

# Selby District Council



## Agenda

Meeting: **Executive**  
Date: **5 February 2015**  
Time: **4pm**  
Venue: **Committee Room**  
To: Councillor Mark Crane, Councillor Mrs Gillian Ivey, Councillor Cliff Lunn, Councillor John Mackman and Councillor Chris Metcalfe

### 1. Apologies for absence

### 2. Minutes

The Executive is asked to approve the minutes of the meeting held on 8 January 2015. Pages 1 to 6 attached.

### 3. Disclosures of Interest

A copy of the Register of Interest for each Selby District Councillor is available for inspection at [www.selby.gov.uk](http://www.selby.gov.uk).

Councillors should declare to the meeting any disclosable pecuniary interest in any item of business on this agenda which is not already entered in their Register of Interests.

Councillors should leave the meeting and take no part in the consideration, discussion or vote on any matter in which they have a disclosable pecuniary interest.

Councillors should also declare any other interests. Having made the declaration, provided the other interest is not a disclosable pecuniary interest, the Councillor may stay in the meeting, speak and vote on that item of business.

If in doubt, Councillors are advised to seek advice from the Monitoring Officer

#### **4. 3<sup>rd</sup> Interim Corporate Plan Progress Report**

Report E/14/64 asks the Executive to consider Access Selby's key performance indicators following the third quarter of 2014/15. Pages 7 to 20 attached.

#### **5. Selby District Corporate Plan 2015–20 – Key Decision**

Report E/14/65 asks the Executive to approve a new Corporate Plan covering the years 2015-2020. Pages 21 to 43 attached.

#### **6. Scrap Metal Dealers Policy**

Report E/14/66 asks the Executive to approve the draft Scrap Metal Dealers Policy and submit the policy for consultation. Pages 44 to 61 attached.

#### **7. Hackney Carriage and Private Hire Vehicle Licensing Policy**

Report E/14/67 asks the Executive to approve the Taxi Licensing Policy. Pages 62 to 111 attached.

#### **8. 3<sup>rd</sup> Interim Budget Exceptions Report – Key Decision**

Report E/14/68 provides the Executive with details of major variations between budgeted and actual expenditure and income for the 2014/15 financial year to 31 December 2014. Pages 112 to 124 attached.

#### **9. 3<sup>rd</sup> Interim Treasury Management report – Key Decision**

Report E/14/69 asks the Executive to endorse the actions of officers with regard to the Council's treasury management activities. Pages 125 to 133 attached.

#### **10. Medium Term Financial Plan – Key Decision**

Report E/14/70 presents the Executive with the draft revenue budgets, capital programmes and Programme for Growth, for 2015/16 to 2017/18 following public consultation. Pages 134 to 191 attached.

#### **11. Treasury Management Strategy – Key Decision**

Report E/14/71 presents for approval the proposed Treasury Management Strategy together with the Minimum Revenue Provision Policy Statement, Annual Investment Strategy for 2015/16 and Prudential Indicators 2015/16. Pages 192 to 230 attached.

## **12. Authority Monitoring Report (AMR) including the Local Development Scheme and the 5 Year Housing Land Supply**

Report E/14/72 provides the Executive with the Authority Monitoring Report which details the performance of the Core Strategy's policies against the targets. Pages 231 to 330 attached.

**Mary Weastell**  
**Chief Executive**

<b>Dates of next meetings</b>
<b>19 February 2015 - Executive Briefing</b>
<b>5 March 2015 Executive</b>

Enquiries relating to this agenda, please contact Palbinder Mann on:  
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Recording is allowed at Council, committee and sub-committee meetings which are open to the public, subject to:- (i) the recording being conducted with the full knowledge of the Chairman of the meeting; and (ii) compliance with the Council's protocol on audio/visual recording and photography at meetings, a copy of which is available on request. Anyone wishing to record must contact, prior to the start of the meeting, Palbinder Mann – Democratic Services Manager on 01757 292207 or [pmann@selby.gov.uk](mailto:pmann@selby.gov.uk). Any recording must be conducted openly and not in secret.

# Selby District Council



## Minutes

### Executive

Venue:	Committee Room, Civic Centre, Selby
Date:	8 January 2015
Present:	Councillor M Crane (Chair), Mrs G Ivey, C Lunn, J Mackman and C Metcalfe.
Officers present:	Chief Executive, Deputy Chief Executive, Executive Director (S151), Director, Solicitor to the Council, Lead Officer Policy, Policy Officer, Lead Officer - Data and Systems, Finance Officer, Lead Officer - Marketing and Communications and Democratic Services Manager.
Also Present:	Councillors J Crawford and S Shaw-Wright.
Public:	0
Press:	0

NOTE: Only minute numbers 84 to 90 are subject to call-in arrangements. The deadline for call-in is 5pm on the 22th of January 2015. Decisions not called in may be implemented on the 23<sup>rd</sup> of January 2015.

#### 81. Apologies for Absence

No apologies were received.

#### 82. Minutes

The minutes of the meetings on 4 and 18 December 2014 were submitted and agreed as a correct record and signed by the Chair.

**83. Disclosure of Interest**

None.

**84. Community Infrastructure Levy (CIL)**

Councillor M Crane presented the report on the CIL Draft Charging Schedule consultation. The report identified how the issues raised as part of the consultation had been taken forward.

Councillor M Crane provided an overview of the work undertaken by officers and the Council's consultants to produce the charging zones proposed in the report. The Executive heard that CIL charges would become due on the 'commencement of development', the definition of which was the same as that used in current planning legislation.

**Resolved:**

- i. To note the content of the report.**
- ii. To agree the consultation material for another round of consultation on the Draft Charging Schedule. In particular to note:**
  - a. The change from a 2-zone charging system for housing development to a 3-zone system incorporating:  
Low Zone £10 pm<sup>2</sup>  
Medium Zone £35 pm<sup>2</sup>  
High Zone £50 per pm<sup>2</sup>**
  - b. A more comprehensive Draft Charging Schedule Document;**
  - c. The draft instalments and exemptions policies (unchanged);**
  - d. The indicative Regulation 123 List of spending priorities (unchanged);**
- iii. To grant delegated authority to the Director of Community Services in consultation with the Leader of the Council to agree minor amendments and final wording to the consultation material as necessary.**

Reason for the decision:

- i. To update the Executive on the progress made towards adoption of CIL
- ii. To note the results of the first round of consultation and to respond to that consultation appropriately and to authorise changes prior to a further round of consultation as part of the process to develop and implement a lawful mechanism for the CIL.

**85. North Yorkshire and York Local Enterprise Partnership – proposal to create a Joint Committee**

Councillor M Crane presented the report which summarised the proposal to create a Joint Committee in the York, North Yorkshire and East Riding LEP area to strengthen governance arrangements and sought approval in principle. It also outlined the proposal to dissolve the Leeds City Region Leaders' Board.

The Executive heard that further work had been commissioned to examine the options and models for a combined authority. The Leader and Chief Executive would be contributing to this work. The Chief Executive gave a further update on the work undertaken to date.

**Resolved:**

- i. To approve, in principle, the creation of a Joint Committee for the York, North Yorkshire and the East Riding Local Enterprise Partnership.**
- ii. To note that final proposals including the exact nature of the functions to be delegated will be brought back for consideration early in 2015 following further work by the LEP.**
- iii. To note that the Leeds City Region LEP has agreed to dissolve its Joint Committee following the establishment of the West Yorkshire Combined Authority and the Executive will receive a report early in 2015, recommending that it rescinds the delegations to the LCR Leaders' Board.**

Reason for the decision:

To improve the governance arrangements for the York, North Yorkshire and East Riding LEP in order to meet the requirements of the current Growth Deal and to put the region on a firmer footing in future funding negotiations.

**86. Housing Rents 2015/16 – Key Decision**

Councillor C Lunn presented the report on the proposals for Housing Revenue Account rent levels in accordance with the Government's new policy on rent setting.

Councillor C Lunn set out that the Government's current rent restructuring process would come to an end during 2014/15. The Executive heard that the method of calculating the maximum increase would change to CPI + 1%. This change would produce lower increases in rent, although approximately 60% of tenants receive

partial or full benefit and so the impact of the changes on these tenants would be minimal.

**Resolved:**

**To approve the proposed 2.2% average rent increase for 2015/16.**

Reasons for the decision:

To allow rent levels to be set in advance of the coming financial year within the constraints of Government rent setting policy.

**87. HRA Business Plan**

Councillor C Lunn presented the report on the draft Housing Revenue Account Business Plan refresh following the consultation approved by Executive on 4<sup>th</sup> September 2014.

The Executive heard that consultation was carried out between 10 September and 11 December 2014 with press releases and information circulated to tenants. No formal responses were received. The Executive noted that Policy Review Committee had endorsed the Plan.

**Resolved:**

**To approve the HRA Business Plan and recommend approval of the financial assumptions and implications by Council in February 2015.**

Reasons for the decision:

- i. To set out a viable business plan for the HRA service;
- ii. To comply with the requirements set out in the Localism Act.

**88. Housing Management System Replacement – Key Decision**

Councillor C Lunn presented the report on the proposal to replace the Council's existing housing and asset management systems and to procure a new consolidated software system.

The Executive heard that the current system no longer provided value for money. The new system would provide an integrated solution which linked with other key databases offering much greater efficiency for the Council.

**Resolved:**

- i. To replace the Council's current housing and asset management software systems with one consolidated system;**
- ii. To provide £180k capital for the system to be paid from the ICT Reserve with £50k being repaid from the first year revenue savings.**

Reasons for the decision:

- i. To ensure the authority meets the current legislation on the Public Services Network (PSN) compliance;
- ii. To ensure that the Council's housing ICT systems are fit for purpose and meet the needs of the organisation going forward;
- iii. To ensure the ICT Reserve is replenished.

### **89. Selby Leisure Centre – Key Decision**

Councillor Mrs G Ivey presented the report which set out the latest cost estimates for Selby Leisure Centre as work neared completion.

Councillor Mrs G Ivey set out that the Leisure Centre was approaching completion and would offer an excellent facility for the community. The Executive heard that additional work to the car park in front of the leisure centre had been added to the project in order to facilitate the development potential of the remainder of the site and provide a finished site to complement the opening of the new leisure centre.

It was explained that when the decision had been taken to add the work it was anticipated that it could be accommodated within the approved budget for the leisure centre project. The Executive were informed however that the extent of the works has been greater than envisaged and the contractor for the work had been replaced at short notice and consequently the costs were now in excess of the approved budget.

It was stated that latest estimates showed a funding shortfall of £201k after inclusion of £390k in respect of the additional car park works. It was explained that in order to cover the shortfall and retain a level of contingency for the leisure centre project it was proposed that £250k be allocated from the Programme for Growth.

#### **Resolved:**

**To note the budget shortfall arising from the additional works and to allocate a further £250k from the Programme for Growth.**

Reasons for the decision



To ensure the project is fully funded.

## **90. Tour De Yorkshire Cycle Race**

Councillor M Crane presented the report which confirmed the success in securing Host status for the inaugural Tour De Yorkshire cycle race in 2015. It sought agreement to earmark up to £100,000 from the commissioning contingency for 2015/16 to meet potential costs.

The Executive welcomed the announcement that Selby would get a start or a finish for the Tour De Yorkshire. The final route would be announced on 21 January 2015. Councillor M Crane detailed the strong support for the event that he had received since the announcement.

### **Resolved:**

- i. To note and welcome the selection of Selby as the host of a start/finish of the Tour of Yorkshire cycle race 2015 and the economic benefits this is likely to bring to the District. Monitoring Report.**
- ii. To note that a detailed report will be presented for consideration once the route is confirmed and following detailed negotiations with the race organisers and potential sponsors and partners.**

Reason for the decision:

To confirm the commitment to hosting the race and in order to progress detailed discussions.

The meeting closed at 16.32pm

# Selby District Council

## REPORT

Reference: E/14/64

Public – Item 4



**To:** The Executive  
**Date:** 5 February 2015  
**Status:** Non Key Decision  
**Briefing Published:** January 2015  
**Author:** Chris Smith and Caroline Sampson Paver  
**Executive Member:** Councillor Mark Crane  
**Lead Director:** Keith Dawson

### **Title:**

**Access Selby 3<sup>rd</sup> Interim Key Performance Indicator Progress Report:  
April 2014 – December 2014**

### **Summary:**

This report provides details of Access Selby key performance indicators following the 3rd quarter of reporting for the financial year 2014/15, and recommends appropriate action where required.

### **Recommendations:**

**It is recommended that the Executive approves the report.**

### **Reasons for recommendation**

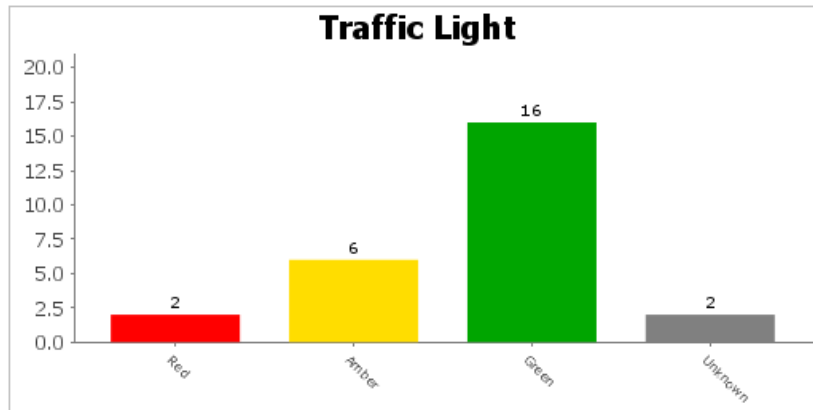
The on-going management of performance and improvement data enables the Council to monitor the level of service delivered by Access Selby, and can assist the Council in achieving its strategic priorities.

## **1. Introduction and background**

- 1.1** Performance indicators for the relevant period together with appropriate commentary from officers are shown at Appendix A.

**1.2** Performance updates are reported to the Executive every quarter; this update is the third part of the 2014-2015 dataset, and gives the Quarter 3 year to date results.

## **2. The Briefing Paper**



- 2.1** Based on the reported data at the end of Q3, results have exceeded target on 16 indicators, with 6 at Amber status and 2 Red. Through the performance management in place, 3 indicators have improved sufficiently to now have a Green Status. All of the Green Indicators previously reported remain on or above target.
- 2.2** Internal costs have been reduced year on year on non-operational sites, however it is anticipated that further reductions are unlikely throughout the remainder of the year as some costs incurred cannot be avoided.
- 2.3** The reported shortfall against the savings target has been reflected in the Efficiency & Productivity indicator. In year & one off savings have mitigated the impact of this on the year end position with Access Selby forecasting a surplus overall
- 2.4** Average time to re-let council properties - performance has improved each quarter with performance improving from quarter 1 at 28.8 days to quarter 3 at 26.3 days. Improvements to working procedures have been implemented, and results for re-letting general needs housing are anticipated in Q4.
- 2.5** Quarterly performance on % of new benefit claims/changes processed within 5 days has reduced although mechanisms have been put in place to improve performance from January 2015.
- 2.6** The debt recovery performance indicators for Council Tax, Rents and NNDR were all are all below target following Quarter 3 reporting. As at

January 2015 both the NNDR and Rent recovery indicators were both above target.

- 2.7 Invoices paid on time has not reached target due to delays in authorisation – which is receiving attention to remedy.
- 2.8 The Capital programme KPI is amber due to delayed projects. There are a number of projects that have been put back to 15/16 onwards due to strategic or procurement reasons (CRM, Mobile working and Housing software replacement).

### **3. Legal/Financial Controls and other Policy matters**

- 3.1 Subject to the actions determined by councillors to address weakness identified, there are no financial implications arising from the contents of this report.
- 3.2 Any actions identified for improvements to performance would need to be properly assessed for financial implications and, if required, approval for any additional funding sought and such issues would be highlighted in the budget exceptions report elsewhere on the agenda.

### **4. Conclusion**

- 4.1 In summary, the Access Selby performance indicators have so far exceeded target on 16 of the 24 performance indicators where data has been presented. Further work on demand and data intelligence is required to ensure we continue to meet the targets set for the remainder of the year.
- 4.2 Mechanisms have been put in place to resolve on-going performance issues throughout the year.
- 4.3 Additionally, development of performance measures, and other development projects within the SLA need to be kept under regular review, and be afforded the necessary priority in the work plans of Access Selby and The Core, so that targets may be achieved.

### **5. Background Documents**

None

### **Contact Details**

**Chris Smith**  
Lead Officer – Data & Systems Access Selby

**Caroline Sampson Paver**  
Commissioning & Performance Officer, Core Selby

**Appendices:**












**Appendix A –**

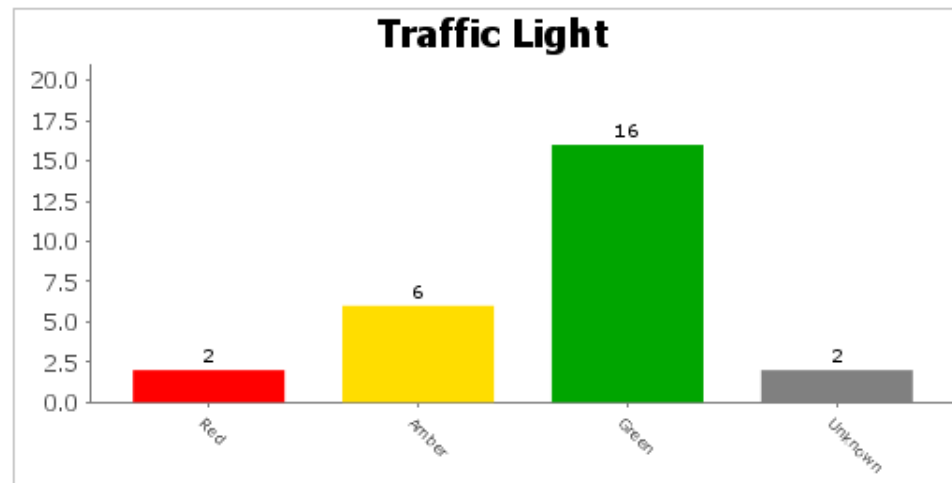
Access Selby 3rd Interim Key Performance  
Indicator Report: April 2014 – December 2014

# Access Selby 3<sup>rd</sup> Interim Key Performance Indicator Report: April 2014 – December 2014



**Report Type:** PIs Report  
**Report Author:** Chris Smith  
**Generated on:** 30 December 2014








PI Status		Long Term Trends		Short Term Trends	
	Alert		Improving		Improving
	Warning		No Change		No Change
	OK		Getting Worse		Getting Worse
	Unknown				
	Data Only				















Code	Short Name	Direction of Travel	Current Target	Current Value	Short Term Trend Arrow	Long Term Trend Arrow	Traffic Light	Quarter 3 2013-2014 Performance	Latest Note
SLA_001	% of satisfied customers	<b>Aim to Maximise</b>	85.00%	<b>98.85%</b>	↑	↑	✔	98.48%	<p><b>How are we doing/Moving Forward?</b></p> <p>A total of 1,805 satisfaction surveys have been completed for the period 1 October 2014 to 31 December 2014 with 1,785 customers satisfied with the service received. For the year 4,502 surveys have been completed with 4,450 satisfied with the service.</p>
SLA_002	% of contact 'right first time'	<b>Aim to Maximise</b>	90.00%	<b>91.14%</b>	↓	↓	✔	91.75%	<p><b>How are we doing/Moving Forward?</b></p> <p>Total of 34,417 contacts were made to the CCC for the period 1 October 2014 to 30 December 2014. A total of 30,919 were dealt with at 1st point of contact. A total of 107,751 contacts have been received since April 2014 with 98,206 dealt with right first time.</p>
SLA_003	% satisfied with street cleanliness	<b>Aim to Maximise</b>	80.00%	<b>90.00%</b>	↑	↑	✔	85.00%	<p><b>How are we doing/Moving Forward?</b></p> <p>As we no longer carry out formal satisfaction surveys we have developed a method of measuring performance based on targeted complaints and response times. These categories have been weighted and individual targets have been set. December data is not yet available but between October and November performance was as follows: -</p> <p>We have achieved target on 4 out of the 5 service areas which gives us a 'satisfaction' level of 85% so far for the quarter and 90% YTD.</p>

Code	Short Name	Direction of Travel	Current Target	Current Value	Short Term Trend Arrow	Long Term Trend Arrow	Traffic Light	Quarter 3 2013-2014 Performance	Latest Note
SLA_004	% satisfied with leisure facilities provided on behalf of the Council	Aim to Maximise	80.00%	?	?	?	?		<p><b>How are we doing/Moving Forward?</b></p> <p>The satisfaction survey is carried out in November to be reported at the end of the financial year in the annual review.</p>
SLA_009.1	% or repairs to council-owned properties completed within agreed timescales (EMERGENCY/URGENT REPAIRS combined)	Aim to Maximise	97.00%	99.44%	↑	↑	✓	99.06%	<p><b>How are we doing/Moving Forward?</b></p> <p>Target continues to be met and sustained with a performance consistently above 98.00% throughout the year despite an increase in demand of 500 repairs generated on the same period last year.</p>
SLA_009.2	% or repairs to council-owned properties completed within agreed timescales (NON-URGENT REPAIRS)	Aim to Maximise	90.00%	99.05%	↑	↑	✓	98.46%	<p><b>How are we doing/Moving Forward?</b></p> <p>Target continues to be met and sustained despite increase of 818 non urgent repairs being generated on the same period last year.</p>
SLA_010	Average time taken to re-let local authority housing	Aim to Minimise	24 days	26.3 days	↓	↓	⚠	22.0 days	<p><b>How are we doing/Moving Forward?</b></p> <p>At the end of Quarter 3 we were 26.3 days compared to 25.9 days on Quarter 2 and 28.8 days in Quarter 1.</p> <p>Following conversations with the executive lead member confirming retention of the existing allocations policy further improvements to working procedures have been implemented. Results from this should be seen in Quarter 4.</p> <p>The impact is mitigated in December due to the normal trend of reductions in allocations.</p> <p>We anticipate an improvement with regard to General Needs in accord with target and an improvement to Sheltered accommodation but not sufficient to meet</p>



Code	Short Name	Direction of Travel	Current Target	Current Value	Short Term Trend Arrow	Long Term Trend Arrow	Traffic Light	Quarter 3 2013-2014 Performance	Latest Note
									target. Benchmarking has been undertaken with sub regional partners. From the responses received performance ranged from 27.8 days to 41.0 days.
SLA_013	% increase in employees confidence and perception of the organisation	<b>Aim to Maximise</b>	60.00%					58.30%	<b>How are we doing/Moving Forward?</b> This year we have taken part in the national Best Companies accreditation scheme, following agreement with the joint Core and Access Selby management team. This will enable us to see how we compare to other organisations of similar size and nature. As this is the first year of our involvement, we are awaiting a baseline position from the survey carried out in autumn 2014. This means we are unable to offer a year-on-year comparison with previous survey results as the two are not direct comparable, but in the longer-term this will give us a more effective measure of staff engagement through comparison with other organisations.
SLA_014.1	Inspection of premises in accordance with statutory code of practice (High Risk)	<b>Aim to Maximise</b>	100.00%	100.00%				100.00%	<b>How are we doing/Moving Forward?</b> Inspections of <b>high-risk premises: Food hygiene, health and safety and PPC (environmental permits)</b> . Resources are focussed upon higher & medium risk premises (SLA14.1 & 14.2 respectively) in accord with risk-rating schemes contained in Statutory Codes of Practice thus protecting consumers' public health and supporting businesses. To date 24 completed out of the 24 inspections due, which have fallen within the scope of the indicator. Workload is comparable to that reported at this period last year.

