| 1 | the occupier held a site licence immediately before the day on which regulation 4 (operating a site without being a fit and proper person) came into force on 1 October 2021. | From 1 st July 2021 before 1 October 2021, the day on which regulation 4 came into force |
| 2 | the period of a person's inclusion in the register in relation to the site has come to an end other than as a result of action by the local authority under regulation 8(1)(a) (removal from the fit and proper register after new relevant evidence becomes available). | not less than two months before the end of the period of the person's inclusion in the register |
| 3 | at the time that the occupier became entitled to within the period of 3 months possession of the land it was in use as a relevant protected site; and within the period of 28 days beginning with the day after the day on which the person became the occupier of the land the occupier notifies the | beginning with the day after the day on which the person became the occupier of the land |

| | | |
|----|---|---|
| | relevant local authority of its intention to make an application under regulation 6 (application for inclusion in the register) | |
| 4 | at the time that the occupier became entitled to possession of the land it was in use as a relevant protected site; and the occupier does not give the notification referred to in row 3 above | within the period of 28 days beginning with the day after the day on which the person became the occupier of the land |
| 5 | a person appointed to manage the site no longer does so; and within the period of 28 days beginning with the day after the relevant day the occupier notifies the relevant local authority that the person no longer does so | within the period of 3 months beginning with the day after the relevant day |
| 6 | a person appointed to manage the site no longer does so; and the occupier does not give the notification referred to in row 5 above | within the period of 28 days beginning with the day after the relevant day |
| 7 | the breach of regulation 4(1) (operating a site without being a fit and proper person) arises because the local authority has removed a person from the register; and within the period of 28 days beginning with the relevant day in relation to the local authority's decision the occupier notifies the relevant local authority of its intention to make a new application under regulation 6 (application for inclusion in the register) in relation to the site | within the period of 3 months beginning with the relevant day |
| 8 | the breach of regulation 4(1) arises because the local authority has removed a person from the register; and the occupier does not give the notification referred to in row 7 above | within the period of 28 days beginning with the relevant day |
| 9 | the breach of regulation 4(1) (operating a site without being a fit and proper person) arises because the local authority has rejected an in-time application; and within the period of 28 days beginning with the relevant day in relation to the rejected application the occupier notifies the relevant local authority of its intention to make a new application under regulation 6 | within the period of 3 months beginning with the relevant day |
| 10 | the breach of regulation 4(1) (operating a site without being a fit and proper person) arises because the local authority has rejected an in-time application; and the occupier does not give the notification referred to in row 9 above | within the period of 28 days beginning with the relevant day |

The Fit and Proper Persons Register

1. Ryedale District Council must set up and maintain a register of persons who they are satisfied are fit and proper persons to manage a site in their area. This register must be open to inspection by the public during normal office hours. This register also must be published online.
2. The register will provide a record of the outcome (as discussed above) of the fit and proper person tests the authority have carried out for sites. The register must include the following:
 - (a) the name and business contact details of the person;
 - (b) the name and address of the relevant protected site to which the application relates;
 - (c) the status of the person (site owner or manager of the site);
 - (d) the dates of the first and last day of the period for which the person's inclusion in the register has effect;
 - (e) whether any condition is attached to the person's inclusion in the register; and
 - (f) where any condition is attached to the person's inclusion in the register:
 - (i) the number of any such conditions;
 - (ii) the dates of the first and last day of the period for which any such condition applies (if applicable); and
 - (iii) the date any condition is varied or satisfied (if applicable).
3. Where a person has met the fit and proper person test, the register will give details of that person and of the site, including decisions made on how long a person's inclusion is for, up to a maximum of 5 years.
4. In order to comply with the fit and proper person requirement a site owner must at least two months before the period (e.g. 5 years) comes to an end submit a new application for the person (or alternative) to be included in the register.
5. Where there are rejected applications, the following information must be included in the register:
 - (a) the name and address of the site to which the application relates;
 - (b) that an application in respect of the site has been rejected; and
 - (c) the date on which the application was rejected.

Details of the rejected application will remain on the register until a successful fit and proper person application is made in respect of the owner or manager of the site.

the name of the rejected applicant will not be included on the register.