Code	Short Name	Direction of Travel	Current Target	Current Value	Short Term Trend Arrow	Long Term Trend Arrow	Traffic Light	Quarter 3 2013-2014 Performance	Latest Note
SLA_014.2	Inspection of premises in accordance with statutory code of practice (Medium Risk)	<b>Aim to Maximise</b>	100.00%	<b>96.40%</b>	↓	↓	🟢	100.00%	<p><b>How are we doing/Moving Forward?</b>  Inspections of <b>medium risk premises: Food hygiene, health and safety and PPC (environmental permits)</b>.  Resources are focussed upon higher &amp; medium risk premises (SLA14.1 &amp; 14.2 respectively) in accord with risk-rating schemes contained in Statutory Codes of Practice thus protecting consumers' public health and supporting businesses.  To date 134 completed out of the 139 inspections, which have fallen within the scope of the indicator.  The slight shortfall currently show manageable and the primary cause has been the need to divert officer resource to provide planning consultation responses to deal with complex planning applications. These planning applications along with other routine consultations have seen a year to year increase of <b>25%</b> in that workload.</p>
SLA_015	% Response to Environmental Health enquiries and complaints	<b>Aim to Maximise</b>	100.00%	<b>100.00%</b>	▬	▬	🟢	100.00%	<p><b>How are we doing/Moving Forward?</b>  100% - 27 out of 27 food and safety complaints responded within target to date. This is a reactive service and so it is difficult to predict future levels of demand on the service.  Sub regional target is 95% through North Yorkshire Quality Management System. Environmental Health business area has maintained high performance by continuing the working practices in respect of proactive &amp; reactive work streams and support from community officers in respect of general environmental health enquiries &amp; service</p>

Code	Short Name	Direction of Travel	Current Target	Current Value	Short Term Trend Arrow	Long Term Trend Arrow	Traffic Light	Quarter 3 2013-2014 Performance	Latest Note
									requests.
SLA_016	Number of high risk enforcement issues resolved	Aim to Maximise	70.00%	100.00%				100.00%	<b>How are we doing/Moving Forward?</b> High risk enforcement issues are defined as those requiring action due to statutory functions and/or duties placed upon Selby District Council.
SLA_018	% of new benefit claims and changes processed within 5 days upon receipt of complete application	Aim to Maximise	90.00%	89.20%				93.83%	<b>How are we doing/Moving Forward?</b> We continue to monitor demand In terms of benchmarking our performance for days to process both new claims and changes of circumstances in November were 2nd out of 5 NY Districts.
SLA_019	% of Council Tax debt recovered	Aim to Maximise	86.00% (Profiled Target)	85.83%				78.20%	<b>How are we doing/Moving Forward?</b> Current collection rate of 85.83% against a profiled target of 86.00% which is £308.5k in cash terms.  Ongoing recovery work saw 1,068 reminders and 239 summonses being issued.
SLA_020	% of Council Rent debt recovered	Aim to Maximise	96.52% (Profiled Target)	94.55%				95.40%	<b>How are we doing/Moving Forward?</b> At 16/12/2014 the collection figure is 94.55%. The figure is calculated from system reports by using the rent debit due and the cash collected. Monthly rent targets are calculated using current year target and previous years month end performance figures.  As at 26/01/15 we are at 96.58% which is ahead of the end of January target as profiled of 96.57%.

Code	Short Name	Direction of Travel	Current Target	Current Value	Short Term Trend Arrow	Long Term Trend Arrow	Traffic Light	Quarter 3 2013-2014 Performance	Latest Note
SLA_021	% of applications considered within time under scheme of delegation	<b>Aim to Maximise</b>	80.00%	<b>84.69%</b>	↓	↓	🟢	89.34%	<p><b>How are we doing/Moving Forward?</b> Although the total number of applications remained constant (at 51 applications) there was again a high level of income received (£62,753 as compared to monthly budget of £45k).</p> <p>The increase in large scale applications has continued for the third consecutive month and analysis of pre-applications and NSIPs indicates that this trend will continue well into 2015.</p> <p>In order to meet this increase in major applications an agency worker has been employed for 6 months to increase capacity.</p> <p>A special committee and sub-committee will take place in February to deal with the increase in major applications and the applications contrary to Policy SP9 but which are being recommended for approval.</p>
SLA_023	% of invoices paid on time	<b>Aim to Maximise</b>	95.00%	<b>93.59%</b>	↓	↓	🟡	95.58%	<p><b>How are we doing/Moving Forward?</b> Performance has improved again slightly through Quarter 3 which has had a positive effect upon the cumulative total. There are no issues with processing invoices once authorised - areas of the business failing to authorise invoices on time receive reminders weekly. Improvements in future authorisation turnaround time will improve overall cumulative performance for the year.</p>
SLA_025	% internal rate of return on commercial assets	<b>Aim to Maximise</b>	7.00%	<b>12.15%</b>	↑	↑	🟢	9.84%	<p><b>How are we doing/Moving Forward?</b> Q3 has seen an improvement on the rate of return for industrial units with Sherburn Enterprise and Swordfish way both</p>

Code	Short Name	Direction of Travel	Current Target	Current Value	Short Term Trend Arrow	Long Term Trend Arrow	Traffic Light	Quarter 3 2013-2014 Performance	Latest Note
									exceeding the Q3 target and Hurricane way continuing to perform well. This mitigates the shortfall on the prospect centre and vivars.
SLA_026	Reducing internal costs on non operational sites	<b>Aim to Maximise</b>	3.00%	<b>-11.84%</b>	↑	↓	🛑	33.99%	<b>How are we doing/Moving Forward?</b> Only non-operational asset is Barlby depot. Costs have been reduced as much as possible but costs such as NNDR and insurance cannot be avoided and also increase on an annual basis meaning it will be difficult to reduce costs going forward unless the building is demolished or taken out of the NNDR ratings list, options are currently being reviewed. Another cost that cannot be avoided while the building is in ownership are water bills that are in relation to surface water drainage, costs for 14/15 are already exceeding those billed in 13/14.
SLA_027	% increase in income generation	<b>Aim to Maximise</b>	3.00%	<b>14.17%</b>	↑	↑	✅	1.87%	<b>How are we doing/Moving Forward?</b> Court costs currently £70k above target, this is being monitored fir the on-going impact of changes to recovery action. Land charges income is exceeding target by £22k. Planning income is currently forecast to be £110k up due to a number of large applications, there is currently a resource review underway that may impact this figure. Recycling income well above target as a result of increased tonnages on green waste, partially offset by poor results on the sale of recyclates due to market conditions.

Code	Short Name	Direction of Travel	Current Target	Current Value	Short Term Trend Arrow	Long Term Trend Arrow	Traffic Light	Quarter 3 2013-2014 Performance	Latest Note
SLA_029	% Efficiency and productivity improvements	<b>Aim to Maximise</b>	1.88% (Profiled Target)	<b>1.85%</b>	↓	↓	🛑	2.80%	<b>How are we doing/Moving Forward?</b> The reported shortfall against the savings target has been reflected in the KPI. In year & one off savings have mitigated the impact of this on the year end position with Access Selby forecasting a surplus overall. Although productivity & efficiency are not realising cashable savings to achieve the target, Planning has seen and increase in productivity that has seen increased income generation.
SLA_030	% efficiency gain in outsourced services	<b>Aim to Maximise</b>	1.88%	<b>2.20%</b>	↑	↑	✅	2.18%	<b>How are we doing/Moving Forward?</b> 2.20% achieved upto the end of Q3, on track to achieve annual target of 2.50%
SLA_031	Capital Programme Delivery	<b>Aim to Maximise</b>	63.75%	<b>54.15%</b>	↑	↓	⚠️	78.84%	<b>How are we doing/Moving Forward?</b> 54.15% of the total capital budget has been spent to date on work carried out. There are a number of projects that have been put back to 15/16 onwards due to strategic or procurement reasons (CRM, Mobile working, Genero, Collapsed culvert) if these were to be excluded from the calculation then the figure for Q3 would be 59.22% which is below the target of 63.75% by 4.53%. Access Selby is experiencing delays with the roof replacement programme and needs to carry out further consultations, had this problem not occurred then the figure would have increased further from 59.22% to 64.26%.
SLA_032	Council Tax base	<b>Aim to Maximise</b>	28,089.00	<b>29,248.87</b>	↑	↑	✅		<b>How are we doing/Moving Forward?</b> In 2 weeks the base has grown by nearly 18 Band D equivalents

Code	Short Name	Direction of Travel	Current Target	Current Value	Short Term Trend Arrow	Long Term Trend Arrow	Traffic Light	Quarter 3 2013-2014 Performance	Latest Note
SLA_033	Amount of Business Rates Retention Income Achieved	<b>Aim to Maximise</b>	£2,189,754.91	<b>£2,379,497.64</b>	↓	↑	✔		<p><b>How are we doing/Moving Forward?</b></p> <p>Changes have been made to appeals provisions and there have been a number of reductions in rateable values as the VOA work to reduce their appeals list. Notwithstanding we are still above target on rates retention.</p>
SLA_034	Percentage of Non-domestic Rate debt recovered	<b>Aim to Maximise</b>	84.16% (Profiled Target)	<b>83.32%</b>	↑	↓	⚠	87.72%	<p><b>How are we doing/Moving Forward?</b></p> <p>A number of companies with large instalments, including Drax (who pay £914k per month) have amended their instalment plans to 12 months, from 10. The top ten largest payers account for £1.38m (3.16% of the total annual collectable) per month .</p> <p>Our monthly target profile had not been amended sufficiently to reflect this.</p> <p>As at 26/01/15 we are at 90.17% which is ahead of the end of January target as profiled of 89.32%.</p>

# Selby District Council

## REPORT

Reference: E/14/65

Public – Item 5



**To:** The Executive  
**Date:** 5 February 2015  
**Status:** Key Decision  
**Report Published:** 28 January 2015  
**Author:** Caroline Sampson Paver – Commissioning and Performance Officer  
**Executive Member:** Councillor Mark Crane – Leader of the Council  
**Lead Officer:** Mary Weastell – Chief Executive

**Title:** Selby District Corporate Plan 2015-2020

### Summary:

This report presents for approval a final draft of the emerging new Corporate Plan to cover the years 2015-2020. The document has been developed with the input of key internal and external stakeholders including all Councillors. Responses received from a period of public consultation will be reported.

### Recommendations:

- i. To approve a new Corporate Plan 2015-2020
- ii. To authorise the Chief Executive to approve the final version of the Plan following consideration of the document by the Executive.

### Reasons for recommendation

The Executive is asked to agree the recommendation to enable a new Corporate Plan to be adopted and in place for the start of the financial year 2015.



## **1. Introduction and background**

- 1.1** The Council has been developing its new vision for the organisation for the next five years, built around the plan to make Selby District a Great Place – to do business, to enjoy life, and to make a difference – supported by the council delivering great value.
- 1.2** The views and opinions of customers, staff, business leaders, service providers and all district Councillors have been sought during the planning and development of the plan over the past year. A six week period of public consultation began in December 2014 and will end on 28 January 2015. This report is prepared prior to the end of this consultation period and an update of consultation responses and schedule of any proposed amendments will be supplied ahead of the meeting.

## **2. The Report**

- 2.1** As the current Corporate Plan runs until 2015, a replacement document has been in development during the past year. The State of the Area Address announced the future corporate direction in the summer of 2014 and work has been on-going to develop the priority outcomes that will help deliver these themes.
- 2.2** The direction of the Corporate Plan Priorities has been evidenced by a needs assessment that gathers and analyses statistics to build a picture of the issues and needs that impact on the district and its communities.
- 2.3** The priority outcomes have been tested against the views of local business leaders and service providers, and customers have been interviewed in a recent survey on their aspirations for themselves, their community and the wider district. Council staff have also been asked to give their views on draft priorities – considering issues from their perspective as staff, and in many cases as local residents and service users.
- 2.4** Executive Councillors have developed the direction and priorities of the document through workshops, and all Councillors have had the opportunity to contribute to its development.
- 2.5** The draft Corporate Plan at Appendix 1 reflects on the successes of the previous plan; defines the values of the organisation; defines and explains the vision for the future and each of the proposed new priorities – with key areas of focus, and measures that will demonstrate how goals will be met and success demonstrated. The draft document as presented is an interim version, and is subject to refinement of layout, style and images prior to becoming a finalised document.
- 2.6** During the six-week period of consultation a variety of drop-in sessions have been held across the district, and have included sessions on an evening and weekend to make efforts to reach a greater audience. Two sessions have

been held with Parish Clerks and partners and other service providers have been asked to submit comments. All of the comments collected to date are as a result of conversations that officers have had with members of the public at drop-in sessions.

- 2.7** In summary, comments made to date have been largely supportive and reflective of the aims of the draft Corporate Plan. Key themes that have emerged from the consultation so far are as follows.
- 2.8** People who commented at sessions in their home or closest town gave particular comments relating to the town centre, with support for the aim to help the towns reach their potential – people who commented considered towns were limited to catering only for the weekly shop, and that a better variety and quality of shopping is needed. Respondents also supported existing businesses, wanted to make towns more vibrant and attractive to visitors and ensure the appropriate range of supporting infrastructure for new developments.
- 2.9** Tadcaster residents felt that the town lagged behind the rest of the district, with public transport links within the district and as a means to accessing employment concerning some.
- 2.10** Older people who spoke to officers agreed that it is a priority to them that the Council helps keep older and vulnerable people active and in their own homes. Early assessment of needs is seen as vital along with support networks and signposting, to help people access services such as a handyman and hospital transport to avoid putting themselves at risk.
- 2.11** Overall, people have appreciated that funding cuts mean that big issues are being faced by the Council. The only significant adverse comment arose in relation to the type of roles that volunteers may be asked to fill as part of the Plan’s ambitions to enable people to “make a difference”
- 2.12** A further update on consultation feedback will be provided once the period of consultation has closed.

### **3. Legal/Financial Controls and other Policy matters**

#### **Legal Issues**

- 3.1** There are no specific legal issues to consider

#### **Financial Issues**

- 3.2** Corporate Plan priorities are reflected in the emerging Budget.

#### **Impact Assessment**

- 3.3** Equality, Diversity and Community Impact screening document is attached.

## **4. Conclusion**

- 4.1 This report presents a draft of the organisation's vision for the next five years, focusing on priorities to deliver outcomes, with partners, that will help make the district a great place and make a difference to people's lives. A range of stakeholders have contributed to the development of the priorities, and the period of public consultation, has to date, demonstrated support for a range of the identified priorities, demonstrating these are issues that matter to people in making Selby a great place; with only plans to support people in volunteering, to help deliver services locally, receiving an element of opposition.

## **5. Background Documents**

Selby District Needs Assessment 2014

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### **Appendices:**

Appendix 1 - Draft Selby District Corporate Plan 2015-2020

Appendix 2 - Schedule of responses up to 23 Jan 2015

Appendix 3 – Equality, Diversity, and Community Impact screening form

**Title page**

Selby District Corporate Plan 2015 – 2020

Making Selby a great place

[Images to be confirmed – to be drawn from area/service images used within main document]

## 1. Foreword

Our Corporate Plan helps us focus our efforts on what matters most to our people and our businesses to secure a sound future for our place.

There's no doubt that times are still tough but we believe Selby District is a **great place** to live, work and raise a family and whilst there are plenty of challenges ahead, by working together we can make a real difference to people's lives.

Our new Corporate Plan for 2015-2020 looks at how we will work with others to deliver important outcomes; working with communities to reduce reliance on council services and open up new opportunities to make a difference together; working with partners to facilitate new investment to provide jobs and growth; and collectively to support communities in living happy and healthy lives.

Local authorities do not, and should not, operate in isolation. To achieve the best outcomes from our plans we believe that valuable results will come from working in partnership with others, to maximise the opportunities and the gain from these opportunities. Our people are served by a great many providers of public service and we will seek to combine our efforts to deliver what matters most as effectively and efficiently as possible.

How do we know what matters most? We've asked. We've been engaging with key businesses and service providers across the district to get a sense of what they need from their council to help them deliver services and new investment to drive jobs and growth. We've asked our residents: we've commissioned independent research to seek the views of a cross section of people about their needs and, importantly, their aspirations. We've consulted with local Councillors about what matters to them and the communities that they represent and we've sought the views of our staff, many of whom live within our district and are direct customers of our services. We've also looked at a whole host of statistics about this place and its people to see where there's more work to do.

We're proud of what we've achieved between 2011 and 2015. Now is the time to build on this success. This Corporate Plan sets out the framework for how we will do so.

**Cllr Mark Crane, Leader of Selby District Council**

[Image 1.1]

**Mary Weastell, Chief Executive of Selby District Council**

[Image x.x – NEED HEADSHOT IMAGE]

**Selby, Autumn 2014**

## 2. The context

Between 2011 and 2015 we have been organising our strategic work around five ‘Big Things’. This work has been delivered through a *Programme for Growth* which has focused on investing in jobs, infrastructure, housing and health.

### Progress against our five Big Things

Living well **[insert Living well graphic]** [Image 2.1 – caption: An artist’s impression of the new Selby Leisure Centre due to open in early 2015]

*Support a cultural and visitor economy; we want to further improve community-based leisure services and encourage greater sports participation.*

- A brand new £7m leisure centre for Selby is due to open in early 2015, with plans in place to develop a new leisure village to offer brand new facilities at the same site. This work has been in response to a devastating fire at our previous leisure centre back in 2012.
- We have delivered a far-reaching programme of community sports, which has led to a significant increase in the number of adults in the district participating in sport.

Changing Places **[insert Changing place graphic]** [Image 2.2 – caption: Chief Executive, Mary Weastell, talks to local businesses at an Enterprise Day held in June 2014]

*To put in place long-term plans to support the homes we need and business growth that will bring new jobs and opportunities.*

- We have developed and delivered our Core Strategy – the long-term planning document that sets out development needed between now and 2027. This has been independently tested.
- We’ve put in place a programme of support for the district’s businesses, which has included monthly networking and business development sessions.
- We’ve facilitated the creation of the Selby Town Enterprise Partnership to bring together key business and community leaders in the town to deliver a range of new investment and improvements.
- We’re delivering improvements to key gateways into Selby to encourage visitors into the town which supports local traders.
- We’ve worked with private developers to facilitate new development at the Proving Ground in Sherburn in Elmet, providing a significant boost for new business space and jobs in the district.

A Stronger Council **[insert Stronger Council graphic]** [Image 2.3 – caption: New funding has been secured to help the Olympia Park development at Barlby – a major site for housing and business growth. Photo courtesy of Elizabeth Fernandez]

*Take bold decisions and lead from the front by better understanding what customers want. We won’t be frightened of doing things differently.*

- We’ve worked proactively with key developers to support major new investment in our district to deliver new homes and business space. By working collaboratively, over £16m of funding has been secured to help deliver the Olympia Park development at Barlby which is a key site to support growth across the district.
- We’ve introduced new ways of working within our planning service, in direct response to customers’ views, to help support new development in the district.
- We’ve been re-awarded the *Investors in People* standard for our work in supporting staff to make the most of our talent, which directly benefits the way in which we deliver services.

- We've supported changes to our ward boundaries, by inviting a review from the *Local Government Boundary Commission for England*; from 2015 this will help to deliver new savings.
- We've started work, in partnership with NYCC, with the people of Sherburn in Elmet and South Milford on shaping the future of service delivery with them.

Being Switched On **[insert Being Switched on graphic]** [Image 2.4 – caption: New partnerships have been developed to run sites such as Barlow Common nature reserve]

Act like a business and spend every pound as wisely as possible; improving online access to services and working to bring in new business.