6. Where the local authority has, with the site owner's consent, appointed a person to manage the site, the local authority must include the following information:

- (a) the name and business contact details of the person;
- (b) the name and address of the site which the person has been appointed to manage;
- (c) the status of the person;
- (d) the dates of the first and last day of the period for which the person's inclusion in the register has effect;
- (e) whether any condition is attached to the person's inclusion in the register; and
- (f) where any condition is attached to the person's inclusion in the register—
 - (i) the number of any such conditions;
 - (ii) the dates of the first and last day of the period for which any such condition applies (if applicable); and
 - (iii) the date any condition is varied or satisfied (if applicable).

Definitions

| Term | Definition |
|----------------------|---|
| Relevant Person | The subject of the fit and proper person test. This could be the site owner or person appointed to manage the site. |
| Relevant Officer | This will be the director or other officer of the company, a partner of a partnership or a member of the management committee of a body corporate. |
| Required Information | This information consists of the person's name and business contact details, person's role or proposed in relation to the management of the site and details of each relevant protected site. |
| Applicant | The person who makes an application |
| Companies House | Companies House is an executive agency, sponsored by the Department for Business, Energy & Industrial Strategy. |
| Site Manager | The person who manages the site. |

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**FIT AND PROPER PERSON
FEE POLICY (MOBILE HOMES)
2021/2023**



FIT AND PROPER PERSON FEE POLICY

Introduction

1. A relevant protected site is a site, which requires a licence, which is not solely for holiday purposes or is otherwise not capable of being used all year round. A relevant protected site cannot operate unless the local authority is satisfied that the manager qualifies as a fit and proper person, Sections 12A -12E of the Caravan Sites and Control of Development Act 1960, as implemented by Section 8 Mobile Homes Act 2013 (subject to paragraph 10 below).
2. A site owner under the Mobile Homes (Requirement for Manager of Site to be Fit and Proper Person) (England) Regulations 2020 (SI 2020/1034) ("the Regulations") must apply to the Ryedale District Council (The Council) for the relevant person (themselves or their appointed manager) to be added to the register of fit and proper persons managing sites in their area ("the register").
3. The site owner may only apply to be added to the register if they hold, or have applied for, a site licence for the site. This provision also applies where the site owner or site manager is a registered company.
4. The Regulations permit the Council to determine the fee for an application or registration for someone to be added to the register. It is imperative that the fee is included with the application and failing to include this may mean that the site owner is in breach of the requirements of the Regulations.
5. It is important to highlight that this fee policy will refer to the recovery of costs which the Council may have incurred, or which will be incurred, in appointing a person to manage a site with the site owner's consent. This will be calculated separately to the application fee.
6. Site owners will be required to submit a completed application from 1 July until 30 September 2021 (3 months) and pay the fee, outlined below, to Ryedale District Council.

Fees for Fit and Proper Persons Register Applications

Application fee

7. The Council has provided a breakdown of the task associated with the fit and proper person assessment and/or checks to be included on the fit and proper register in Appendix A on page 5
8. Ultimately, the checks are likely to be carried out by the same officers who carry out the licensing functions and, therefore, their hourly rate of £27.50.
9. The Council will take into account the following matters on which costs are incurred, or likely to be incurred (by various departments, including costs incurred by outsourcing contracts), when determining its fee policy for consideration of applications for entry on a fit and proper person register:



- (a) Initial enquiries;
 - (b) letter writing/ telephone calls etc to make appointments and requesting any documents or other information from the site owner or from any third party in connection with the fit and proper process;
 - (c) sending out forms;
 - (d) updating files/ computer systems and websites;
 - (e) processing the application fee;
 - (f) land registry searches;
 - (g) time for reviewing necessary documents and certificates;
 - (h) preparing preliminary and final decision notices;
 - (i) review by manager or lawyers; review any representations made by applicants or responses from third parties;
 - (j) updating the public register;
 - (k) carrying out any risk assessment process considered necessary and
 - (l) reviews of decisions or in defending appeals.
10. The charges are limited to recovering the costs of exercising the fit and proper person test function only and do not include other costs that have already been charged for by other service areas
11. Please see Appendix A found at page 5 which outlines the above and provides transparent justification for the fee to be imposed upon receipt of the initial application. The purpose of this table is to demonstrate that the fees imposed are fair and transparent providing justification as to why a site is required to pay the fee. In light of the small number of sites that this applies to no annual fee will be charged in addition to the application fee for ongoing enforcement