- Over the last four years, we've saved over £4m from the cost of running services. This has involved looking at every aspect of what we do and how we do it.
- We've embarked on an ambitious programme of joint working with our County Council, through the *Better Together* project, to support further efficiencies and to improve services for our joint customers. This has included the appointment of new Chief Executive with joint County Council responsibilities. We have driven through savings by working together on procurement of back office systems. The Registrars service is now delivered from the District Council offices, where all registrations are made and a venue is available for Weddings and Civil Services in modern and bright accommodation.
- We've developed new partnerships to run key countryside sites in the district, to bring in new expertise to secure the future of these important environments for generations to come.
- Throughout most of this period we've kept Council Tax on hold, because the savings we've delivered have meant we've been able to help our residents through tough economic times.
- We've developed new ways of customers getting the information they need about local services by opening up social media channels.

Tackling the Tough Stuff **[insert Tackling the tough stuff graphic]** [Image 2.5 – caption: We've pushed through much-needed improvements to Tadcaster's central area car park]

*To ensure there are homes for all incomes and appropriate accommodation for Gypsies and Travellers as required. We'll continue to support people living in and around Tadcaster to unlock the potential of their town.*

- We have supported the creation of a brand new Housing Trust to help build new affordable homes in the district, with plans already in place for new developments in Tadcaster and Riccall; further plans are being finalised for new homes at locations across the district.
- We've refurbished Tadcaster's central area car park despite many years of legal wrangle to support local traders in the town.

### 3. 2015-2020 – Making Selby a great place

*Being at the heart of a strong partnership which succeeds in meeting the needs and aspirations of the people and communities we serve. Enabling people to do more for themselves. Being enterprising with fewer resources and working with others so that people choose Selby district as a place to do business, enjoy life and make a difference.*

This mission will be driven by our values. During 2014/15 these values have evolved in line with the review of our long-term strategy.

Customer focused [Needs infographic]

To build your satisfaction we will strive to listen and learn from what you tell and ask us; to get you in contact with the right people, and solve issues during your first contact with us. We also realize that not all customers need the same level of help; many people just need pointing in the right direction to help themselves; but we need to be there for those people who need more assistance from us.

Business-like [Needs infographic]

We will use business-like ways of working to make sure that we get the most benefit for the district from the funds that we are responsible for. This involves being open and honest about what we can still afford to do; letting you know about what you can expect to see from upcoming plans and projects and keep you up to date on progress.

One team Selby [Needs infographic]

Everyone who works for the Council knows that they are part of one team – working together for the good of the district. We also know that we cannot do this alone – we will build on relationships with people who care about and are invested in the district; bringing them together to combine their skills and talents to help us to deliver important benefits.

Flexible [Needs infographic]

We know that change is always on the horizon so it's our practice to be positive about it – having the flexibility to keep up with the challenges and the people who can adapt to meet the priorities of the day.

Forward thinking [Needs infographic]

We want to encourage innovation in the business and keep trying new things, as that is how we learn what works best and how to react to the opportunities that are out there. We intend to have influence on your behalf so that we can get the best results for the district's future.

Trustworthy [Needs infographic]

We believe in developing fair and honest relationships, and want to build mutual trust with communities and partners through our dealings. We need to show you that as an organisation we are accountable for our actions and show respect for your views and involvement.



#### 4. The Vision

In developing our vision for the next five years we have built on previous success, re-assessed our priorities in partnership with our community, and developed a plan to make the Selby district a great place... **to do business, to enjoy life and to make a difference.**

This will be supported by Selby District Council **delivering great value.**

Here is what we mean...

Making the Selby district a great place **to do business**

[Image 4.1 – caption: The energy sector in the district is investing in World-leading new technology which offers new opportunities for supply chain businesses and local employees. Photo courtesy of Mike Hatfield]

We want to renew our focus on strengthening our local economy to give a sustainable future for the area's businesses and residents. It is important to us that we are seen to support new investment opportunities by working with developers, partners and business leaders, whether they are new to the area or already well-established in Selby, to encourage new investment in businesses that deliver new opportunities for our people and support a skilled workforce. We also want to support and encourage growth in business enterprise that already operates in the district. We want to help deliver thriving futures for our main towns, and for knock-on benefits to be felt by the surrounding communities that they support - building on the needs and aspirations of residents and visitors, to open up local economic, training and employment benefits.

Making the Selby district a great place **to enjoy life**

[Image 4.2 – caption: helping people to lead healthy lives in the district. Photo of Selby Park courtesy of Georgina Brown]

We want everyone to have the opportunity to live a healthy and happy life, regardless of where they live in the district. One of the highest priorities to most people is a home, so we will focus on making sure that the homes needed in the district are built. Our newly-adopted Core Strategy lays the foundations for housing and business development, and we will use our skills and influence to make sure a suitable supply of homes is available to those who need them; whilst realising developer contribution benefits for the community.

We understand that being able to live in good health enhances people's ability to enjoy life, and so want to have an impact in making this a reality for more people. The biggest threat to health in the district is obesity, with its potential to impact on independence, quality and length of life. We believe it is particularly important for children to develop and adopt healthy choices and behaviours that will equip them for life, so we will support families in overcoming this challenge.

Making the Selby district a great place **to make a difference**

[Image 4.3 – caption: People are best placed to know the priorities for their community. Photo of Selby tearoom courtesy of Sarah Kellett]

We believe that that our customers should be at the heart of everything that we do and how we do it. On-going austerity within the public sector means we will be able to deliver less in the future, so we will focus on supporting communities to have an active and influential role in public service delivery. Communities know best what is a priority where they live and will be best placed to deliver

some services locally; we will help them to do so. To achieve this, people and community organisations need to have the right support and guidance to build on the valuable capacity and skills that already exists in communities; enabling them to join with us in designing services; having the opportunity of volunteering their time to make a real difference where they live, and making best use of technology to access a range of services. It will be vital to work with a range of partners, including the voluntary sector and Community Engagement Forums, to make this a reality.

And this will be supported **by delivering great value**

To make headway with achieving the priorities that contribute to making the district **a great place**, we will need to work with others. This will be through co-designing the way in which we deliver services, and by commissioning those best placed to deliver services on our behalf.

We will make sure we communicate well with customers to help us understand what matters, to listen and learn and to enable us to offer the right support and opportunities to help people to access services digitally. We will generate more income and collect the debt owed to us.

These steps will help us to continually improve value for money in the business; make savings; and concentrate on targeting resources on the most vulnerable people who need help e.g. helping people to be independent and stay in their own homes for longer.

We also want to make sure that the Council's business develops resilience, being more self-sufficient in the future and less reliant on central government grants.

## 5. Our Priorities

We'll deliver our vision by focusing our work on a number of priorities.

Making the Selby district a great place **to do business**

[Image 5.1 – caption: Sherburn industrial estate offers good opportunities for growing employment, such as the new Sherburn 2 development which has recently received planning permission. Photo courtesy of Brian Cartwright]

### Key focus on our work

- Secure new investment in the district
- Improve employment opportunities
- Work with education providers to support people in accessing training and education that will skill them for work
- Work with people and businesses to help Selby, Tadcaster and Sherburn in Elmet reach their potential

### *What we mean by that*

Maximising investment in this unique district will help secure its economic future and ensure that the infrastructure necessary to underpin business is also in place.

The Council will support growth in the volume and range of jobs on offer and will use its influence and partnerships to ensure that unemployed people in the district, those who currently have few employment choices, and young people coming into the world of work have the skills, training and advantages they need to access jobs and build a career. We recognise that some residents will travel out of the district to work; however, the creation of more varied opportunities locally would give more commuters the choice to work close to home.

Our two market towns and the largest village in the district are at the heart of local services and amenities, and all currently face issues in reaching their full potential. We believe they can thrive, by offering the best of what makes them special; resulting in benefits that will be passed on to their surrounding communities.

### *How will we know if we've succeeded in meeting our goals?*

- A rise in the amount of business rates collected
- Growth in investment in the district
- An improved vitality and viability of town centres
- Skills and capacity training accessed by people in the district
- Increased employment rates

Making the Selby district a great place **to enjoy life**

[Image 5.2 – caption: Meeting the housing needs of the district is a key priority. Photo of homes at Barlby courtesy of Georgina Brown]

### Key focus of our work

- Improve the supply of housing
- Improving healthy life choices

### *What we mean by that*

We aim to meet housing needs through an increased supply and range of homes, available in the right locations in the district, providing for the changing needs that people have throughout their lifetimes. This includes new build, conversions and bringing empty homes back into use. A proportion of these homes need to be affordable to those who cannot access market prices or rents.

The biggest health issue in the district is high obesity levels in the adult population, and it is a rising concern that children may follow this pattern. Alongside our public health and NHS colleagues, it is a joint aim therefore to help people enjoy a healthier life by tackling the adult weight issues and promoting healthy eating and active lifestyles to reduce the likelihood of young people becoming overweight in the first place.

### *How will we know if we've succeeded in meeting our goals?*

- More housing need met
- Empty homes brought back into use
- More affordable properties developed
- More people taking part in physical activity
- Healthy behaviours developed

### Making the Selby district a great place **to make a difference**

[Image – stock image?]

#### Key focus of our work

- Empowering and involving people in decisions about their area and their services
- Enabling people to get involved, volunteer and contribute to delivering services locally
- Facilitating people to use alternative service delivery channels

### *What we mean by that*

We will focus on changing the way public services are delivered by empowering people to contribute and get involved, and by transforming the way people access their services. We know it is vital to lead the way in strengthening communities so they are equipped and supported to be an integral part of designing services. This will help to focus on the services that are most important to their communities and will enable us to build on the vital skills, experience and voluntary capacity that already exist throughout the district. We also want to support people to access services in different ways, and provide choice to people with busy lives, whether that is by accessing services online or through local networks.

### *How will we know if we've succeeded in meeting our goals?*

- More local volunteers are delivering provision that is important to their communities
- More services are accessed through self-serve channels

### And this will be supported **by delivering great value**

[Image 5.3 – caption: We will continue to build on key partnerships to drive further efficiencies, such as our joint working agreement with North Yorkshire County Council]

To assist in delivering the priorities that help to make the district **a great place**, the Council will put in place a range of measures to underpin the rest of the priorities. To get the best value for our people and our place, we will have influence in our work with others such as the voluntary sector, County Council, and Police, to deliver shared priorities in the most cost effective ways.

We need to make sure that we do things efficiently, with increased productivity, and that we are always customer focused. We should always have an eye on taking care of the finances and respond positively to the challenges that further austerity present to us.

*How will we know if we've succeeded in meeting our goals?*

- Services are commissioned from or delivered with partners
- High customer satisfaction is achieved
- Increased staff productivity
- Increased income, including improved debt collection rates
- Delivery of savings

## 6. Resources

We need to understand what resources we have to deliver on these priorities.

[Image 6.1 – caption: Our staff are a key resource to drive innovation and efficiency, as well as being at the heart of our customer service]

In the face of several years of austerity, the Council has made on-going savings to ensure that the income it receives from all sources, including Council Tax, is well looked after and used to deliver good value services that help to improve quality of life. The District Council keeps just 10% of the Council Tax bill, and this is used to support a wide range of services we provide. Delivering great value will underpin everything else we do over the next five years.

We have been planning ahead with our finances to make sure, as austerity continues; we can reassess our priorities and afford our commitments whilst setting money aside to invest for the future. Our Programme for Growth will mean that funding will be made available to invest in projects that will bring lasting benefits to the district and a better return on our investments.

We must focus on supporting our staff to help us deliver our priorities. They are our most valuable resource in terms of innovation and commitment, customer care and delivering right first time. They are our advocates within the community: the public face of the Council. Staff are also our eyes and ears, helping to build key relationships and partnerships to help us to co-design services and develop new ways of commissioning outcomes.

Corporate Plan consultation (6 – weeks) 17 December 2014 – 28 January 2015

### Comments received

Selby Library
<ul style="list-style-type: none"> <li>• Christmas footfall in Selby town centre would be encouraged by providing free car parking</li> <li>• Support needed for businesses in the town – such as reduced Business Rates</li> <li>• Improvements required to footpaths</li> <li>• Believe that more smaller houses are required as starter homes in the district</li> <li>• The Council should support people who want to pay their Council Tax, but are in financial difficulty</li> <li>• Ensure that frontline staff are trained to ensure that people get access to the help that they need</li> <li>• Listen more to customers</li> <li>• Endorse the provision of new leisure facilities in Selby</li> <li>• Welcome new homes in the district – provided that that they are supported by facilities and infrastructure – and employment opportunities to match</li> </ul>
Tadcaster Library
<ul style="list-style-type: none"> <li>• Disagree with the principle of using volunteers to fill professional roles – such as in libraries</li> <li>• Given the cuts in funding – appreciate that some services will need to be delivered in other or cheaper ways in the future</li> <li>• Feel that people in Tadcaster are short changed and are not considered as much as those in Selby</li> <li>• Poor public transport links between Selby and Tadcaster and out of the district to Wetherby</li> <li>• Poor public transport links from Tadcaster to places within the district – easier to get out of the district</li> <li>• Lack of work opportunities in Tadcaster – more opportunities in Selby and Sherburn – need better transport links in order to access it</li> <li>• Too many empty and derelict buildings in Tadcaster</li> <li>• Insufficient retail choice in Tadcaster – need to travel out for comparison goods</li> <li>• Need more retail choice in Tadcaster</li> <li>• Would love to see Tadcaster on the up instead of in decline</li> <li>• The look and feel of Tadcaster town gives a poor impression</li> <li>• Insufficient dog waste bins in Tadcaster – need to be placed more frequently</li> </ul>

<ul style="list-style-type: none"> <li>• Appreciate that cuts mean there are big issues to be faced and agree with the future plans as proposed</li> </ul>
<b>Contact Centre – drop-in session (1)</b>
N/A
<b>Parish Council workshop (1)</b>
<ul style="list-style-type: none"> <li>• Need car parking in towns that supports businesses and attracts users – rural nature of the district means that many people have to drive in.</li> <li>• Support needed for small businesses</li> <li>• Agree with the plan to regenerate town centres</li> </ul>
<b>Sherburn-in-Elmet Library</b>
N/A
<b>Parish Council workshops (2)</b>
<ul style="list-style-type: none"> <li>• Agree on the need for infrastructure to support development – feel this has not always been successful in the past</li> <li>• Would like the Council to have influence on partners who are able to request developer contributions and sometimes don't e.g. Health – communities need to see benefits available realised</li> <li>• Joined up working with health colleagues on plans for future infrastructure needs</li> <li>• Some outlying communities feel that they are passed over in seeing improvements to services in favour of Towns</li> </ul>
<b>Saturday consultation – Selby Town Hall</b>
<ul style="list-style-type: none"> <li>• Would like to see better quality range of shops attracted to open in Selby - those that exist are very busy</li> <li>• Make sure that new development does not remove the character and heritage from the district – e.g. historic buildings that are not listed being redeveloped</li> <li>• Selling services - a group previously used Civic Centre rooms for meeting – but now don't as rooms only available for half days rather than a couple of hours</li> <li>• Strong feelings on the need to support older and vulnerable people to stay in own homes – early intervention and assessment to know what is required</li> <li>• Would like to see links and information provided on services that older people would make good use of – such as handyman</li> </ul>
<b>Barlby Library</b>



- Information and contact to help people stay active and in their own homes e.g. transport to hospital appointments if public transport not available for total journey

**Evening consultation – Selby Town Hall**

- Supportive of developing housing and economic development in tandem to make the district more sustainable – contributing to the ‘Northern Powerhouse’ that the Government talks about
- Future development should take account of all the types of flood risk that effect the district
- Concern that the transport network in and around Selby Town is able to cope with traffic resulting from new developments
- Keen for infrastructure to be in place to support new development – particularly school places in villages
- Like Selby town centre but it only caters for the weekly shop – other purchases are made online or out of the district
- Agree that all three towns need some type of regeneration. Would like to see a more attractive Selby that provides a better variety of shopping and a more attractive appearance – as seen in Beverley and other thriving market towns in Yorkshire and Lincolnshire

**Contact Centre – drop-in session (2)**

N/A

**Comments received online or by post**

## Equality, Diversity, and Community Impact Screening



As a public authority we should ensure that all our strategies, policies, service and functions, both current and proposed have given proper consideration to equality, diversity, cohesion and integration.

This form should be read in conjunction with the Equality Diversity and Community Impact Assessment Toolkit

A **screening** process can help judge relevance and provides a record of both the **process** and **decision**. Screening should be a short, sharp exercise that determines relevance for all new and revised strategies, policies, services and functions.

Completed at the earliest opportunity it will help to determine:

- the relevance of proposals and decisions to equality, diversity, cohesion and integration.
- whether or not equality, diversity, cohesion and integration is being/has already been considered, and
- whether or not it is necessary to carry out an impact assessment

<b>Project Name/Service Area:</b>	
<b>Draft Corporate Plan 2015-2020 – The Core</b>	
<b>Lead person:</b>	<b>Contact number:</b>
<b>Mary Weastell – Chief Executive</b>	

<b>1. Title:</b>	
<b>Is this</b>	
	A Strategy or Policy
	A change to a service or function
X	Other (specify) – <b>Plan that sets the Corporate Priorities for the next 5 years</b>

<b>2. Please provide a brief description of what you are screening</b>
<p><b>The Corporate Plan defines the vision for the next 5 years and the priority outcomes that the Council will focus on in its work with others and delivery of services.</b></p> <p><b>The identified priorities are evidenced by a needs assessment on the district, and are supported by the contributions and views of customers, staff, Councillors, business leaders and service providers.</b></p>

### 3. Relevance to equality, diversity, and community impact

All the council's strategies/policies, services/functions affect service users and the wider community – district wide or more local.

The effects may have a greater/lesser relevance to equality, diversity, cohesion and integration.

The following questions will help you to identify how relevant EDCI is to your proposals.

When considering these questions think about the protected characteristics : age, disability, gender reassignment, pregnancy or maternity, race, religion or belief, sex, sexual orientation, and any other relevant characteristics (for example socio-economic status, social class, income, unemployment, residential location or family background, caring responsibilities and education or skills levels).

Questions	Yes	No
Does the proposal have (or could it have) a different impact for people with protected equality characteristics?	X	
Have there been or is there likely to be any public concern about the policy or proposal?		X
Could the proposal affect how our services, commissioning or procurement activities are organised, provided, located and by whom?		X
Does the proposal involve or will it have an impact on <ul style="list-style-type: none"> <li>• Eliminating unlawful discrimination, victimisation and harassment</li> <li>• Advancing equality of opportunity</li> <li>• Fostering good relations</li> </ul>	X	

If you have answered **no** to the questions above please complete **sections 6 and 7**

If you have answered **yes** to any of the above and;

- Believe you have already considered the impact on equality, diversity and community impact within your proposal please go to **section 4**.
- Are not already considering the impact on equality, diversity and community impact within your proposal please go to **section 5**.

#### **4. Considering the impact on equality, diversity and community impact**

If you can demonstrate you have considered how your proposals impact on equality, diversity and community impact you have carried out an impact assessment.

Please provide specific details for all three areas below (use the prompts for guidance).

- **How have you considered equality, diversity and community impact?**

**The Corporate Plan is evidenced by a needs assessment that uses statistical information to build up a picture of the make-up of the district and the needs which emerge as priorities for the Council to consider when new priorities are being defined. The needs assessment takes into account the priorities of partners and uses information sources on health issues, housing and employment need, the economy, education, diversity of the population, deprivation, crime and disorder and participation opportunities – which is analysed to produce a range of priority areas that inform the Council in the process of deciding on key priorities.**

**The identified priorities relate to making Selby a Great Place, with positive impacts for the district planned over the next 5 years.**

**In preparing for the development of a new Corporate Plan a range of liaison and consultation has and is taking place with the community, businesses, local councillors and service providers who provide for and represent the interests of a diverse cross section of the community. Comments and responses on local priorities and aspirations have been fed into the evolving document and have had an impact on its content and direction.**

**The needs of people as they go through life are considered, as well as the needs of people who have fewer advantages and choices in their lives.**

**At the draft stage, a period of public consultation will be undertaken, where views will be sought from members of the public across the district – with sessions being held in public libraries and other locations and copies of the document being available electronically and in paper form. We will also engage with Parish Council representatives and we will refer once again to service providers who best know the needs and concerns of the community and any impact that may be of concern to particular groups that they come into contact with.**

**Where delivery proposals might cause public concern, further screening will take place.**

<ul style="list-style-type: none"> <li>• <b>Key findings</b></li> </ul> <p>A range of positive impacts are intended to result for all groups, with particular focus on those groups that have fewer advantages and life choices, and groups of vulnerable people, who may need more direct contact and assistance.</p>
<ul style="list-style-type: none"> <li>• <b>Actions</b></li> </ul> <p>Over the life of the Corporate plan, further screening to be carried out where delivery projects involve proposals that might cause public concern.</p>

<b>5. If you are <b>not</b> already considering the impact on equality, diversity, cohesion and integration you <b>will need to carry out an impact assessment</b>.</b>	
Date to scope and plan your impact assessment:	N/A
Date to complete your impact assessment	N/A
Lead person for your impact assessment (Include name and job title)	N/A

<b>6. Governance, ownership and approval</b>		
Please state here who has approved the actions and outcomes of the screening		
<b>Name</b>	<b>Job title</b>	<b>Date</b>
Caroline Sampson Paver	Commissioning and Performance Officer	23 January 2015

## **7. Publishing**

This Equality, Diversity, and community impact screening will act as evidence that due regard to equality and diversity has been given.

If this impact assessment relates to a **Key Delegated Decision or Executive or full Council** or a **Decision** a copy should be emailed to Democratic Services and will be published along with the relevant report.

A copy of **all other** Equality and Diversity and community impact assessments should be kept on the project file (but need not be published).

**Date screening completed** 23 January 2015

# Selby District Council

## REPORT

Reference: E/14/66

Public – Item 6



**To:** The Executive  
**Date:** 5 February 2015  
**Status:** Non-Key Decision  
**Report Published:** 28 January 2015  
**Author:** Esta Innes Graduate Trainee Policy Officer  
**Executive Member:** Councillor Crane  
**Lead Officer:** Keith Dawson

**Title:** Scrap Metal Dealers Policy

### Summary:

A draft Scrap Metal Dealers Policy has been developed. The draft policy consolidates existing documents and procedures into a comprehensive policy that covers legal requirements, the application process and enforcement issues.

Officers propose that the draft policy is subject to a six week public consultation starting Monday 9 February until Monday 23 March 2015.

### Recommendations:

- i. To approve the draft policy
- ii. That a six week public consultation process is undertaken on the draft policy.

### Reasons for recommendation

- i. To have a comprehensive policy in place to ensure that the Council is in a position to act and respond to any future changes in legislation.
- ii. To seek and consider the views of the Scrap Metal trade as well as the general public before a Policy is formally adopted.

## **1. Introduction and background**

- 1.1 The Council has the responsibility, under the Scrap Metal Dealers Act 2013, for the issuing of both scrap metal dealer site licences and scrap metal dealer collector licences.
- 1.2 Council approved a report in September 2013 that gave delegated authority to Access Selby Directors and to the Licensing and Appeals Committee to allow the implementation of the provisions contained within the Scrap Metal Dealers Act 2013. The Council has since been issuing licences in line with the Act however there is currently no comprehensive policy covering the licensing and all related issues for scrap metal dealers.
- 1.3 A report was taken to the Licensing Committee on 05 January 2015 to inform them that the policy was being developed. Some initial comments were given about guidelines for vehicles that scrap metal dealers use which has been incorporated into Appendix C of the draft policy (Appendix A of this report)

## **2. The Report**

- 2.1 The aim of the policy is to consolidate existing documents and procedures into a comprehensive policy that covers legal requirements, the application process and enforcement issues.
- 2.2 The Home Office produced a supplementary guidance document which has been used as an aid in shaping the policy.
- 2.3 The draft policy has been benchmarked against Scrap Metal Dealer Policies from other authorities in the region.
- 2.4 We currently have 9 scrap metal site licences and 3 scrap metal collectors licences issued in the district.
- 2.5 Appendix C point 3 reflects the comments from licensing committee.
- 2.6 If the Executive is in support of the draft policy, a six week consultation process with the public and the trade is proposed from Monday 9 February until Monday 23 March 2015.
- 2.7 The consultation will be published on our website and we will write to all current licence holders to invite feedback. We will also contact neighbouring authorities who have a similar policy to ask for their feedback. Hard copies of the policy will be made available on request for members of the public to view.



- 2.8 Following analysis of consultation responses, a report will be brought back to the Executive with a revised draft policy taking into account consultation responses. The timeline for development of the policy is set out below.

Date	Milestone
05 January 2015	<b>Licensing Committee</b> - received a report outlining the timeline for the development of the policy and proposed consultation.
05 February 2015	<b>Executive</b> – to consider the report, including the draft policy, which seeks approval to carry out a public consultation on the draft policy.
09 February 2015 – 23 March 2015	Six week public <b>consultation</b> period.
02 March 2015	<b>Licensing Committee</b> - Report to Licensing Committee containing the draft policy for comment and discussion.
13 April 2015	<b>Licensing Committee</b> – to receive a report informing of the outcome of the consultation exercise.
04 June 2015	<b>Executive</b> – to consider the consultation responses and approve the policy (including any amendments where appropriate to reflect consultation responses).

### 3. Legal/Financial Controls and other Policy matters

#### Legal Issues

- 3.1 Although there is no legal requirement for the Council to adopt a policy it is strongly recommended to have one in place.

Current provisions are in accordance with the Scrap Metal Dealers Act 2013. All decisions will be made under delegated authority by officers with any appeals being heard by the Licensing and Appeals Committee.

Licensing and enforcement decisions will be made with regard to the policy; however the Council reserves the right to depart from the policy in exceptional cases.

#### Financial Issues

- 3.2 None at this present time.

#### Impact Assessment

3.3 The policy applies to all regardless of gender, age, disability, religious belief, race or ethnic minority or sexual orientation.

#### **4. Conclusion**

4.1 A comprehensive Scrap Metal Dealers Policy has been developed. It is proposed that the draft policy is subject to a six week public consultation process. Following the consultation process responses will be analysed and any necessary amendments made to the policy. A report will then be taken to Executive on 4 June 2015 seeking approval of the policy.

#### **5. Background Documents**

Home Office, Scrap Metal Dealers Act 2013, Supplementary guidance (updated December 2013)

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/265871/SMDA\\_supplementary\\_guidance.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/265871/SMDA_supplementary_guidance.pdf)

#### **Contact Officer:**

**Esta Innes**  
**Graduate Trainee Policy Officer**  
**Selby District Council**  
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#### **Appendices:**

Appendix A- DRAFT- Scrap Metal Dealers Policy.

**Access Selby**

*A new approach to public service*

**SELBY**

DISTRICT COUNCIL

*Moving forward with purpose*

# Scrap Metal Dealers Policy



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## **1. Introduction**

Selby District Council, as a local authority, is responsible for the licensing of scrap metal dealer site licences and scrap metal dealer collectors licences. This policy outlines the requirements of the Scrap Metal Dealers Act 2013 (the Act). It gives guidance to new applicants, existing licence holders and members of the public.

The Act came into effect on 1 October 2013 and repealed the Scrap Metal Dealers Act 1964 and part 1 of the Vehicles (Crime) Act 2001 that deals with motor salvage operations.

The aim of the Act was to regulate the scrap metal trade and reduce the number of metal thefts and the impact this has on society and its infrastructure.

## **2. Definition of Scrap Metal**

Scrap metal includes:

- Any old, waste or discarded metal or metallic material; and
- Any product, article or assembly which is made from or contains metal and is broken, worn out or regarded by its last holder as having reached the end of its useful life.

This definition also includes platinum and other rare metals now being used in catalytic converters in vehicle exhausts.

The following are not considered to be scrap metal:

- Gold;
- Silver; and
- Any alloy of which 2% or more by weight is attributable to gold or silver.

## **3. Definition of a Scrap Metal Dealer**

The definition of a scrap metal dealer can vary and each business will be considered on its own merits according to their circumstances. However, the Act defines a scrap metal dealer as a person who carries out any businesses which consists wholly or in part of the buying and selling of scrap metal, whether or not the metal is sold in the form it was bought. This can therefore include the following businesses and trades:

- Skip hire firms, when the skip contains significant amounts of scrap metal e.g when used for demolition activity or sites at engineering, manufacturing establishments or plumbers yards; and

- Motor salvage operators.

A person will be considered to carry on a business as a motor salvage operator if they do one or more of the following:

- Recover salvageable parts from motor vehicles for re-use or re-sale and sell the remainder of the vehicle for scrap;
- Buy written off vehicles then repair or re-sell them;
- Mainly buy or sell motor vehicles for the purpose of salvaging parts from them or repairing them and re-selling them.

If the sale of scrap metal is incidental to the main type of work or business undertaken then a licence will not be needed, for example tradesmen such as plumbers and electricians.

The definition does not include second hand goods, i.e. jewellers or businesses trading in second hand gold and silver jewellery/products and they are not required to have a licence.

#### **4. Types of Licences**

There are two types of licences for the dealing of scrap metal that Selby District Council has the authority to issue. All licences are issued for a period of 3 years, and renewal applications must be received before the expiry of the existing licence. It is not possible for any person or business to hold both a site licence and a mobile collector's licence from Selby District Council, however, they could hold a licence with another local authority. An applicant will be unable to trade until a licence has been issued.

##### **Site Licences:**

A site licence authorises the licence holder to carry on a business at any site in the Selby District as identified in the licence.

A site licence holder can transport metal from third party businesses by arrangement from any other local authority area providing it is in the course of the business from that site.

A site licence holder cannot regularly engage in collecting waste materials and old, broken, worn out or defaced articles by means of visits from door to door in the area they are licensed or elsewhere, as this would constitute carrying on a business as a mobile collector. It would be acceptable to collect by arrangement, for instance where a motor salvage operator is asked to transport a damaged vehicle from an address to their site.

If a site licence holder uses self-employed mobile collectors to collect scrap metal which will be processed by the site, each collector will need a mobile collector's licence.

A site is defined in the Act as any premises used in the course of carrying on a business as a scrap metal dealer.

### **Collectors' Licences:**

A collector's licence authorises the licensee to carry on businesses as a mobile collector in the Selby District area only. A separate collector's licence is needed for each local authority area that a mobile collector collects scrap metal. A mobile collector can dispose or sell scrap metal in any local authority area regardless of whether a collector's licence is held for that area.

A mobile collector will need a licence to buy or sell any scrap metal collected. Even if the material is provided free of charge, a licence is required in order to sell it on.

A mobile collector's licence will cover any employees working for that business. If they are not employed directly by that mobile collector's business and are self-employed, they will need their own collector's licence even if they are collecting metal from the same van as a person who has a mobile collector's licence.

Mobile collectors and site licence holders need to ensure they comply with relevant environmental legislation and regulation when carrying out their business.

## **5. Determination of applications and the issuing of licences**

Applications for a Scrap Metal Dealers Licence or the renewal of a current licence will be available on the Selby District Council website. For guidance on completing applications please see Appendix C of this policy.

When an application is received Selby District Council will determine whether the applicant is suitable for the licence. To determine this Selby District Council will check for the following:

- Whether the applicant or site manager has been convicted of any relevant offence. (Please see Appendix A for a list of relevant offences)
- Whether the applicant or any site manager has been the subject of any relevant enforcement action.
- Any previous refusal of an application for the issue or renewal of a scrap metal dealer licence and the reason for refusal.

- Any refusal of an application for a relevant environmental permit or registration and the reasons for refusal.
- Any previous revocation of a scrap metal licence and the reason for revocation.
- Whether the applicant has demonstrated that there will be in place adequate procedures to ensure that the provisions of this Act are complied with.

Selby District Council may also consult the following bodies regarding the suitability of an applicant:

- North Yorkshire Police
- The Environment Agency
- Neighbouring Local Authorities
- The Council's Environmental Health department

The Environment Agency maintains a register for public inspection of scrap metal licences issued by all local authorities in England. The register includes the following information:

- Name of the authority which issues the licence.
- Name of the licensee.
- Any trading name of the licensee.
- Address of the site identified on the licence.
- Type of licence.
- Date of expiry on the licence.

Selby District Council will update this register once a successful application has been processed.

## **6. Complying with the law**

The Act sets out standards for which holders of a scrap metal dealer licence must meet. It outlines strict ways in which the licence holder must conduct their business. Failure to meet these standards will result in Selby District Council as a regulatory authority taking enforcement action against the licence holder as outlined in section 7 of this policy. Details of the standards required and necessary conduct of business can be found in appendix C of this policy.

## **7. Inspection and Enforcement**

A police officer or an authorised officer of the Council may enter and inspect a licensed site at any reasonable time, with notice to the site manager.



Entry and inspection without notice would only occur in the following circumstances:

- Reasonable attempts to give notice had been given and had failed
- Entry to the site is reasonably required for the purpose of ascertaining whether the provisions of the Act are being complied with.
- To investigate offences under the Act.

Selby District Council is committed to effective enforcement activity to ensure that the use of scrap metal dealer licences is not abused and that the trade of scrap metal in the district is lawful and appropriate. We take a 'firm but fair' approach and will take any enforcement action necessary in line with our Corporate Enforcement Policy which can be found on the Council's website.

## **7.1 Considerations**

When we decide on enforcement action, the following will be taken into account to determine whether a licence should be revoked because the person is no longer fit and proper to remain a licensed trader.

- Witness statements (where appropriate, e.g. when a complaint is received)
- Interview with the licence holder
- Previous history of the licence holder

Any decision to prosecute a licence holder for any of the offenses created by the Act will be taken having regard to the Code for Crown Prosecutors.

## **7.2 Levels of Enforcement Action**

In the event of minor transgressions, particularly if the licence holder has no history of transgressions and the Council believe that the transgression was unintentional, a written warning is likely to be issued.

In more serious cases of transgression, or where we find evidence of malpractice or non-compliance with this policy among licence holders we can revoke licences in line with the Act.

We reserve the right to revoke licences immediately in line with prescribed circumstances as detailed in the Act.

Licences which are revoked must be immediately returned to the Council.

Selby District Council also has the authority to issue a closure notice to any premises that we believe are dealing in scrap metal in the course of their business without a licence. A copy of the notice must be given to the person who appears to be the site manager and any person who appears to be a director, manager or other officer of the business.

The closure order and any relating conditions would be subject to a decision by the Court.

### **7.3 Appeals**

If we refuse to grant or renew a licence, or we impose conditions upon a licence of any type, the applicant has a right of appeal. Licensees may also appeal against suspension or revocation of a licence. Any appeal must be lodged within twenty-one days of the decision. Any enforcement action that we take will also give notice of a right of appeal, if one exists.

All appeals will be heard by Selby District Councils' Licencing and Appeals Committee in accordance with our constitution, unless it is an appeal regarding a closure or discharge order which would be heard by the Crown Court.

## **8 Policy review**

As a regulatory body, we are always monitoring changes to legislation. When changes take place, we will review the policy and update it as necessary. We will also regularly carry out a review to monitor its effectiveness and keep it in line with best practice.

## Appendix A- Relevant offences

The following are a list of prescribed relevant offences under the Scrap Metal Dealers Act 2013:

- An offence under section 1, 5 or 7 of the Control of Pollution (Amendment) Act 1989
  - An offence under section 170 or 170B of the Customs and Excise Management Act 1979(d), where the specific offence concerned relates to scrap metal
  - An offence under section 110 of the Environment Act 1995
  - An offence under sections 33, 34 or 24B of the Environmental Protection Act 1990
  - An offence under section 9 of the Food and Environment Protection Act 1985
  - An offence under section 1 of the Fraud Act 2006(h) where the specific offence concerned relates to scrap metal, or is an environment related offence
  - An offence under section 146 of the Legal Aid, Sentencing and Punishment to Offenders Act 2012
  - An offence under sections 327, 328 or 330 to 332 of the Proceeds of Crime Act 2002
  - Any offence under the Scrap Metal Dealers Act 1964
  - Any offence under the Scrap Metal Dealers Act 2013
  - An offence under sections 1, 8, 9, 10, 11, 17, 18, 22 or 25 of the Theft Act 1968(a), where the specific offence concerned relates to scrap metal, or is an environment-related offence
  - Any offence under Part 1 of the Vehicles (Crime) Act 2001
  - An offence under sections 85, 202, or 206 of the Water Resources Act 1991
  - An offence under regulation 38 of the Environmental Permitting (England and Wales) Regulations 2007
  - An offender under regulation 38 of the Environmental Permitting (England and Wales) Regulations 2010
  - Any offence under the Hazardous Waste (England and Wales) Regulations 2005
  - Any offence under the Hazardous Waste (Wales) Regulations 2005(g)
  - An offence under regulation 17(1) of the Landfill (England and Wales) Regulations 2002
  - Any offence under the Pollution Prevention and Control (England and Wales) Regulations 2000
  - Any offence under the Producer Responsibility (Packaging Waste) Regulations 2007
  - Any offence under the Transfrontier Shipment of Waste Regulations 1994
  - Any offence under the Transfrontier Shipment of Waste Regulations 2007
- 21

- Any offence under the Waste (Electrical and Electronic Equipment) Regulations 2006
- An offence under regulation 42 of the Waste (England and Wales) Regulations 2011

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## Appendix B- Guidance for applicants

### Am I eligible?

Scrap metal dealer licences, both site and collector's, can be applied for by an individual, partnership or company.

In order to carry on your business you may need to hold other environmental permits or licences that we should know about. For instance, if you carry waste as part of your business it is a legal requirement to register as a waste carrier. This includes transporting waste while travelling from job to job, to a storage place for disposal later, or to a waste disposal company or waste site. For more information on this, or to register call: 03708 506506 or visit: [www.environment-agency.gov.uk/wastecarriers](http://www.environment-agency.gov.uk/wastecarriers)

### Requirements prior to applying

In order to apply for a scrap metal dealers licence from Selby District Council you must provide a Disclosure and Barring Service (DBS) basic disclosure certificate. This must have been granted within the last **3 months** to be valid for you application for a scrap metal dealers site or collectors licence. We will accept copies if they have been verified by our customer contact centre.

### How to apply

Application forms can be found on the Selby District Council website [www.selby.gov.uk](http://www.selby.gov.uk) You will be required to submit the following:

- A completed application form;
- The relevant application fee; and
- An in date DBS basic disclosure certificate or certified copy.

### Renewals

Renewal application forms can also be found on the Selby District Council website [www.selby.gov.uk](http://www.selby.gov.uk). A renewal application must be received before the expiry of the current licence therefore we recommend applicants start the renewal process three months before the expiration of a current licence.

### What happens next?

Once all necessary checks have been carried out the council will determine your application and inform you of their decision. We aim to deal with all applications as quickly as possible,

normally within six weeks of receiving an application. However, this is subject to timely responses from external agencies we require information and checks from.

### **If you are successful**

Your licence will be issued and will be valid for three years. Once you have your licence you must ensure you adhere to the licensee code of conduct (Appendix C of this policy).

### **If you are unsuccessful**

Should you be unsuccessful, the reason for your refusal will be confirmed in writing. You have the right to lodge an appeal within 21 days of receipt of your refusal. All appeals will be heard by the Council's Licensing and Appeals Committee.

### **What if my circumstances change?**

It is very important that the council knows of changes to circumstances which affect the licence. We have put together this list of things we need to be told about.

Every licensee must let the council know if they:

- move house, or change primary address details;
- move business premises;
- change contact details (including phone number and email address); or
- receive a police warning or caution, or are fined or arrested

**This document should be used as a guidance tool. Only the courts can give an authoritative opinion on statute law.**

**Every effort has been made to ensure this document is both comprehensive and accurate but in an attempt to simplify the law omissions have been made. Please refer to the Scrap Metal Dealers Act 2013 and associated regulations for full details of the law.**

**You should seek your own legal advice on the matters raised in this guidance note.**

## Appendix C- Licensee code of conduct

Scrap metal dealers receiving a site or collectors licence must abide by the following requirements set out in the Act:

1. A scrap metal dealer who holds a site licence must display a copy of the licence at each site identified in the licence.
2. The copy must be displayed in a prominent place in an area accessible to the public.
3. A scrap metal dealer who holds a collector's licence must display a copy of the licence on any vehicle that is being used in the course of the dealer's business and the copy must be displayed in a manner which enables it to be easily read by a person outside the vehicle.
4. A scrap metal dealer who fails to comply with this section is guilty of an offence and is liable on summary conviction to a fine not exceeding level 3 on the standard scale.
5. A scrap metal dealer must not receive scrap metal from a person without verifying the person's full name and address.
6. That verification must be by reference to documents, data or other information obtained from a reliable and independent source.
7. All reasonable steps will be taken to ensure stolen metals are not bought.
8. The dealer must record the following information about all scrap metal purchased—
  - (a) the description of the metal, including its type (or types if mixed), form, condition, weight and any marks identifying previous owners or other distinguishing features;
  - (b) the date and time of its receipt;
  - (c) if the metal is delivered in or on a vehicle, the registration mark (within the meaning of section 23 of the Vehicle Excise and Registration Act 1994) of the vehicle;
  - (d) if the metal is received from a person, the full name and address of that person;
  - (e) if the dealer pays for the metal, the full name of the person who makes the payment acting for the dealer.
9. Where the disposal is in the course of business under a site licence, the dealer must record the following information—
  - (a) the description of the metal, including its type (or types if mixed), form and weight;
  - (b) the date and time of its disposal;
  - (c) if the disposal is to another person, the full name and address of that person;
  - (d) if the dealer receives payment for the metal (whether by way of sale or exchange), the price or other consideration received.
10. Where the disposal is in the course of business under a collector's licence, the dealer must record the following information—
  - (a) the date and time of the disposal;

- (b)** if the disposal is to another person, the full name and address of that person.
11. Dealers must only accept payment for scrap metal via cheque or electronic transfer and must keep a copy of the cheque or receipt of the transfer.
  12. All licences shall be returned immediately to the licensing authority on expiry or other reasonable demand.

Selby District Council would also recommend that licence holders consider the following measures. There are no legal requirements to take the following steps, however it is strongly recommended as good practice.

1. A site licence holder may wish to carry a copy of the relevant site licence in their vehicle so they are not mistaken for an unlicensed mobile collector.
2. Blackened copper wire that has obviously had its insulation removed should not be bought other than where the supplier can provide a satisfactory explanation for the fire damage. In such cases, the cable shall be identified as burnt in the record of the material received, including the reason for the fire damage. A photograph shall be taken and kept with the said record.
3. Any vehicle used for the collection and transportation of scrap metal should ensure the load is safe and secure for example by using a caged vehicle.
4. Staff should be trained in administrative processes and all paperwork should be relevant and kept up-to-date.
5. Dealers should have available and actively use UV torches for detecting forensically marked metals.
6. Suspicious persons should be reported to the local police force for the area concerned.
7. Suspicious transactions should be reported to the local police force for the area concerned.
8. Dealers should display prominent signage at their premises stating that "We report suspected metal thieves to the Police".



# Selby District Council

## REPORT

Reference: E/14/67

Public – Item 7



**To:** The Executive  
**Date:** 5 February 2015  
**Status:** Non Key Decision  
**Report Published:** 28 January 2015  
**Author:** Michelle Dinsdale - Policy Officer  
**Executive Member:** Cllr Mark Crane  
**Lead Officer:** Keith Dawson

**Title:** Taxi Licensing Policy (hackney carriage and private hire vehicles, drivers and operators)

**Summary:** A Taxi Licensing Policy (Appendix A) has been developed and consulted on, which consolidates existing documents to provide one comprehensive policy. This report provides the Executive with details of the consultation responses and the subsequent proposed changes to the draft policy, the main one being in relation to the provision of Wheelchair Accessible Vehicles (WAV).