Additional considerations for an application fee:

12. The Council will be required to conduct relevant background checks regarding the applicant's background in management and their financial standing. The results of these checks will allow the local authority to decide on whether or not to accept the application. The time taken for these checks should be accounted for in the fee, irrespective whether or not the entry on the register is granted.
13. Where an applicant contacts the Council before making an application, to ascertain the likelihood of the success of that application, the authority is expected to provide informal advice, for example, the conditions surrounding an application, for example the information required to be submitted and general guidance on making the application. There is further guidance relating to this in the fit and proper person determination policy.
14. Any preliminary advice the local authority provides, prior to receiving an application, must be accounted for in the fee and cannot be charged separately.

An appointed manager fee

15. This is where the Council is provided with the site owner's consent to appoint an individual to manage a site. The costs associated with this should be reasonable and are recoverable from the site owner.



Revising Fees

16. The Council may revise its fees policy and will be required to publish the revised policy. Any changes will need to be justifiable and reasonable, ensuring full transparency for the site owner.
17. The purpose of publishing the fee policy is to show that the fees imposed by the local authority are fair and transparent so that anyone required to pay a fee can understand the charges.

Amending conditions attached to an entry on a register

18. The Council may alter the conditions attached to an entry on a register (by adding new conditions or changing or deleting existing ones), following a review. The local authority must notify the site owner of its interim decision (except in the case where it is deleting a condition) and consider any representations made by the site owner, before reaching a final decision. If the site owner is unhappy with the decision to alter, or not alter, the conditions, they will have a right of appeal to the First-tier Tribunal (Property Chamber).
19. There are no requirements for a site owner to make an application for a condition to be altered. Any costs involved with amending existing conditions, or adding new conditions to an entry, must also be factored into the cost of calculating the application fee.

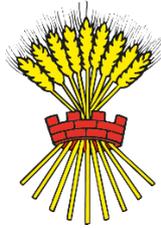
Payment of fees

20. As outlined above in paragraph 4, the Council is not required to consider an application for entry on the register unless that application is accompanied by the correct fee. If the correct fee is not paid, the application will not be valid and the site owner could be in breach of the Regulations.
21. If the Council decides not to approve an application the applicant is not entitled to a refund of the fee paid.



| Fit & Proper Assessment | | | | |
|---|------|-------|---------|--------|
| Step | Time | Rate | Officer | Total |
| Pre-application advice | 30 | 27.50 | SEHO | 13.75 |
| Receipt of application and record on Idox/civica. Acknowledgement email sent | 15 | 27.50 | SEHO | 6.88 |
| Application form received, checked as a full and proper application, complete, signed and create file | 30 | 27.50 | SEHO | 13.75 |
| Process the fee & send out receipt | 30 | 27.50 | SEHO | 13.75 |
| Review application & make enquiries, i.e. FPPT documents, declarations (inc management and finance) | 120 | 27.50 | SEHO | 55.00 |
| Update idox/civica record | 30 | 27.50 | SEHO | 6.88 |
| Review any representations from applicant or third parties, including reviews carried out by manager or legal. | 60 | 27.50 | SEHO | 27.50 |
| Application of any conditions | 30 | 27.50 | SEHO | 13.75 |
| Grant of application (Final Notice) or serve Preliminary Notice (approved/signed by AGM) | 30 | 27.50 | SEHO | 13.75 |
| Add relevant person's details onto public register | 15 | 27.50 | SEHO | 6.88 |
| Review Appeal paperwork (assume 1 every 10 applications) Produce appeal response and relevant Notice, issue final decision | 15 | 27.50 | SEHO | 13.75 |
| Issue final decision notice following appeal | 15 | 27.50 | SEHO | 6.88 |
| Add relevant person details to Register | 30 | 27.50 | SEHO | 13.75 |
| Oversight of appeal | 15 | 27.50 | SEHO | 6.88 |
| Update idox/civica record | 15 | 27.50 | SEHO | 6.88 |
| Enforcement- removal from register or in relation to conditions (assume 1 every 10 applications) | 15 | 27.50 | SEHO | 6.88 |
| | | | | |
| Total cost per application | | | | 226.91 |