### Recommendations:

- i. To approve the Taxi Licensing Policy
- ii. Subject to recommendation i above, that the policy be reviewed twelve months from adoption, to include the duration of licences and a knowledge test for drivers
- iii. Further research is undertaken in relation to additional provision for taxi vehicle inspections, and the procedure for inspecting wheelchair accessible vehicle ramps.

## **Reasons for recommendation**

- i. To ensure that the Council is in a position to act and respond to any future changes in taxi and private hire legislation.
- ii. To assist the Council in maintaining a mixed taxi fleet which meets the needs of the travelling public by providing with quality and choice.
- iii. To protect the public's health and safety.

## **1. Introduction and background**

- 1.1** The Council currently has a number of separate policies, guidance notes and conditions relating to hackney carriage and private hire licensed vehicles, drivers and operators. A draft Taxi Licensing Policy has been developed, which consolidates these documents to provide one comprehensive policy.
- 1.2** Following approval from the Executive on 2 October 2014, formal consultation took place between 6 October and 14 November 2014.
- 1.3** The consultation, which included an on-line survey and a drop in session for the trade, sought views on the draft policy and in particular the following two specific areas:
  - Wheelchair accessible hackney carriage vehicles;
  - The duration of driver and operator licences.
- 1.4** Licensing Committee have discussed the draft policy at four meetings (7<sup>th</sup> July 2014, 8<sup>th</sup> September 2014, 1<sup>st</sup> December 2014, 5<sup>th</sup> January 2015), with Officers in attendance to answer questions, and details of their comments can be found in Appendix B.

## **2. The Report**

### **2.1 Consultation Responses**

- 2.2** A good level of response was received. In total of 25 responses were received to the on-line survey, broken down as follows:
  - 12 members of the public
  - 12 trade (8 hackney carriage drivers, 1 private hire driver and 3 operators)
  - 1 organisation

Details of the responses can be found in Appendix C.

- 2.3 Twenty five people attended the trade drop in session, with a good level of engagement.
- 2.4 A number of comments in relation to the draft policy were received from the trade, in addition to the two specific areas previously mentioned in section 1.3. Details of the comments received and Officers' responses can be found in Appendix D.
- 2.5 **Vehicle Accessibility**
- 2.6 Hackney carriage and private hire vehicles have a specific role to play in an integrated transport system. They are able to provide services in situations where other forms of public transport are not available such as in rural areas and for those with mobility difficulties.
- 2.7 At the time of the consultation Selby District Council licensed 81 private hire vehicles and 45 hackney carriage vehicles, 34 of which were wheelchair accessible. In respect of hackney carriages, this equates to a split of approximately 75% WAV and 25% non-WAV.
- 2.8 Current policy states that where a new application for a taxi licence is made, the licence will only be granted if the vehicle is wheelchair accessible. However, applicants can apply under the financial hardship test to be exempt from this requirement. The same policy applies to replacement vehicles.
- 2.9 The highest percentage of respondents (36%) considered the number of WAVs to be just right. When the data is broken down further, an equal number of the public considered the number to be just right or not enough, whereas in contrast to this, an equal number of the trade considered the number to be just right or too many.
- 2.10 Licensing Committee consider the current number of WAVs is too high and consider a split of 60% WAV and 40% non-WAV to be appropriate.
- 2.11 Slightly more respondents considered wheelchair accessibility to be either very important or important (68%) compared with low level entry/seating (56%).
- 2.12 A number of respondents commented that some elderly and/or disabled passengers find it easier to access vehicle types which are not wheelchair accessible.
- 2.13 Taking into account the public responses, and in order to meet the diverse needs of the travelling public, it is proposed that the policy objective be to maintain the status quo in relation to the current make-up of the fleet i.e. 75% WAV and 25% non-WAV.

2.14 If the current policy was to continue ultimately 100% of taxis would be WAV.

2.15 In order to achieve the policy objective, the following changes are proposed in relation to existing vehicles:

- Non-WAV

An existing taxi may be replaced by a vehicle of similar type i.e. a saloon replaced with another saloon.

- WAV

A waiting list will be created for those current licence holders who wish to change from a WAV to a non-WAV. When a licence becomes available for a non-WAV i.e. on surrender of an existing licence, or where monitoring identifies a need, a panel of Officers (to include representatives from Legal and Enforcement) will refer to the waiting list and decide who to award the licence to. The driver from the waiting list, who has the longest period of continuous service, and who meets the 'good record of behaviour' principle, will be awarded the available non-WAV licence. There will be a right of appeal against the decision to the Licensing and Appeals Committee.

2.16 No changes are proposed in respect of new vehicle licences i.e. all new licences will only be issued in respect of a WAV, except that the hardship test, referred to in section 2.8 above, will no longer be able to be applied.

## 2.17 **Duration of Licences**

2.18 The Council currently issues driver and operators licences for one year.

2.19 Best practice guidance suggests that councils issue licences for three years (for drivers) and five years (for private hire operators).

2.20 The majority of respondents (72%) are in favour of the Council issuing licences for longer than twelve months.

2.21 Licensing Committee are not in favour of issuing licences for a longer period.

2.22 Before the Council can change the period for which it issues licences, the legislative, administrative and financial issues will need to be investigated in depth.

2.23 Changes in legislation in relation to the duration of licences (the Deregulation Bill), are currently progressing through the House of Lords. It is therefore recommended that the policy remains unchanged

at the present time and that the duration of licences be included in the scheduled review of the policy.

## **2.24 Vehicle Inspections**

Officers have proactively listened to the trade views and as a result additional vehicle inspections timeslots are now available. It is also proposed that further research be carried out in relation to:

- An additional garage for taxi testing to allow greater flexibility for drivers.
- WAV inspections to include the marking of ramps with the registration number of the respective vehicle.

Licensing Committee support the above proposal.

## **2.25 Driver's Knowledge Test**

At the Licensing Committee held on the 1 December 2014, the Senior Licensing Officer raised concerns regarding a particular taxi driver's lack of knowledge of the district and suggested the introduction of a knowledge test for drivers be considered. Licensing Committee support the introduction of the requirement for all drivers to undertake a knowledge test in order to demonstrate appropriate knowledge of the district before they commence driving. No public consultation has been undertaken in relation to this subject. An options appraisal will need to be undertaken before any proposal can be put forward in relation to knowledge tests. It is therefore proposed that this be included in a review of the policy, scheduled to be undertaken twelve months from adoption of the policy.

## **3. Legal/Financial Controls and other Policy matters**

### **Legal Issues**

- 3.1 Although there is no legal requirement for the Council to adopt a policy, it is strongly recommended to have one in place. Current provisions are in accordance with the Town Police Clauses Act 1847 and the Local Government (Miscellaneous Provisions) Act 1976. The policy does not replace the legislation governing hackney and private hire operations. It sets out what that legislation is and provides guidance on the Council's particular requirements in complying with that legislation. Licensing and enforcement decisions will be made with regard to the policy; however, the Council reserves the right to depart from the policy in exceptional cases.

## **Financial Issues**

- 3.2 None at this present time. However, should the Council look at the option to change the period for which it issues licences, the legislative, administrative and financial issues will be investigated in depth. This also applies to any changes in respect of vehicle testing.

## **Impact Assessment**

- 3.3 Equality, diversity, and community impact screenings have taken place on the policy and are available as background documents. The policy will assist with maintaining a mixed taxi fleet, which aims to provide quality and choice and meet the varying needs of the travelling public.

## **4. Conclusion**

- 4.1 A draft Taxi Licensing Policy has been developed which consolidates a number of existing documents to provide one comprehensive policy. Following analysis of the consultation responses, a number of amendments are proposed to the draft policy. Whilst most of the proposed amendments are fairly minor in nature, the subject of the provision of wheelchair accessible taxis within the district is considered to be more complex. It is proposed that further work be undertaken in relation to vehicle inspections and the introduction of a knowledge test for drivers and that the policy be scheduled for review twelve months from adoption.

## **5. Background Documents**

Department of Transport - Taxi and Private Hire Vehicle Licensing: Best Practice Guidance (March 2010, updated August 2011)  
[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/212554/taxi-private-hire-licensing-guide.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/212554/taxi-private-hire-licensing-guide.pdf)

Equality, Diversity, and Community Impact Screenings

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**Appendices:**

**Appendix A:** Selby District Council Taxi Licensing Policy (hackney carriage and private hire vehicles, drivers and operators)

**Appendix B:** Minute Extract Licensing Committee 5 January 2015

**Appendix C:** Taxi Licensing Policy Consultation responses – On-line Survey

**Appendix D:** Taxi Licensing Policy Consultation responses – Trade Event

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# Taxi Licensing Policy

Hackney carriage and private hire vehicles, drivers and operators

*A new approach to public service*





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# 1. Introduction

Selby District Council, as a local authority, is responsible for the licensing of taxis (i.e. hackney carriages) and private hire vehicles in the district. This policy sets out a standard that we use to inform decisions, and should also be useful for the taxi and private hire trade and the public. Licence holders and applicants will find more guidance on the application process in the appendices to this policy and on the council website. If a member of public has a concern or query about the taxi trade, they should get in touch with Selby District Council.

Taxis and private hire vehicles form an important part of the local transport provision. As a regulator, Selby District Council aims to ensure the safety of drivers and the public without introducing unduly stringent licensing requirements. Our overall aim is to promote the availability of a safe, accessible and convenient taxi and private hire vehicle service in Selby District.

## 1.1. About this policy

This policy sets out the council's approach to regulating the taxi and private hire industry. It includes the way we make licensing decisions, and our enforcement agenda. Licensing and enforcement decisions will be made with regard to this policy; however, the council reserves the right to depart from this policy in exceptional cases. If a committee decision substantially differs from the guidance set out in this policy, a full justification will be provided.

## 1.2. Licences we issue

We issue five licences in our role as regulator of the taxi service, listed below:

- Taxi driver's licence
- Taxi vehicle licence
- Private hire driver's licence
- Private hire vehicle licence
- Private hire operator's licence

Note that the licence we issue to individuals who wish to drive taxis or private hire vehicles is a **“driver's licence”**, and the licence issued to all motor vehicle road users by the DVLA<sup>1</sup> is a **“driving licence”**.

The badge and licence we issue to successful applicants remain the property of the council.

<sup>1</sup> Driver and Vehicle Licensing Agency:  
[www.gov.uk/government/organisations/driver-and-vehicle-licensing-agency](http://www.gov.uk/government/organisations/driver-and-vehicle-licensing-agency)

### 1.3. Taxis and private hire vehicles; what's the difference?

Taxis are also known as hackney carriages, which are not the same as private hire vehicles. The licences, fares, insurance and working practices of these two types of transport are different.

To clarify the differences between them, only taxis may use the word “**taxis**” or “**cabs**” in their name or advertising. Some of the differences are set out in the table below.

	Private Hire	Taxis
<b>Bookings</b>		
Can be pre-booked	✓	✓
Can wait in a taxi rank	✗	✓
Can be hailed down	✗	✓
<b>Fares</b>		
Set by the council	✗	✓
Uses a taximeter <sup>2</sup>	✗	✓
<b>Visual differences</b>		
Illuminated roof sign	✗	✓
“Black cab” type allowed	✗	✓
Licence plate	Colour: Red	Blue
	Shape: Rectangular	Semi-circular
	Position: Front and rear	Rear

## 2. Application process

### 2.1. Duration of licence

In general, we issue licences on an annual basis. Licences for vehicles are held for one year, but vehicles need to be checked more frequently the older they become. The licence will remain until its expiry unless the council revokes or suspends it.

Licence type	Duration
Hackney carriage driver's licence	1 year
Private hire driver's licence	1 year
Private hire vehicle operator's licence	1 year
Vehicle between 0–5 years old	1 year
Vehicle between 5–7 years old	6 months
Vehicle 7+ years old	4 months

<sup>2</sup> Private hire vehicles are permitted to use their own taximeter, but this is not common in Selby District. Taxis must use a taximeter. For more, see Section 5.8 – Taximeters.

## **2.2. Licence fees**

All licence fees are published on the council website. These are reviewed annually in line with the Corporate Charging Policy, and generally increase with inflation.

## **2.3. Renewals**

Every year upon licence renewal for drivers, we check the DVLA driving licence record (we need a signed mandate in order to do this). We run checks with the DBS every three years and medical checks for over-45s every five years.

## **2.4. Guidance notes**

The full costs of the application (including the criminal records check, medical check, driving proficiency test and character reference) are to be paid by the applicant. Unfortunately, we cannot reimburse applicants for any costs incurred, whether a licence is granted or not. Applications must be submitted in their entirety, with all required documents and the relevant application fee. Guidance notes are provided for applicants in Appendix A – Guidance notes for applicants (Drivers). Details of the checks we carry out on applicants can be found in the following section.

# **3. Checks on the driver**

To effectively meet our regulatory goals, we carry out a number of checks on licence holders and applicants. These checks are carried out to ensure that all licensees are fit and proper to drive taxis and private hire vehicles, and are eligible to work in the UK. Driving a taxi or private hire vehicle will bring members of the trade into regular, close contact with members of the public, and often involves working with vulnerable groups such as children, the elderly, and disabled people. These background checks help us keep the public safe, and increase the trust in the taxi and private hire industry.

## **3.1. Disclosure and Barring Service**

We ask for an enhanced Disclosure and Barring Service (DBS, previously CRB) check on all drivers. Applicants and licence holders must submit a DBS check upon application and at least every three years upon renewal. Convictions must be declared, including all criminal and traffic offences. Any convictions, spent<sup>3</sup> or unspent, will be taken into account for the licensing decision but will not necessarily prevent a licence being granted. The council will consider the nature of the offence and other factors before making a decision.

<sup>3</sup> The taxi and private hire trade is an exception to the rehabilitation of offenders list. The council will take into account both spent and unspent offences when considering whether to grant a licence.

In the interests of public safety, the council will not issue a licence if the applicant has a history of crimes of dishonesty, violent or sex-related offences and major motoring offences (including drink driving). Further guidance on the relevance of convictions can be found in Appendix C – Relevance of convictions.

In the case of foreign nationals, a DBS check will only cover the time period since the applicant's arrival in the UK. If this time is too short to make a judgement about the applicant's character, the council may require the applicant to obtain a certificate of good conduct or similar relevant document from their embassy or from the Association of Chief Police Officers.

### **3.2. Medical checks**

Drivers need to be in a good condition of health to ensure the safety of their passengers, themselves and other road users. As well as driving, the day-to-day work of a licensed driver may also include lifting heavy items of luggage, wheelchairs and shopping etc. Any applicant for the grant or renewal of a licence who is unable to satisfy the licensing authority that they meet the required medical standard will not be issued with a licence.

We have a standard medical form which is filled in by the applicant's own GP, the costs of which must be met by the applicant. Every licence holder must undergo a medical check upon application, and at the age of 45. Drivers over the age of 45 will be required to undergo a medical examination every five years, until they reach the age of 65, after which a medical check must be done annually.

The driver must be fit to drive up to the DVLA Group 2 standard. Drivers who already have DVLA Group 2 certification which covers the entirety of the licensing period may be exempted from this requirement.

In addition, all licence holders are required to inform the licensing authority of any illness or condition that affects their ability to drive.

### **3.3. Driving proficiency and experience**

All applicants must have held a full DVLA driving licence for at least one year.

The Driving and Vehicle Standards Agency (DVSA) also have a practical driving test for drivers of hackney carriage and private hire vehicles. All new applicants for hackney carriage and private hire driver's licences will be required to produce evidence that they have successfully completed the DVSA practical driving test prior to the initial application.

### **3.4. Previous taxi and private hire licences**

If a new applicant has held a licence as a taxi driver in any other area, or has ever had a licence suspended or revoked, they must declare this on their application form. The council will run a check on the applicant's licensing history in these cases.

### **3.5. Character reference**

In order to ensure a high standard of safety for users of the taxi service in Selby District, we require a character reference for each applicant. Each applicant is asked to nominate a referee who has known them for at least three years, and has a position of good standing in the community. We normally expect a reference from a professionally qualified person, for example a lawyer, doctor or other healthcare professional, teacher, engineer or accountant.

## **4. Changes to licensee circumstances**

Licence holders must inform the council if they move house, if their condition of health changes, if they are involved in a motor vehicle accident, convicted of a crime or cautioned by a police officer. Notifications of this type must be made as soon as reasonably practicable, and always within three days. A full list of incidents and changes in licence details that the council must be informed of is found in Appendix A – Guidance notes for applicants (Drivers).

### **4.1. Failure to notify**

Failure to report or declare these changes are very serious, and often attract an additional weighting to the actual offence, with harsher enforcement action. For example, a minor traffic offence is not likely to materially change whether a driver is a fit and proper person to hold a licence. However, a licensee who commits a minor traffic offence and fails to notify the council is in breach of this policy, is disregarding their legal obligation to notify and is demonstrating dishonesty. A minor traffic offence is forgivable, assuming the licensee drives with more care in future. Failure to notify is likely to lead to a review of the licence.

Failure to notify the council of a conviction or caution by the police is extremely serious. Licensees may wish to note that the police will notify us directly in many cases, and this should be in addition to the licensee's notification.

## **5. Vehicles**

We are not overly restrictive with the types of vehicles that can be licensed, but we do need to ensure that all vehicles are safe, that they clearly display licensing plates,

and that there is provision in the fleet for all accessibility requirements. Guidance on the accessibility requirements of vehicles can be found in Section 6 – Accessibility.

### **5.1. About the vehicle inspection**

At vehicle inspection we will check vehicle registration, insurance, and MOT documents, make sure the vehicle itself is fit for purpose and issue licence plates. The table below sets out the frequency of tests required for vehicles, based on their age:

Vehicle age	Frequency of vehicle tests and checks
0–5 years	One check per year
5–7 years	Two checks per year
7+ years	Three checks per year

Routine vehicle inspections are booked about 4–6 weeks in advance of the expiry of the licensed period of the vehicle. It is expected that drivers attend and cooperate with a vehicle inspection.

If a vehicle licence is suspended it must have another inspection within two months of the suspension notice, otherwise the vehicle licence is revoked.

If a defect should occur or develop on a vehicle between inspections that could affect the safety of that vehicle and the travelling public, the driver and/or proprietor must let the council know so that an investigation can begin.

A checklist to help prepare for a vehicle inspection can be found in Appendix B – Guidance notes for vehicles inspections.

### **5.2. Licence plates**

Upon successful inspection the vehicle becomes licensed, and will be issued with licence plates. At all times it must then clearly display the issued licence plates in the proper locations.

The large licence plates must be securely attached to the back of the vehicle, and the small licence plates must be fixed in a position easily visible to passengers – in most cases this will be the dashboard. In addition, private hire vehicles are given a second licence plate for the front of the vehicle.

Loss of (or damage to) a licence plate must be reported and replaced immediately at the licensee's expense. No hiring contract is to be entered into without a licence plate affixed to the vehicle. If the vehicle is being taken off the road and not being replaced, the licence plates must be returned to the council.

On some vehicles or on certain occasions, a driver may not wish to display large licence plates (for example on executive vehicles, limousines, or when using a regular licensed vehicle for a wedding). For these situations, discreet licence plates may be requested from the council and issued at the licensee's expense. These will be considered on a case-by-case basis by the Licensing Committee.

### **5.3. Safety equipment**

All licensed vehicles must have seat belts in the driver's seat and all passenger seats where fitted by the manufacturer. We recognise that some vehicles, including purpose-built taxis with rear-facing seats, do not have seatbelts fitted for all seats. However, we expect that the majority of vehicles will have the same number of seatbelts as the maximum number of passengers permitted by the licence (as well as the driver's own seatbelt).

The vehicle must also carry a fire extinguisher. If safety equipment is not clearly visible, then signs must be in place to indicate its location.

It is encouraged that a BS 8599 compliant first aid kit is carried in all licensed vehicles, which should carry – at a minimum – plasters, eye pads, a range of bandages and dressings, safety pins, disposable gloves and a leaflet giving general guidance on first aid.

### **5.4. Vehicle condition**

Between inspections the driver must maintain the licensed vehicle in good condition, making sure it is roadworthy and clean inside and out.

### **5.5. Taxi lights**

In order to help members of the public tell the difference between taxis and private hire vehicles, taxis must be fitted with a sign on the roof which can be lit up at night. Private hire vehicles are prohibited from any sign on the roof which may be mistaken for a taxi light.

### **5.6. Tinted windows**

All windows must be sufficiently transparent so as not to compromise road safety or prevent clear vision into the vehicle. As a guide, vehicles fitted with manufacturers tinted windows will only be accepted if the front windscreen allows 75% of light, all other windows must allow at least 70% of light to be transmitted through them. Any vehicles with windows darker than the above specification and which do not allow the occupants to be clearly visible from the exterior will not be licensed (notwithstanding the exceptions made in section 5.7).



### **5.7. Non-standard vehicles**

Vehicles which do not conform to the above type specification may still be considered for licensing, and further conditions may be attached to ensure the safety of the public. Each application will be considered on its merits by the Licensing Committee.

In allowing for non-standard vehicles, the council aims to include executive vehicles, limousines and novelty vehicles in the transport hire industry. It is not to make exceptions for substandard vehicles which would not otherwise be licensed.

The Licensing Committee will normally inspect any non-standard vehicle submitted for application. Special conditions for non-standard vehicles are often used. Some examples of special conditions that may be placed upon a limousine include:

- that a more formal dress code is observed by the driver
- that the vehicle is used only for special occasions (i.e. not for everyday private hire use)
- an exemption from the tinted window condition

### **5.8. Taximeters**

All taxis must be fitted with taximeters. Installation of taximeters must be carried out by an appropriate installer and accompanied with a certificate of installation. All taximeters will be tested over the measured mile, and programmed with Selby District Council's most recent fare structure. No attempt should be made to change the taximeter, except by an authorised officer.

The taximeter will be used for all journeys taken by taxi, even if under a private hire contract. For journeys ending outside of Selby District, another fee may be agreed in advance. If no such agreement is made, only the fare showing on the taximeter may be charged. More information can be found in Section 8 – Fares. The taximeter must be visible to passengers at all times.

### **5.9. Trailers**

A driver who wishes to tow a trailer must satisfy the council that insurance is in place for this use. Where the trailer obstructs the view of the rear vehicle plate, an additional licence plate must also be clearly displayed on the rear of the trailer (in addition to the rear of the vehicle).

### **5.10. Advertising**

If a driver or operator wishes to display advertising anywhere on or in the vehicle, written permission must be obtained from the council. Advertising which could cause offence is not permitted in any location on a taxi or private hire vehicle. Specific

subject matter that will not be permitted includes alcohol, cigarettes and political parties. Unauthorised advertising will be subject to enforcement action.

#### **5.11. Motor vehicle accident**

If a licensed driver has a motor vehicle accident, they must inform the council immediately. If the damage materially affects the safety or performance of the vehicle, it must then undergo another inspection before any contract for hire is to be undertaken. If the inspection deems it necessary, the vehicle will need to successfully pass an MOT test.

#### **5.12. Changing a vehicle**

We cannot directly change a licence to another vehicle. Instead, we issue a new licence for the new vehicle, and refund any full calendar months for the period remaining on the previously licensed vehicle.

## **6. Accessibility and taxi vehicle requirements**

In regulating the taxi and private hire trade we aim to meet the diverse needs of all accessibility requirements in our district. This includes wheelchair users, the visually impaired, the elderly and other groups that may be disabled or otherwise have accessibility requirements. We do not place any restrictions on private hire vehicle types, but we do check that they are safe. For taxis, we only allow certain types of vehicles to be licensed, set out as follows.

### **6.1. New vehicles with new applicants**

Where a new application for a hackney carriage vehicle licence is made, the licence will only be granted if the vehicle is wheelchair accessible.

### **6.2. Replacement vehicles**

An existing vehicle may be replaced by a vehicle of similar type. All wheelchair accessible vehicles may only be replaced by another wheelchair accessible vehicle. There are a number of saloon-type vehicles in the fleet; these may be replaced by either a wheelchair accessible vehicle or another saloon

Current hackney carriage drivers licenced to drive a wheelchair accessible vehicle can make a request to be added to the waiting list to change their vehicle to a licence for non-wheelchair accessible vehicle (Appendix D).

In the event that a licence for a non-wheelchair accessible vehicle becomes available i.e. when an existing licence holder of a non-wheelchair accessible vehicle surrenders their licence, or where monitoring identifies a need for more non-

wheelchair accessible vehicles, those on the waiting list will be considered for the available licence(s).

### **6.3. Assistance dogs**

Taxis must carry guide/assistance dogs at no extra charge. Refusing to carry a disabled person on the basis of their disability is discrimination, and is a serious criminal offence.

### **6.4. Definition of wheelchair accessible vehicles**

Wheelchair access and egress may be made via the side doors or rear doors. All vehicles that are wheelchair accessible must be so constructed as to facilitate the carriage of people with disabilities. It must be capable of accommodating a wheelchair user in a wheelchair in the passenger compartment, provided that the wheelchair fits either facing forwards or rearwards as recommended by the Disabled Persons' Transport Advisory Committee and the Medical Devices Agency. Under no circumstances must the wheelchair be placed sideways in the passenger compartment.

Approved anchorages must be provided for the wheelchair and the wheelchair user. These anchorages must be either chassis or floor linked and capable of withstanding approved dynamic or static tests. Restraints for wheelchair and occupant must be independent of each other. Anchorage must also be provided for the safe stowage of a wheelchair when not in use, folded or otherwise, if carried within the passenger compartment. They must be designed so as not to cause injury to other passengers.

A ramp or ramps for the loading of a wheelchair and occupant must be available at all times for existing wheelchair accessible vehicles. The entry must be either via the nearside passenger door or via the rear. An adequate locking device must be fitted to ensure that the ramps do not slip or tilt when in use. Provision must be made for the ramps to be stored safely when not in use.

## **7. Operators and the private hire trade**

Private hire vehicles require bookings to be made in advance, and these bookings are carried out by a licensed operator. Operator's licences are non-transferable.

Among other responsibilities, all operators must:

- make sure that all of their drivers are licensed by Selby District Council
- make sure that their premises are sanctioned by the council, including any planning permission required for the site
- make sure that all vehicles in their fleet are licensed
- prevent defective or unsafe vehicles from being used, even if licensed

- provide enough off-street parking for the number of vehicles in their fleet
- stop private hire vehicles from parking illegally near the base
- familiarise themselves with this policy
- be able to explain the contents of this policy to their drivers
- inform the council in writing of any changes to the details of their licence within three days of the change being made, including changes to –
  - the registration of any vehicles on the licence
  - the details of any driver on the licence
  - the drivers listed on the licence
  - the operator’s own contact details, home address or business premises

No contract for hire is to be entered into before the details are correct on the registered licence. It is therefore important to let the council know as soon as possible.

Operators must always and only use the trading name registered on the licence for business purposes such as bookings and advertising.

### **7.1. Record Keeping**

Operators and owners of private hire vehicles must keep records of each booking, including the name of the passenger, the destination, the name of the driver, the number of the vehicle and any fare quoted at the time of booking. This information will enable the passenger to be traced if this becomes necessary and should improve driver security and facilitate enforcement. Records are to be held for at least twelve months and be available for inspection upon request.

### **7.2. Prompt Attendance**

If a driver is aware of a booking under a contract for private hire, they must be on time for that appointment in the correct place, unless delayed or prevented by sufficient cause. If a legitimate reason for the delay is encountered, every reasonable effort must be made to contact the passenger.

### **7.3. Insurance checks**

Operator must make sure that every operating base is covered by public liability insurance and employer’s liability insurance in place for the duration of their licence. The insurance certificate must be available for inspection upon request.

All vehicles on the operator’s licence must be covered by appropriate insurance. Where an insurance cover note is in place, the operator must ensure that the driver on expiry of that cover note advises the council of the new period of cover. It is the responsibility of both the operator and driver to ensure that they have the correct insurance cover in place to cover the number of passengers that they are entitled to

carry. The operator must therefore regularly monitor insurance and personally examine the insurance certificates to satisfy themselves as to their validity.

#### **7.4. Plying for hire**

The licence of a private hire vehicle and driver's licence do not permit the licensee to ply for hire on the street, but only to accept bookings through their operator. As a legal requirement of the licence, private hire driver's licences may be subject to enforcement action if found to be plying for hire.

#### **7.5. Taxi ranks**

Private hire vehicles are not permitted to use taxi ranks for any reason, including picking up and dropping off passengers.

### **8. Fares**

The council sets rates for taxi fares (but not for private hire vehicles). The most up to date taxi fares can be found on our website. The table of fares should be clearly displayed in taxis. Private hire vehicle operators and owners are able to set their own rates.

A taxi driver may not demand a fare in excess of the fare shown on the taxi meter, unless a fare has been previously agreed. If a fare has been previously agreed, the driver may not charge more than this agreement.

Drivers must make no attempt to cancel or hide the fare shown on the taximeter until the passenger has had reasonable opportunity to see it and a payment settled.

### **9. Complying with the law**

All people at all times should comply with the law. Taxi and private hire drivers/operators are no exception, and should not do anything illegal at any time. There are a number of offences which are particularly serious breaches of the law for professional drivers. If a driver does not comply with the law in a way that could put members of the public in danger, the driver's licence will be suspended or revoked in addition to any enforcement action due to breach of the law.

#### **9.1. Mobile phone use**

Drivers must not use a mobile phone or any other mobile device whilst driving. It is legal to bring the vehicle to a halt in a safe place and take a phone call, although it may be considered unreasonable to do so with passengers in the vehicle. The hard shoulder of a motorway is not a safe place, and drivers must never stop on a hard shoulder to make or answer a call. The only permitted use of a mobile device while

driving is with a hands-free system – though this may also be inappropriate with passengers.

## **9.2. Alcohol**

Drink driving is a serious offence for any motorist. Professional drivers must take particular care, and not drink alcohol immediately before or at any time while driving or being in charge of a vehicle.

## **9.3. Discrimination**

Drivers should carry all passengers upon every reasonable request without discriminating in any way. If a driver refuses to carry a passenger, they will be invited to a hearing and given a chance to state their reasons for refusal. If the council is satisfied that the reasons are justifiable then no action will be taken, otherwise appropriate enforcement action will be considered and applied. Particularly serious is discrimination on the basis of the protected characteristics of the Equality Act 2010 (including age, disability, gender identity, race, religion, sex and sexual orientation).

## **9.4. Carrying the right number of passengers**

Vehicles are licensed to carry up to a specified maximum number of passengers. Carrying more passengers than this maximum is a severe breach of policy.

## **9.5. Parking at taxi ranks**

Taxi drivers must remain with their vehicle while at a taxi rank. Drivers are not permitted to use taxi ranks to park their vehicle.

Private hire vehicles are not allowed to use taxi ranks in any capacity.

## **9.6. Vehicle use**

It is illegal to allow a person who does not hold a private hire vehicle licence to drive a licensed private hire vehicle, even when that vehicle is not being used as a private hire vehicle. This means that a licensed driver's family and friends are not permitted to drive the private hire vehicle at any time.

# **10. Code of conduct**

## **10.1. Behaviour**

All licensees must behave in a civil, polite and courteous manner at all times while working as a driver or operator. No swearing, abusive language or offensive gestures are sanctioned, and licensees must conduct themselves so as to avoid offence, nuisance and hazard to the public.

Licensees may be required to attend an interview or hearing. They must therefore respond to an interview request by the licensing authority. It is an offence to fail to comply with a reasonable request from an authorised officer.

Taxi drivers have a duty of care to their passengers, and must behave accordingly.

### **10.2. Dress code**

We are committed to encouraging a professional image of drivers in the district. As such, drivers' clothing must be clean, smart and professional at all times. Specifically, sportswear and beach clothing are not appropriate for drivers while on duty.

### **10.3. Identification badge**

Drivers must wear their identification badge as issued by the council at all times when on duty. It must match the photo ID displayed in the vehicle being driven.

We will supply a driver's badge and photo ID. If a badge is lost, damaged or stolen this must be reported immediately, and a replacement badge paid for.

The photo ID must be visibly displayed in the vehicle to the passengers. Only the ID of the driver currently driving the vehicle may be displayed.

### **10.4. Receipts**

A driver must issue a receipt if requested by a passenger following a journey, and may not refuse to issue a receipt in these circumstances. Many licensees issue receipts as standard practice, which we encourage.

### **10.5. Luggage**

Drivers are to give all reasonable assistance with passengers' luggage in loading and unloading. According to this definition of reasonable, drivers are expected to help passengers to get their luggage to and from the entrance of a building.

### **10.6. Safe places to drop off and pick up passengers**

Drivers must never pick up or drop off a passenger in an unsafe location, nor allow a passenger to get out of the vehicle in an unsafe way (onto a road, for example).

### **10.7. Lost property**

Drivers must check the vehicle for property that may have been inadvertently left there by a passenger. If any property is found, drivers must take all reasonable steps to return property to any passenger who leaves something in the vehicle. Where this is impractical or the attempt to return property has failed, the driver must return the property to the council, where it will be recorded and further attempt to return the property will be made.

## **10.8. Animals**

Drivers may not carry any animal which does not belong to a passenger in the vehicle. Carriage of an animal owned by a passenger is at the discretion of the driver, apart from guide dogs and other assistance dogs, which must be permitted with their owner free of charge (as per section 6.3).

## **10.9. Food in the vehicle**

The driver must not eat or drink whilst carrying fare-paying passengers in the vehicle.

## **10.10. Music**

Noise nuisance is to be avoided. Drivers must not use the radio or any other sound equipment without the express permission of the passenger. Even with passenger permission, the radio system must never be used in a way that would alarm or cause nuisance to any person, including members of the public.

## **10.11. Smoking and e-cigarettes**

The council enforces a no smoking and no e-cigarette policy in licensed vehicles. Drivers must not smoke tobacco or use e-cigarettes or vaporisers, nor allow passengers to do so whilst in the vehicle. The vehicle must clearly have a no smoking sign on display.

## **11. Complaints about drivers**

Members of the public are able to make complaints about drivers in the taxi and private hire vehicle trade. In these cases we will always keep in touch with the complainant while carrying out an investigation. Drivers will be told about the complaint, and invited to an interview to discuss it as part of the investigation. We will follow up by taking enforcement action where appropriate.

## **12. Enforcement**

Our commitment to effective enforcement activity is not only good for public safety, but also for the responsible people in the taxi and private hire vehicle trades. We believe that the majority of those in the taxi and private hire vehicle trades seek to comply with our policy and the law, and we see it as our role to clamp down on unlicensed operators and liaise with other agencies, especially the police, to ensure compliance with this policy and with the law. Any enforcement action will be taken in line with our Corporate Enforcement Policy.



### **12.1. Considerations**

When we decide on enforcement action, the following will be taken into account to determine whether the person is fit and proper to remain a licensed trader.

- Witness statement (where appropriate, e.g. when a complaint is received)
- Interview with the driver/operator
- Previous history of the driver/operator

### **12.2. Levels of enforcement action**

In the event of minor transgressions, particularly if the driver has no history of transgressions and the council believe that the transgression was unintentional, a written warning is likely to be issued.

In more serious cases of transgression, or where we find evidence of malpractice or non-compliance with this policy among licence holders, we can suspend or revoke licences. Where public safety is the primary cause for concern, we reserve the right to suspend or revoke licences immediately.

Licences which are suspended or revoked must be immediately returned to the council, along with any badges, cards and licence plates.

### **12.3. Appeals**

If we refuse to grant or renew a licence, or we impose conditions upon a licence of any type, the applicant has a right of appeal. Licensees may also appeal against suspension or revocation of a licence. Any appeal must be lodged within twenty-one days of the decision. Any enforcement action that we take will also give notice of a right of appeal, if one exists.

## **13. Policy review**

As a regulatory body, we are always monitoring changes to legislation. When changes take place, we review the policy and update it as necessary. We will also regularly carry out a review to monitor its effectiveness and keep it in line with best practice.

## **Appendix A – Guidance notes for applicants (Drivers)**

### **Am I eligible?**

To become a taxi or private hire driver you will need to get a licence from the council. In order to be eligible for a licence you must:

- have held a full DVLA driving licence for at least 12 months
- be able to demonstrate that you are “fit and proper” to hold a licence

We carry out a number of checks to determine whether you meet these criteria, as outlined in the taxi licensing policy under Section 3 – Checks on the driver.

### **Before you apply**

The Driving and Vehicle Standards Agency (DVSA) have a test specifically for taxi and private hire drivers. Applicants must complete a DVSA test before applying to the council for a driver’s licence.

Drivers must have a good working knowledge of the area in which they work. The council does not currently test applicants’ knowledge with a topographical test, but does expect new applicants to maintain the high standards expected by passengers.

Before applying for a licence, you must:

- have received your DVSA test certificate
- make sure you have the local geographical knowledge required of a driver

### **How to apply**

You will need to complete and submit all of the following at the same time:

- application form
- a digital photo (sent via email to [licensing@selby.gov.uk](mailto:licensing@selby.gov.uk))
- Driving Licence Mandate
- DBS application form (CRB)
- three documents for proof of identity
- medical form completed by your own GP
- the relevant application fee (non-refundable)
- referee contact details for your character reference
- DVSA test certificate

### **What happens next?**

Once the checks have been carried out the council will determine your application and inform you of their decision in writing. You may be asked to go to the Licensing Committee to provide further evidence that you are a fit and proper person.

### **If you are unsuccessful**

Should you be unsuccessful, the reason for your refusal will be confirmed in writing. You will be informed of your right to appeal, which would go to the Magistrates' Court and must be made within twenty-one days of the notice of refusal.

### **If you are successful**

If you are successful you will receive your driver's badge and licence along with your attached conditions. Once you receive your driver's badge you are licensed to drive a hackney carriage (for hackney carriage drivers) or a private hire vehicle (in the case of private hire drivers). The vehicles used for hire must be licensed by Selby District Council, although the vehicle that you drive does not necessarily have to be owned by you. When working as a driver you must wear your badge in such a position that it can be clearly seen at all times.

It is important that you read and fully understand your licence conditions, because if you are found to break them it may result in your licence being suspended or revoked. The driver's licence lasts one year and you will be sent a reminder for renewal 4–6 weeks before the licence expires.

### **How long does the whole process take?**

We aim to deal with your application as quickly as we can, and normally within six weeks of receiving an application. However, because the process relies on other organisations to provide information it can sometimes take longer. An application will not be considered until all parts of the application have been received, including the relevant fee.

### **What if my circumstances change?**

It is very important that the council knows of changes to circumstances which affect the licence. We have put together this list of things we need to be told about.

Every licensee must let the council know if they:

- move house, or change primary address details
- move business premises
- change contact details (including phone number and email address)
- receive a police warning or caution, or are fined or arrested

Additionally, every licensed driver must inform the council if they:

- have a motor vehicle accident
- get points on their driving licence, or are suspended/disqualified from driving
- develop a health condition, or a known health condition deteriorates
- change the operator through whom they work (private hire only)

## Appendix B – Guidance notes for vehicles inspections

Vehicles are tested at least every year at a full vehicle inspection. Vehicles over five years old also have interim inspections (see Section 5 – Vehicles).

### Paperwork

The following documents must be presented at Access Selby Customer Contact Centre before the annual full vehicle inspection:

- the relevant inspection fee
- MOT certificate (required by law for taxis even if the vehicle is less than three years old)
- insurance certificate
- application form
- vehicle registration document (logbook)
- evidence of current vehicle tax

Interim inspections will only need the following:

- the relevant inspection fee
- MOT certificate
- insurance certificate

### Vehicle standards

At the inspection, as throughout the year, the vehicle must be:

- safe, clean and tidy inside and out
- in good mechanical order
- fitted with working seat belts
- fitted with a fire extinguisher, which in turn must be:
  - a dry powder extinguisher
  - at least 600g
  - within its functional date (i.e. not expired)
  - near the driver
  - readily available for use at all times

### Seating

The vehicle must be presented for inspection with the number of seats in position for which it is licensed. If it is wheelchair accessible, the number of seats and wheelchair spaces must not exceed the number of seats for which the vehicle is licensed.

### Licence plates

If the vehicle is being inspected at renewal or for an interim inspection, the large plate must be securely attached to the rear of the vehicle. The small plate must be securely fixed to the dashboard.

If the vehicle has not been previously licensed, the plates will be issued after the vehicle has passed its test, and must be securely attached straight away.

If you are changing your vehicle or taking it off the road, the old plates must be returned to the council before the new plates and licence are issued.

### Notice for display in vehicle

It is encouraged that the notices overleaf be displayed in a prominent position, visible to passengers. There is one notice for taxis and one for private hire vehicles, highlighting some of the differences between the licences and vehicle type.

**Notice for taxi passengers** – what you can expect from the taxi trade and what the taxi trade can expect from you

The driver will:

- Drive with due care and courtesy towards the passenger and other road users.
- Use the meter within the licensed area, unless the passenger has agreed to hire by time.
- If using the meter, not start the meter until the passenger is seated in the vehicle.
- If travelling outside the licensed area, agree the fare in advance. If no fare has been negotiated in advance for a journey going beyond the licensing area then the driver must adhere to the meter.
- Take the most time-efficient route, bearing in mind likely traffic problems and known diversions, and explain any diversion from the most direct route.

The passenger will:

- Treat the vehicle and driver with respect and obey any notices (e.g. in relation to eating in the vehicle).
- Ensure they have enough money to pay the fare before travelling. If wishing to pay by credit card or to stop on route to use a cash machine, check with the driver before setting off.
- Be aware of the fare on the meter and make the driver aware if it is approaching the limit of their financial resources.
- Be aware that the driver is likely to be restricted by traffic regulations in relation to where s/he can stop the vehicle.

**Notice for passengers of private hire vehicles** – what you can expect from the private hire vehicle trade and what the trade can expect from you

The driver will:

- Ensure that the passenger has pre-booked and agrees the fare before setting off.
- Drive with due care and courtesy towards the passenger and other road users.
- Take the most time-efficient route, bearing in mind likely traffic problems and known diversions, and explain any diversion from the most direct route.

The passenger will:

- Treat the vehicle and driver with respect and obey any notices (e.g. in relation to eating in the vehicle).
- Ensure they have enough money to pay the fare before travelling. If wishing to pay by credit card or to stop on route to use a cash machine, check with the driver before setting off.
- Be aware that the driver is likely to be restricted by traffic regulations in relation to where s/he can stop the vehicle.

## Appendix C – Relevance of convictions

The guidance for the relevance of convictions that we use has regard to the joint circular distributed by the Department of Transport and the Home Office (DOT 2/92, HO 13/92).

1. Each case will be decided on its own merits.
2. A person with a current conviction for serious crime need not be permanently barred from obtaining a licence but should be expected to remain free of convictions for 3 to 5 years, according to the circumstances, before an application is entertained. Some discretion may be appropriate if the offence is isolated and there are mitigating circumstances. However, the overriding consideration should be the protection of the public.
3. The following examples afford a general guide on the action to be taken where convictions are admitted.

### **(a) Minor Traffic Offences**

Convictions for minor traffic offences, e.g. obstruction, waiting in a restricted street, speeding etc, should not prevent a person from proceeding with an application. If sufficient points have been accrued to require a period of disqualification of the applicant's driving licence then a Hackney Carriage or Private Hire Driver's licence may be granted after its restoration but a warning should be issued as a future conduct.