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URGENCY POWERS PRE-DECISION CONSULTATION

TITLE OF CONSULTATION: STRUCTURAL CHANGE ORDER

OFFICER REQUESTING: SIMON COPLEY
HEAD OF CORPORATE GOVERNANCE AND
MONITORING OFFICER

1.0 PURPOSE

1.1 To decide whether Ryedale District Council submits a formal response to the Ministry for Housing, Communities and Local Government (MHCLG) on any aspect of the content for the Structural Change Order.

2.0 RECOMMENDATION(S)

2.1 It is recommended that:

- (i) Ryedale District Council submits a formal response to MHCLG on content for the Structural Change Order, requesting greater parity between the County Council and District and Borough Council numbers on the Implementation Executive and the application of political proportionality.

3.0 REASON FOR RECOMMENDATION(S)

3.1 MHCLG has set a deadline for submitting views on the content of the Structural Change Order of 20 September 2021.

3.2 A response was drafted on behalf of Ryedale District Council, following consultation with Group Leaders, and was fed back to the Implementation Board meeting on 15 September 2021. The Board is made up of political representatives from across North Yorkshire – that is, the Leaders of seven councils, the County Council and in Ryedale's case, the Chair of Policy and Resources.

3.3 The response drafted for the Implementation Board is appended to this decision request as Appendix A.

3.4 At the Implementation Board there was broad consensus around the content of the Structural Change Order. However the Ryedale representative did question whether there should be greater parity between the County Council and District and Borough Council numbers on the Implementation Executive and the need for political proportionality.

- 3.5 The proposal for the Implementation Executive to be made up of 10 County Council representatives and 7 District and Borough Council representatives would result in a political balance of 14 Conservatives (10 County and 4 District and Borough) and 3 non-Conservatives.
- 3.6 The Assistant Chief Executive (Legal and Democratic Services) and Monitoring Officer at the County Council advises that if political proportionality was formally applied, the only change would be to require at least one non-Conservative representative from the County Council and therefore a request would be made to increase their number of representatives to 11. There would be no change to the District and Borough representation. Advice from MHCLG is still awaited to confirm this calculation of political proportionality.
- 3.7 The advice given at 3.6 suggests that the application of formal proportionality would not change the representation from the District and Borough Councils and may have the consequence of increasing representation from the County Council.

4.0 SIGNIFICANT RISKS

- 4.1 There are no significant risks associated with submitting a consultation response as each council is entitled to do so. Significantly more risk has been introduced into the system as a consequence of local government reorganisation, which is currently being assessed. The situation detailed in section 3 above regarding political proportionality supports the mitigation of risks by ensuring political balance in representation and decision making by the Implementation Executive.

5.0 IMPLICATIONS

- 5.1 The following implications have been identified:
- a) Financial
Ryedale District Council will be expected to contribute staffing and other resources towards implementation of the new authority. The Head of Paid Service and Section 151 Officer are currently assessing the implications of this in terms of cost and any service continuity implications.
 - b) Legal
The Structural Change Order will be legally binding.
 - c) Other (Equalities, Staffing, Planning, Health & Safety, Environmental and Climate Change, Crime & Disorder)
The Implementation Executive needs to represent all councils and their overall political make up to ensure political balance.

6.0 MONITORING OFFICER ADVICE

The Chair of Policy and Resources Committee should be consulted on this decision. Engagement with Group Leaders had previously been recommended as part of the process and had taken place, with views provided fed into the response at Appendix A.

7.0 CONSULTATION RECORD

According to the Constitution, under urgency powers, decisions usually taken by the Council and its committees are taken by the CEO following consultation with the appropriate elected members.