### **(b) Major Traffic Offences**

An isolated conviction for reckless driving or driving without due care and attention etc. should normally merit a warning as to future conduct and advice on the standard expected of Hackney Carriage and Private Hire Vehicle Drivers. More than one conviction for this type of offence within the last two years should merit refusal and no further application should be considered until a period of 1 to 3 years free from convictions has elapsed.

### **(c) Drunkenness**

#### *(i) With Motor Vehicle*

A serious view should be taken of convictions of driving or being in charge of a vehicle while under the influence of drink. An isolated incident should not necessarily debar an applicant but strict warnings should be given as to future behaviour. More than one conviction for these offences should raise grave doubts as to the applicant's fitness to hold a licence. At least 3 years should elapse (after the restoration of the driving licence) before an applicant is considered for a licence. If there is any suggestion that the applicant is an alcoholic, a special medical examination should be arranged before the application is entertained. If the applicant is found to be an alcoholic a period

of 5 years should elapse after treatment is complete before a further licence is considered.

*(ii) Not in Motor Vehicle*

An isolated conviction for drunkenness need not debar an applicant from gaining a licence. However, a number of convictions for drunkenness could indicate a medical problem necessitating critical examination (see (i) above). In some cases, a warning may be sufficient.

**(d) Drugs**

An applicant with a conviction for a drug related offence should be required to show a period of at least 3 years free of convictions before an application is entertained or 5 years after detoxification treatment if he/she was an addict.

**(e) Indecency Offences**

As Hackney Carriage and Private Hire Vehicle Drivers often carry unaccompanied passengers, applicants with convictions for indecent exposure, indecent assault, importuning, or any of the more serious sexual offences, should be refused until they can show a substantial period (at least 3 to 5 years) free of such offences. More than one conviction of this kind should preclude consideration for at least 5 years. In either case if a licence is granted a strict warning as to future conduct should be issued.

**(f) Violence**

As Hackney Carriage and Private Hire Vehicle Drivers maintain close contact with the public, a firm line should be taken with applicants who have convictions for grievous bodily harm, wounding or assault. At least 3 years free of such convictions should be shown before an application is entertained and even then a strict warning should be administered.

**(g) Dishonesty**

Hackney Carriage and Private Hire Vehicle Drivers are expected to be persons of trust. The widespread practice of delivering unaccompanied property is indicative of the trust that business people place in drivers. Moreover, it is comparatively easy for a dishonest driver to defraud the public by demanding more than the legal fare etc. Overseas visitors can be confused by the change in currency and become "fair game" for an unscrupulous driver. For these reasons a serious view should be taken of any conviction involving dishonesty.

In general, a period of 3 to 5 years free of conviction should be required before entertaining an application.

## **Appendix D – Transfer from a wheelchair accessible vehicle to a non-wheelchair accessible vehicle**

### **How to apply**

All current licensed drivers who wish to be considered for a transfer from a wheelchair accessible vehicle to a non-wheelchair accessible vehicle i.e. a saloon should contact the Council in writing to register their interest.

### **What happens next?**

Your name will be added to the waiting list. When a vacancy arises all current licensed drivers will be notified in writing. Notice of the vacancy will also be placed on the council's website.

Once an opportunity arises (e.g. when a licence for a non-wheelchair accessible vehicle is surrendered, or where monitoring of the make-up of the fleet identifies a need) those on the waiting list will be considered for the available licence(s).

### **Who makes the decision?**

Under powers delegated by the Licensing Committee, a panel of officers, which includes representatives from both the Legal and Enforcement sections, will decide who from the waiting list will be awarded a licence in respect of a non-wheelchair accessible vehicle.

### **How is the decision made?**

In order to reach a decision, the panel will consider the following:

- The driver's record of behaviour
- The driver's length of service

Only those drivers who the panel consider have demonstrated a 'good record' of behaviour will qualify to be considered for a non-WAV licence.

### **Definition of 'good record' of behaviour**

In general a 'good record' of behaviour is where the driver has demonstrated a maintained standard of public safety, professional service and compliance with all of the legislation and the Council's taxi licensing conditions and administrative processes.

A good record can cover the whole range of expectations of a licensed driver but there are particular cases where it will be inappropriate to grant a transfer/ issue a licence;

- Where the driver has previously failed to report a matter which is a condition of their licence or required by a relevant Act of Parliament



- Where a driver is found to be or has been in possession of more than one DVLA licence in contravention of DVLA controls
- Where there is conflict with Council's Taxi Licensing Policy, relating to convictions and driver conduct
- Where a licence is revoked for any reason, or suspended, as part of a Court finding or Council sanction (or where a period of suspension was imposed instead of revocation)
- Where at the point of the decision the driver licence is suspended as either part of an investigation or prosecution by this or any other Authority
- Where there has been a distinct neglect or failure to appropriately follow the administrative process in licensing functions.

It should be noted that the above list is not exhaustive.

### **Length of service**

The driver with the longest period of continuous service, and who meets the 'good record of behaviour' principle, will be awarded the available non-WAV licence. Continuous service means service as either a private hire driver or Hackney carriage driver, or a combination of both, but only with Selby District Council.

### **Appeals**

Any appeal must be lodged within twenty-one days of the decision. All appeals will be heard by the Licensing Committee.

## **Appendix E – Hackney carriages enforcement**

The following sections outline the hackney carriage offences. It is important that drivers become familiar with the offences, as ignorance of an offence will not protect a licence holder from the full weight of the law.

Many of the offences are explicitly discussed in the policy. This is simply provided as a comprehensive list of offences for which we can prosecute.

### **Offence under the Town Police Clauses Act 1847**

- Giving false information on application for hackney carriage proprietor's licence
- Failure to notify change of address of hackney carriage proprietor
- Plying for hire without hackney carriage proprietor's licence
- Driving a hackney carriage without hackney carriage driver's licence
- Lending or parting with hackney carriage driver's licence
- Hackney carriage proprietor employing unlicensed driver
- Failure by hackney carriage proprietor to hold hackney carriage driver's licence
- Failure by hackney carriage proprietor to produce hackney carriage driver's licence
- Failure to display hackney carriage plate
- Refusal to take a fare
- Charging more than the agreed fare
- Obtaining more than the legal fare
- Travelling less than the lawful distance for an agreed fare
- Failing to wait after a deposit to wait has been paid
- Charging more than the legal fare
- Carrying other person than the hirer without consent
- Driving hackney carriage without proprietor's consent
- Person allowing another to drive hackney carriage without proprietor's consent
- Drunken driving of hackney carriage
- Wanton or furious driving or wilful misconduct leading to injury or danger
- Driver leaving hackney carriage unattended
- Hackney carriage driver obstructing other hackney carriages

### **Offence under the Local Government (Miscellaneous Provisions) Act 1976**

- Failure to notify transfer of hackney carriage proprietor's licence
- Failure to present hackney carriage for inspection as required
- Failure to inform local authority where hackney carriage is stored if requested
- Failure to report an accident to local authority
- Failure to produce hackney carriage proprietor's licence and insurance certificate
- Failure to produce hackney carriage driver's licence

- Making false statement or withholding information to obtain hackney carriage driver's licence
- Failure to return plate after notice given after expiry, revocation or suspension of hackney carriage proprietor's licence
- Failure to surrender driver's licence after suspension, revocation or refusal to renew
- Permitting any vehicle other than hackney carriage to wait on a hackney carriage stand
- Charging more than the meter fare for a journey ending outside the district, without prior agreement
- Charging more than the meter fare when hackney carriage used as private hire vehicle
- Unnecessarily prolonging a journey
- Interfering with a taximeter
- Obstruction of authorised officer or constable
- Failure to comply with requirement of authorised officer or constable
- Failure to give information or assistance to authorised officer or constable

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## **Appendix F – Private hire enforcement**

The following sections outline the private hire offences. It is important that drivers become familiar with the offences, as ignorance of an offence will not protect a licence holder from the full weight of the law.

Many of the offences are explicitly discussed in the policy. This is simply provided as a comprehensive list of offences for which we can prosecute.

### **Offence under the Local Government (Miscellaneous Provisions) Act 1976**

- Using an unlicensed private hire vehicle
- Driving a private hire vehicle without a private hire driver's licence
- Proprietor of a private hire vehicle using an unlicensed driver
- Operating a private hire vehicle without a private hire operator's licence
- Operating a vehicle as a private hire vehicle when the vehicle is not licensed as a private hire vehicle
- Operating a private hire vehicle when the driver is not licensed as a private hire driver
- Failure to display private hire vehicle plate
- Failure to notify transfer of private hire vehicle licence
- Failure to present private hire vehicle for inspection as required
- Failure to inform local authority where private hire vehicle is stored if requested
- Failure to report an accident to local authority
- Failure to produce private hire vehicle licence and insurance certificate
- Failure to produce private hire driver's licence
- Failure to wear private hire driver's badge
- Failure by private hire operator to keep records of bookings
- Failure by private hire operator to keep records of private hire vehicles operated by him
- Failure to produce private hire operator's licence on request
- Making false statement or withholding information to obtain private hire driver's or operator's licence
- Failure to return plate after notice given after expiry, revocation or suspension of private hire vehicle licence
- Failure to surrender drivers licence after suspension, revocation or refusal to renew
- Charging more than the meter fare when hackney carriage used as private hire vehicle
- Unnecessarily prolonging a journey
- Interfering with a taximeter
- Obstruction of authorised officer or constable
- Failure to comply with requirement of authorised officer or constable
- Failure to give information or assistance to authorised officer or constable

## **Offence under the Transport Act 1980**

- Driving a private hire vehicle with a roof sign which contravenes section 64(1)
- Causing or permitting a private hire vehicle to be driven with a roof sign which contravenes section 64(1)

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## Appendix G – Glossary

Applicant	An individual or organisation applying for a licence or licences from the council.
Authorised officer	An officer of the council with powers to enforce.
Council	In this policy, the council refers to Selby District Council
CRB	Criminal Records Bureau. See DBS.
DBS	Disclosure and Barring Service. An agency which provides records of criminal records and history to the council.
Driver's licence	A licence issued by the council to taxi and private hire vehicles, drivers and operators.
Driving licence	A licence issued by the DVLA to all motorists.
DSA	Driving Standards Agency. See DVSA.
DVLA	Driving and Vehicle Licensing Agency
DVLA Group 2	A standard of medical health required of professional drivers and drivers of large vehicles. It has a higher standard of health than the standard Group 1, which is required of all licensed motorists.
DVSA	The DSA (Driving Standards Agency) and VOSA (Vehicle and Operator Services Agency) have merged to become the DVSA (Driving and Vehicle Standards Agency). They are responsible for a number of functions, including the assessment for taxi driving standards, which we require of all licensed drivers in the district.
Hackney carriage	See taxi.
Licensing Committee	A committee of Selby District Council which determines applications for licences, including taxi and private hire.
Minicab	A word sometimes used to describe private hire vehicles.
MOT	Ministry of Transport. Usually used to refer to the test and vehicle inspection which makes sure that all vehicles on the road are roadworthy and safe.
Private hire	A vehicle which can be hired under the Local Government (Miscellaneous Provisions) Act 1976.
Taxi	A vehicle which can be hired under the Town Police Clauses Act (1847). Also known as a hackney carriage.
Taximeter	A meter which calculates the distance travelled and time spent on a passenger journey in a taxi. The rates are set by the council and determine a fair fee for both passenger and driver.
VOSA	Vehicle and Operator Services Agency. See DVSA.
We	In this policy, "We" refers to Selby District Council.



## Minutes

### Licensing Committee

Venue:	Committee Room
Date:	5 January 2015
Present:	Councillors R Sayner (Chair), Mrs S Duckett, Mrs C Mackman, B Marshall, Mrs K McSherry, D Peart (for K Ellis), Mrs S Ryder, R Sweeting and J Thurlow.
Apologies for Absence:	K Ellis and Mrs P Mackay.
Officers Present:	Caroline Fleming - Senior Solicitor, Tim Grogan – Senior Enforcement Officer, Michelle Dinsdale – Policy Officer, Esta Innes – Graduate Trainee, Policy and Palbinder Mann – Democratic Services Officer.

#### **55. TAXI LICENSING POLICY**

The Policy Officer presented the Report L/14/23 which set out the draft Taxi Licensing Policy.

The Committee agreed that the recommendations made at the previous meeting should also be recommended to the Executive.

The Committee discussed the proposal to have a waiting list for drivers who wished to drive saloon vehicles which were not accessible to the disabled. It was stated that the waiting list should be ordered by length of service and behaviour. The Committee proposed a minimum length of service of five years.

#### **RESOLVED:**

**To recommend to the Executive that the following amendments be made to the Policy:**

- **There should be 60% to 40% split for wheelchair accessible vehicles rather than the 75% to 25% currently proposed.**
- **Only those drivers who have held a drivers licence with Selby District Council for a minimum of five years should be eligible to be added to the waiting list for a non-wheelchair accessible vehicle.**
- **There needs to be a system of spot checking to ensure ramps were provided by drivers and therefore it was suggested that each ramp should be marked with the registration number of the respective vehicle.**
- **There should be a learning test introduced for drivers in order that they can display the appropriate knowledge of the district before they commence driving.**
- **There should be an additional garage for taxi testing to allow greater flexibility for drivers.**

The meeting closed at 11.29am.



## Taxi Licensing Policy Consultation On-line survey responses

A total of 25 responses were received to the on-line survey, broken down as follows:

- 12 members of the public
- 12 trade (8 hackney carriage drivers, 1 private hire driver and 3 operators)
- 1 organisation

### Wheelchair Accessible Vehicles (WAV)

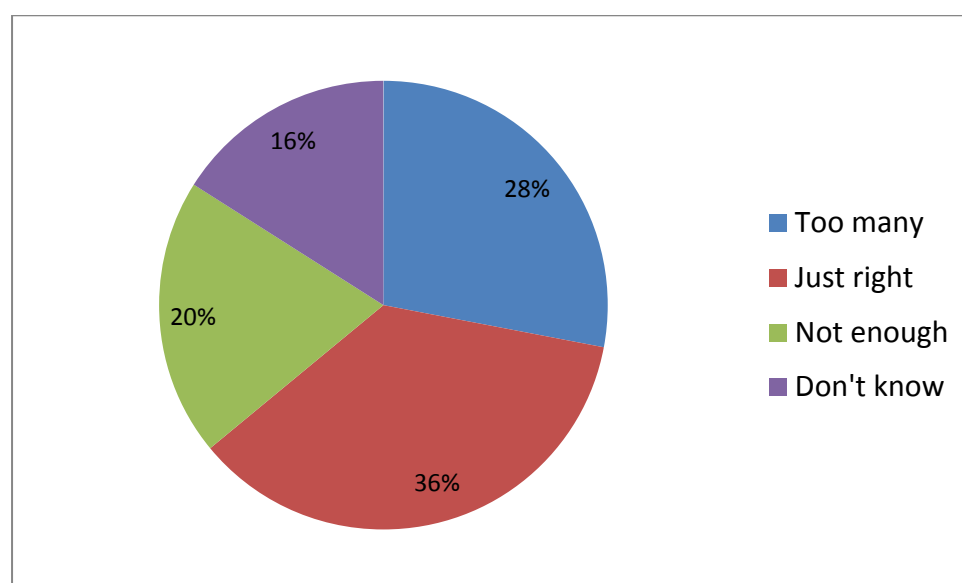
**Table 1: Response to question 1 'How important are the following vehicle features to provide a fully accessible fleet?'**

- Wheelchair accessibility
- Low level entry/low seating

Response	Wheelchair accessibility	Low level entry/seating
Very important	10	8
Important	7	6
Moderately important	4	3
Of little importance	1	2
Unimportant	3	3
No response	0	3
Total	25	25

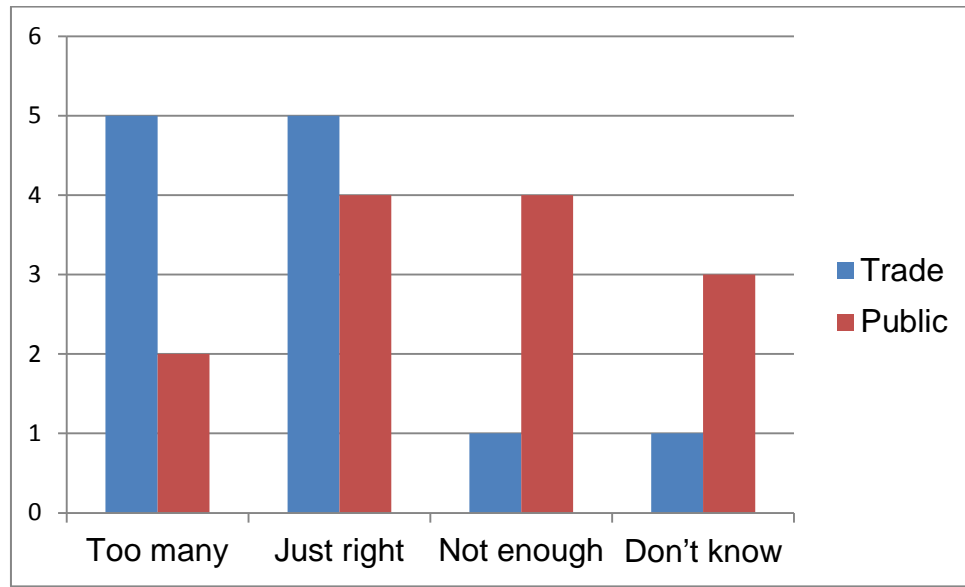
Slightly more respondents considered wheelchair accessibility to be either very important or important compared with low level entry/seating.

**Chart 1: Responses to question 2 'What do you think about the number of wheelchair accessible vehicles in the fleet?'**



The highest percentage of respondents (36%) considered the number of WAVs to be just right. <sup>1</sup> When the data is broken down further (see chart 2 below), an equal number of the trade considered the number to be just right or too many, whereas in contrast to this an equal number of the public considered the number to be just right or not enough.

**Chart 2: Responses to question 2 (broken down by respondent type)**



Details of the comments provided to question 2 are shown in tables 2 - 4 below:

**Table 2: Comments provide by respondents - too many:**

<b>Trade</b>
There are very few wheelchair customers (less than 1%) that would queue on the taxi rank. Alternatively they would choose the private hire sector & therefore phone accordingly. The problems encountered by the more infirm & older customers are that the wheelchair vehicles are too high (hackney carriage driver)
Usually would telephone private hire more convenient to take them from their home back to their home and many want to sit in normal seating anyway ((hackney carriage driver)
There are too many wheelchair vehicles, but older people require easier vehicles to get into as the wheelchair vehicles are higher than a saloon car. There is a big need for family vehicles too (not minibus types), but more like small people carriers. Zafira, Galaxy and Scenics to name a few (hackney carriage driver)
<b>Members of the public</b>
Not enough disabled passengers use the taxi rank. They are too much higher than cars
Not everyone wants to use a wheelchair accessible vehicle

<sup>1</sup> It should be noted that, following a decision taken by the Taxi Licensing Policy project group, no actual figures were provided in the survey, and therefore the responses are based on perception

**Table 3: Comments provide by respondents - just right:**

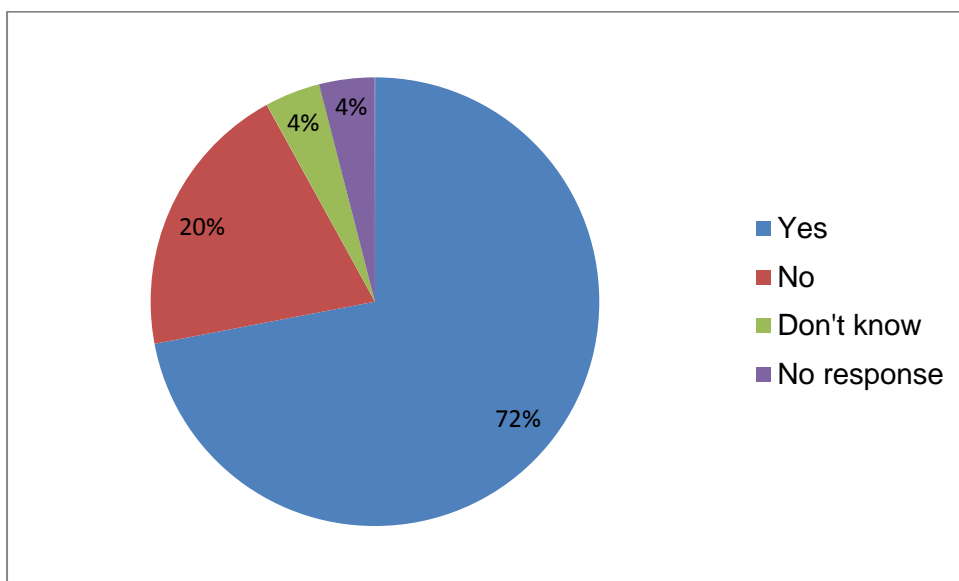
<b>Trade</b>
Both are available (hackney carriage driver)
There's always a choice (operator)
There should be a range of vehicle (of all types) for the range of customers (private hire driver)
The demand for wheelchair accessible vehicles seems to be comfortably met by the present numbers (operator)
Most hackney vehicles have it now (hackney carriage driver)
<b>Members of the public</b>
Small town and our experience is that drivers work together (disabled)
If the head vehicle on the rank is not wheelchair accessible there is always one that is

**Table 4: Comments provide by respondents - not enough:**

<b>Trade</b>
I thought the Disability Discrimination act made it compulsory for all Hackney Carriages should be wheelchair accessible. People should not have to wait in case an accessible vehicle turns up. Any vehicle on a rank should be able to be used (hackney carriage driver)
<b>Members of the public</b>
Too many drivers adapt their vehicles to get disability licence then undo adaptations
One in four people have a disability, not all are in wheelchairs, but still need an appropriately accessible vehicle (wheelchair user).
Because there are too few cars
As a wheelchair user I have not been able to book, or get a taxi from the rank.at all. They simply will not take my booking stating they are fully booked

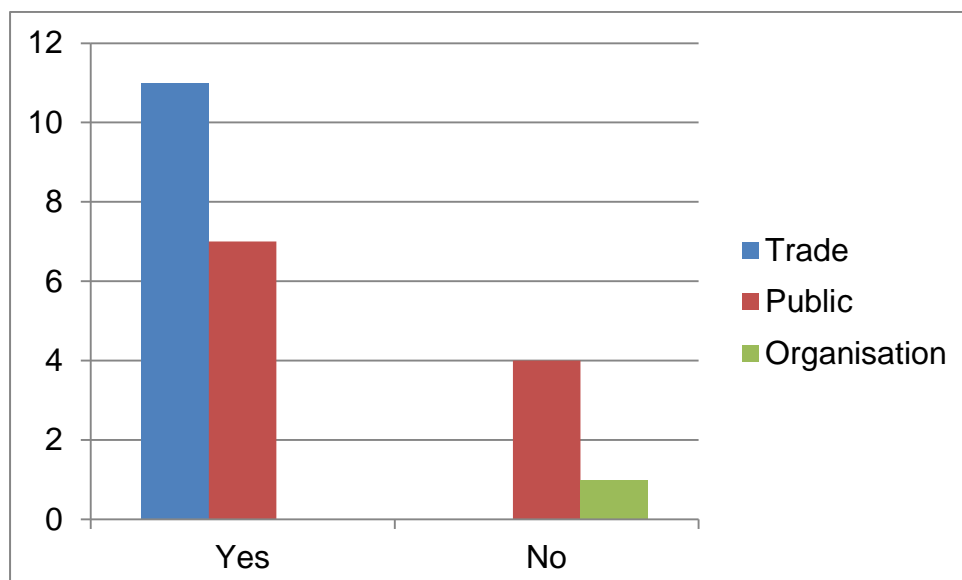
**Duration of Licences**

**Chart 3: Responses to question 3 'Would you be in support of issuing licences for longer periods?'**



Approximately three quarters (72%) of respondents were in favour of longer licence periods. All trade respondents were in support of longer licence periods, except one who did not know (as shown in chart 3 above).