The appropriate elected members are:

- The Leader of the Council
- The Chair of the appropriate committee, for matters relating to that specific committee¹
- Relevant Ward member(s), if any, for matters of particular relevance to that ward²

| | |
|---|-------------------|
| Name of consultee | Cllr Dinah Keal |
| That a response should be submitted to MHCLG requesting greater parity between the County Council and District and Borough Council numbers on the Implementation Executive, so that the County Council have a simple majority of one, and the application of political proportionality. | |
| Date consultation completed | 20 September 2021 |

8.0 DECISION

| | |
|---|---------------------------------|
| Decision of the CEO based on consultation | The recommendation is approved. |
| Date | 21-09-21 |

¹ "Chairman of the appropriate Committee" refers to committee specific matters and does not mean that all Committee Chairs will be consulted on everything

² "Relevant Ward Member(s), if any" refers to ward specific matters and does not mean that all Members will be consulted on everything

APPENDIX A

| | Ryedale's formal response, following discussions between CEO and Group Leaders |
|--|---|
| Name of the new authority | <p>Our overall preference would be for the word Unitary to be added in – North Yorkshire Unitary Council.</p> <p>We would not support the continued use of North Yorkshire County Council.</p> <p>Although not a matter for the SCO, Elected Members have expressed a strong view that they would wish to be shared at this stage. That is, there should not be extensive rebranding for LGR given the likely costs involved.</p> |
| Form of Unitary Council | <p>Our view is that the most cost effective and simplest method should be used to transition to unitary council status. This view is based on the proviso that if a continuing authority model is used to form the unitary council, that we are not endorsing any principle that district and boroughs are being 'added to' the County Council.</p> |
| Number of councillors for first Election (May 2022) for North Yorkshire Council and new Ward arrangements | <p>Our understanding from the MHCLG is that we are now expected to implement the County Council-led proposal, which means that circa 90 members is the ceiling for revised ward arrangements. We remain concerned about this figure, and consider it detrimental to levels of democratic representation. However, we have had an opportunity to feed into the County Council proposals on warding arrangements, and were able to ask for changes. On this basis, and given the framework in which we are now working, we will not be submitting an alternative proposal</p> <p>Elected Members at Ryedale are also concerned about how this proposal influences the detail of how local democracy and service delivery will operate. Questions being asked are about the set-up of local area committees. What level of essential local decision making powers will they have? What level of funding for such decisions will be devolved to them? There is a view that a number of issues must be decided / monitored locally, such as planning, waste collection, housing, benefits etc., which could not be effectively controlled from a distant location.</p> |
| Composition of Implementation Executive prior to Elections | <p>We do not support and are concerned about NYCC's proposal and consider a majority of 3 excessive.</p> <p>We accept that we would need to support a majority of one in favour of the County Council, in line with MHCLG's initial guidance.</p> <p>If the 10/7 split is accepted by the Minister, we would ask that there is no provision made for the Chair to have a casting vote.</p> <p>We would want political proportionality to be considered, particularly in a 10/7 split scenario.</p> <p>We do not believe it is necessary to specify the Leader of the County Council as the Chair (MHCLG have only asked the question should it be specified). If this is agreed by the Minister we would ask that the Vice Chair is a District or Borough Council Leader, and also specified.</p> <p>It will be important to establish formal arrangements for the Implementation Executive.</p> |
| Composition of Implementation Team | <p>We do not believe it is necessary to specify the CX of County Council as the Chair (MHCLG have only asked the question should it be specified). If this is agreed by the Minister we would ask that the Vice Chair is a District or Borough Council CX, and also specified.</p> |
| Electoral Cycle for new Council | <p>Accept this proposal</p> |
| Creation of a Combined Authority | <p>We have a number of questions on this matter. In principle it would be helpful. However the current approvals regarding devolution by constituent councils may need to be considered. We are also assuming there will need to be dialogue with CYC as this would be affected by the creation of a Combined Authority. Finally we would wish to shape any detail relating to the link with local democracy.</p> <p>The use of the term County Council Executive as highlighted in yellow is not accepted.</p> |
| Duty to Co-operate | <p>We accept this proposal. However, we would like to highlight the need for all councils to be equally involved in shaping this stage of the process so that the best possible North Yorkshire Unitary Council is created and implemented.</p> |
| Power to create Town Councils | <p>This is a matter primarily for Scarborough and Harrogate but agree that this should be supported.</p> <p>The use of the term County Council Executive as is not accepted.</p> |

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

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