**Chart 4: Question 3 responses (broken down by respondent type)**



The comments provided to question 3 are shown in tables 5 and 6 below:

**Table 5: Comments provided by respondents in support of longer licence durations:**

<b>Trade</b>
It is a bit of a bind having to renew licences every year. We have to produce all sorts of paperwork each time which seems pointless as the Council already has all our details and we are under obligation to notify any changes (hackney carriage driver)
I feel that annually is too often but perhaps 5 years is too long. Every 3 years would be better unless. As always SDC can monitor the drivers and revoke licenses as deemed fit. (hackney carriage driver)
Reduce the admin time and therefore cost for everyone (private hire driver)
It is a long term business operation and will mean less paperwork, time away from work and help the job run smoothly (operator)
If operators and drivers have a good record a longer period should be no problem. DBS checks every 5 years same as NYCC (hackney carriage driver)
It makes sense to issue licences for longer periods and also there is a call for a dual licence - Hackney & Private Hire (operator)
More stability (hackney carriage driver)
More convenient (hackney carriage driver)
<b>Members of the public</b>
Established firms and taxi drivers would I'm sure benefit from a reduction in red tape
Less paperwork
Allows for operators to invest with the certainty they have secure employment for longer
We always have the option to revoke a drivers or operator's licence at any time so there is no point in going through the process every year

**Table 6: Comments provided by respondents not in support of longer licence durations:**

<b>Members of the public</b>
Checks need to be maintained on the suitability of the driver. Any changes need to be monitored
These need tight controls and should be renewed every year to stop the system been abused
Increasing to three years will mean less monitoring of drivers

## Taxi Licensing Policy Consultation – Trade Event Comments

### Wheelchair Accessible Vehicles

Restrict the number of wheelchair vehicles
Wheelchair vehicles are used by less than 1% of public. They will use private hire (telephone)
Many people especially the elderly will wait for a normal type taxi. Lower for them to step up to get in
Larger vehicles usually wheelchair take up more room on taxi rank
Elderly people find it difficult to get into wheelchair accessible vehicles and prefer saloons
If you have had a hackney wheelchair vehicle for over five years work on a basis of an option (only for hackney drivers)
A mixed fleet of saloons and wheelchair
70/30 split of vehicles - 70% saloon, 30% wheelchair
Anybody happy to have wheelchair vehicles have a possible subsidy from Council
Only one vehicle on my licence. Unable to adapt vehicle to suit, but will try to accommodate less able whenever possible
The 1% of people still need to have a right to travel (in response to comment above).
Taxi drivers should be aware of the vehicle in front of them when on the rank. If the vehicle in front is a rear loading access taxi the car behind should leave space

### Duration of licence

I am in favour of three years for driver's licences and five years for operators. Saves time all round
Extend to at least three years, any reason for licence to be cancelled needs to be reported anyway
I would prefer to pay 1 x 3 year licence. This would lessen my workload slightly, but would surely cut your office work
Three year driver licence yes! Providing we don't get stung to pay three times. Council only doing third of work

## Other comments

Comment	Response
More people carriers (i.e. six seater) cars for small family	The Council does not intend to regulate the number of seats in a vehicle. Our consultation has not identified unmet demand for larger vehicles, and if drivers believe there is such demand, it is for the market (and not the regulator) to correct it
Cap on plates issued	The Council does not intend to impose quantity restrictions. This is regarded by the Department of Transport to be best practice
A second garage to taxi test. Three weeks to wait is unacceptable	Reynolds have agreed to increase the number of timeslots available and where a taxi test is required as an emergency they will endeavour to accommodate
Not enough enforcement. Driver was in broad support of many of the proposed changes, but didn't trust that the council would be able to enforce the new issues.	The licensing function in general is currently the subject of a service review project. One of the outcomes from this may be that additional enforcement is undertaken. If the Council were to issue licences for a longer period, there may be the option to transfer some of the savings from the cost of licensing administration to a more robust enforcement regime
Can we be flexible on whether drivers use their own GP?	The Council is not looking to make any changes in relation to this at this present time
Extra plates for trailers – necessary	Policy wording amended to state where there is an obstructed view a rear plate must be added
North Yorkshire have minimum requirements for the length of ramps in wheelchair accessible vehicles. Should Selby also have a minimum requirement?	This is at the discretion of the driver. The Council is not planning to introduce a minimum requirement
Issue with the wording of section 6.3 "Refusing to carry a disabled person is a criminal offence."	It is an offence to <i>discriminate</i> , but fares may be refused in situations of violence etc. Policy reworded to reflect this
Suggestion that Reynolds check ramps are with any wheelchair accessible vehicle, and that ramps are stamped with vehicle registration numbers to avoid "borrowing" ramps.	This suggestion will be researched in more detail
Can the Council provide lanyards?	The Council currently provides clips and has no plans to issue lanyards
Agree with first aid kits becoming mandatory, but should	The policy will define first aid kits

be clear about what must be in the kit as a minimum.	
Taximeters used to be tested on the measured mile, but this is not done anymore. The council's fee still claims to be for meter testing.	The information on charging fees will be updated to reflect this (website)
Medicals should be every five years for everyone, not just for over 45s	DVLA - Group 2 licences are renewable every five years to age 65 years unless restricted to a shorter period for medical reasons
Section 1.3 - Illegal signage on several taxis	The Council will look into this and will take enforcement action where necessary
Section 3.2 - Our surgery (Posterngate) does not want to do medical exams so charges £180.00 each time. We can get this cheaper at other surgeries!	The Council is not looking to make any changes in relation to this at this present time
Section 5.12 - Refund not been paid	A driver complained about a refund not being issued, however our policy is to refund full calendar months. We have contacted the individual and provided an explanation of the amount refunded (which was in line with current policy)
Section 5.2 - Small licence plate would be invisible on my cab which is London type cab (L.T.I.TXI). It is mounted in the back where it is visible to the passengers	This policy will be reworded to state that the licence must be visible but not necessarily dashboard-mounted
Section 5.3 - My vehicle has two seats that face rearwards. The manufacturer does not see fit to fit seat belts to these seats. It is a purpose build taxi not a converted van.	The general rule is that seat belts must be worn by adults travelling in a motor vehicle, if they are fitted to that vehicle (Motor Vehicles (Wearing of Seatbelts) Regulations 1993 – policy will be amended to reflect this
Section 5.3 - This is the first time I have been told we must carry first aid kit. Is this to be so?	The policy wording will be changed to make carrying a first aid kit 'advisable'
Section 5.8 - We are charged for our meters to be tested but this never happens. We should be recompensed for all the times the vehicle has been tested but <u>not</u> the meter.	The information on the website regarding charging fees will be updated to reflect this
Section 6.4 - Most of the taxis on our rank are wheelchair rear loading. This must be discussed.	The policy will be amended to allow vehicles with either method of access
Section 10.11- E-cigarettes are not 'smoked'. There is a host of definition in law of smoking.	The policy will be reworded



Appendix B - Why an M.O.T. certificate on a brand new vehicle - not necessary.	This is legislated. Please refer to DVLA
Reynolds has the monopoly on taxi testing. Surely this should be out for tender annually. Also Tadcaster hackney carriage and private hire have to come a long way to be tested. Not fair! I have no argument with Reynolds but if they are testing taxis they should be aware of the laws relating to them. We should have a choice of testing centres.	Further research on this will be undertaken in relation to this
Too many taxis (hackney carriage) in Selby. Not worth coming out to wait an hour for a £3.00 job and then waiting another hour for the same. Re-regulate.	Same point as previously stated above. The Council does not intend to impose quantity restrictions. This is regarded by the Department of Transport to be best practice

### Correspondence received from the trade following the drop-in session:

<p><b>Letter received from a hackney carriage driver:</b></p> <p>I am writing with a quick suggestion as how to get more saloons on the rank. As we know there is a small need for rank wheelchair as opposed to private hire wheelchair, because most disabled ring for a vehicle.</p> <p>My suggestion is to keep at least 10% of the rank taxi fleet, currently about 54, so at least 6 wheelchair rank taxis.</p> <p>My suggestion is when a new operator applies for a plate it will still be a wheelchair taxi, however after 5 years service that person would be allowed a saloon vehicle, so long as there is at least 10% wheelchair taxis, if not he/she must stop as a wheelchair. It is not perfect, but I think it is fair.</p>
<p><b>Email received from a hackney carriage driver:</b></p> <p>As requested during our recent taxi and private hire licensing meeting I have a few recommendations to be discussed.</p> <ol style="list-style-type: none"> <li>1. I believe any hackney driver with a business with more than 2 vehicles should be allowed a mix of saloon and disabled access vehicles which makes there business more capable to provide a full fleet for the public.</li> <li>2. I believe there should be at least 3 or 4 hackney vehicles allowed on the rank of a people carrier base i.e. ; to provide a service for</li> </ol>

large families who regularly need a 5 or 6 seater vehicle as most if not all the mini buses are not available during the daytime.

3. I believe the ruling regarding plates 1 to 19 should be scrapped as many of the plate numbers have been re-issued and therefore rendering this rule null and void. However should there be any older generation of drivers wishing to change their vehicle it should be based on an individual case with supporting evidence.

4. I do think in order to make a concious decision regarding the need for a fairer system and a more suitable fleet of vehicles for selby a survey should be carried out for 1 week during the day assessing the needs of the public.

5. I would suggest if anyone willing to keep or provide a wheelchair accessible vehicle could be entitled to a discount or subsidy towards their licensing costs. It would also require the council to have an up to date list every 3 months on the website with a list of all vehicles deemed wheelchair accessible.

I hope my points have given some food for thought. Can I also suggest that a hackney and private hire meeting could be scheduled at least quarterly or 4 monthly to give everyone a chance to iron out any issues regarding the job etc.

**Letter received signed by a number of drivers:**

As requested during our recent taxi and private hire licensing meeting I have a few recommendations to be discussed.

1. I believe any hackney driver with a business with more than 2 vehicles should be allowed a mix of saloon and disabled access vehicles which makes there business more capable to provide a full fleet for the public.

2. I believe the ruling regarding plates 1 to 19 should be scrapped as many of the plate numbers have been re-issued and therefore rendering this rule null and void. However should there be any older generation of drivers wishing to change their vehicle it should be based on an individual case with supporting evidence.

3. It would also require the council to have an up to date list every 3 months on the website with a list of all vehicles deemed wheelchair accessible.

# Selby District Council

## REPORT

Reference: E/14/68

Public – Item 8



**To:** The Executive  
**Date:** 5 February 2015  
**Status:** Key Decision  
**Report Published:** 28 January 2015  
**Author:** Jodie Taylor – Lead Officer Finance  
**Executive Member:** Councillor C Lunn – Lead Member for Finance & Resources  
**Lead Officer:** Karen Iveson – Executive Director (s151)

**Title: Financial Results and Budget Exceptions Report to 31 December 2014**

### Summary:

At the end of quarter 3, the full year forecast for the General Fund shows an estimated surplus of £295k (£183k Core & £112k Access Selby) and the HRA an estimated surplus of £160k (£43k Core & £117k Access Selby). Access Selby General Fund Savings are £135k short of target for the year and this has been reflected in the year end position. Both Core General Fund and HRA savings targets have been achieved for the year. Capital programme on the HRA is progressing well with minimal slippage expected for the year with the exception of roofing. There are a number of delays within the General Fund Capital programme which may result in the requirement for budgets to be carried forward for projects to be finished in future financial years

### Recommendations:

- i. **The Board endorse the actions of officers and note the contents of the report.**

### Reasons for recommendation

To ensure that budget exceptions are brought to the attention of the Executive with explanations from officers; in order to approve remedial action if necessary.

## 1. Introduction and background

- 1.1.1 At the end of quarter 2 General Fund was forecasting a surplus of £184k (£147k Core & £37k Access Selby). The HRA was forecasting a surplus of £170k (£65k Core & £105k Access Selby).

## 2. The Report

### Financial Results

- 2.1 **Appendix A** presents the major forecasted variances identified to 31st December 2014.

#### General Fund – Revenue

- 2.2 The full year forecast for the General Fund currently shows an estimated surplus of £295k (£183k Core & £112k Access Selby).

General Fund	Budget £000's	Forecast Full Year Variance £000's
Core	4,669	(183)
Access Selby	6,142	(112)
Communities Selby	199	0
	11,010	(295)

- 2.3 Increased surpluses within the General Fund for the Core include: Employee costs resulting from on-going vacancies & frozen posts (£22k), NNDR savings on council properties (£8k). In Q2 there was a forecasted shortfall in investment income of £90k, at the end of Q3 this shortfall had reduced to £78k. This has resulted in an increase in forecasted surplus of (£12k).
- 2.4 The main contributing factors to the change in position within Access Selby General Fund comes from increased Planning income (£110k), Lifeline lease cost savings being transferred to Access Selby Reserve £40k and Licencing legal costs (£24k). There has been an increase in income from recycling green waste (£197k) but this is offset by poor results from sale of recyclates £155k and increased cost from contractor as a result of increased tonnages £50k, giving a net £8k loss.

## Housing Revenue Account

- 2.5 The HRA full year forecasted surplus is £160k (£43k Core & £117k Access Selby).

HRA	Budget £000's	Forecast Full Year Variance £000's
Core	4,231	(43)
Access Selby	7,042	(117)
Communities Selby	0	0
	11,273	(160)

- 2.6 Within Access Selby's HRA account, an increase in projected income from RTB admin fees (£24k) has increased the projected surplus position.

### **Capital**

- 2.7 There are several capital budget exceptions for 2014/15, the details of which are set out in **Appendix B**. There are currently some delays with the capital programme due to strategic reasons for the General Fund in relation to CRM and mast relocation. There has been progress with the website which will see phase 1 launched in January 15 and Mobile working is currently under review and delivery options explored, it is expected that this project will be put back to 2016/17. Portholme Road Culvert will also be delayed as the formal tender process is followed, work on site is likely to commence from April 2015.
- 2.8 Other schemes are progressing but are unlikely to be completed in this financial year and will require budget to be carried forward to complete the work, this includes Tadcaster Bus Station refurbishment, the Housing Management System and Tadcaster Leisure Centre roofing.
- 2.9 HRA capital programme is progressing well with the Airey Scheme now complete, minimal slippage expected for the year with the exception of a Roofing Scheme in Tadcaster which is currently under consultation and independent survey.

### **Savings**

- 2.10 **Appendix C** presents an update on progress against the Council's savings action plan for the General Fund and HRA.
- 2.11 Access Selby's General Fund surplus includes a shortfall in savings of £135k, however in year one-off savings and increases in income are covering the shortfall, which also means that the budgeted drawdown from Access Selby reserves of £107k will not be required. Savings targets have been achieved within the Core General Fund and HRA.

### **3. Legal/Financial Controls and other Policy matters**

#### **Legal Issues**

- 3.1 There are no legal issues as a result of this report.

#### **Financial Issues**

- 3.2 The shortfall against the Access Selby General Fund savings target has reduced the forecasted year-end trading position, however due to in year and one off savings as well as salary savings from frozen and vacant posts, Access Selby is still forecasting a surplus for the year within the General Fund.
- 3.3 The delays within the Capital programme are likely to result in the need for budgets to be carried forward into future years to progress the projects. This will have an impact on the profile of some savings resulting from these projects and this has been reflected in the latest savings plan.

#### **Impact Assessment**

- 3.4 There is no impact to service users in relation to the delay of General Fund capital program projects. The delays will not impact current service provision, the aim is to improve the service going forward.

### **4. Conclusion**

- 4.1 Overall the financial results show good performance to date and a positive forecasted year end position despite the shortfall against Access Selby General Fund savings target. Delays within the capital programme are largely for strategic reasons and areas that officers can control are progressing well.

#### **Contact Officer:**

Jodie Taylor  
Lead Officer - Finance  
Selby District Council  
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#### **Appendices:**

- Appendix A – General Fund and Housing Revenue Account Revenue budget exceptions  
Appendix B – General Fund and Housing Revenue Account Capital Programme  
Appendix C – General Fund and Housing Revenue Account Savings

## BUDGET EXCEPTIONS REPORT

April 2014 - November 2014

## Core

## General Fund Income

Budget Description	Annual Budget £000's	Forecast Variance £000's	One-Off/ On-going	Comments
Investment Income	(250)	78	On-going	With interest rates remaining low, a shortfall in investment income is expected during 14/15.
Contract Adjustments	(74)	(44)	One-Off	Savings from Leisure Contract up to opening of new centre.
<b>Total Variance - General Fund Income</b>		<b>34</b>		

## Core

## General Fund Expenditure

Budget Description	Annual Budget £000's	Forecast Variance £000's	One-Off/ On-going	Comments
Employees	1,336	(56)	On-going	Savings have been generated in Democratic Services (£43k) and SMT & Core Support (£10k) through vacancies & frozen posts. A small saving has been generated on pension backfunding payments by paying in one lump sum for the year (£3k).
Premises	11	(8)	On-going	NNDR savings from the old Civic Centre site and Elections use of the Vivars.
Supplies & Services	466	(51)	On-going	Forecast saving resulting from budgeted contribution to Access Selby for Homeless Strategy works. It is anticipated that this budget won't be required in 14/15.
Savings	83	(83)	One-Off	Savings from discretionary rate relief and Civic centre NNDR
Drainage Board Levy	1,563	(19)	On-going	Lower than anticipated increase in IDB charges.
<b>Total Variance - General Fund Expenditure</b>		<b>(217)</b>		
<b>Total Variance - Operating (Surplus)/deficit</b>		<b>(183)</b>		

Access Selby  
General Fund Income

Budget Description	Annual Budget £000's	Forecast Variance £000's	One-Off/ On-going	Comments
Government Grants	(18,013)	(76)	On-going	Extra grant relating to Discretionary Housing payments £78k - please refer to 'Benefit payments' below.
Customer & Client Receipts	(3,495)	(205)	On-going	Income expected to exceed budget for Streetscene Efficiency savings £18k, sale of Wheelie Bins £12k, Commercial Waste income £10k, Recycling income £42k (this saving is offset by an overspend on Contractors (£50k) which will result in a net cost of £8k), Officer secondment income within Business Transformation £17k, Housing Options officer contribution £5k and Planning Fee income due to large applications £110k offset by car park fines (£7k) due to the new enforcement arrangements and Industrial Units due to occupancy (£23k).
<b>Total Variance - General Fund Income</b>		<b>(281)</b>		

Access Selby  
General Fund Expenditure

Budget Description	Annual Budget £000's	Forecast Variance £000's	One-Off/ On-going	Comments
Employees	5,729	(89)	On-going	Saving relates to vacant and frozen posts across Access Selby.
Premises	671	9	On-going	Budget shortfalls relating to 43 Kirkgate repairs, Civic Centre and Contact Centre running costs, offset by savings on CCTV repairs and maintenance and Car Park NNDR.
Supplies & Services	6,813	38	On-going	Savings on Night Stop £5k, Industrial Unit Partner fees £33k, Land Charge Building Control fees £5k and Trade Waste £15k, offset by Recycling Contractors (£50k), Land Charge Search Fees (£5k), Council Tax postage costs (£5k), Licensing legal costs (£24k), advertising costs in Development Management (£11k) and NY regional strategy payments (£6k).
Benefit Payments	17,186	78	On-going	Increased demand for Discretionary Housing payments support under welfare reform. The majority of this is funded by extra grant.
Savings	(159)	135	One-Off	Shortfall against savings target.
<b>Total Variance - General Fund Expenditure</b>		<b>171</b>		
<b>Total Variance - Operating (Surplus)/deficit</b>		<b>(110)</b>		



**Core  
Housing Revenue Account Income**

<b>Budget Description</b>	<b>Annual Budget £000's</b>	<b>Forecast Variance £000's</b>	<b>One-Off/ On-going</b>	<b>Comments</b>
Housing Rents	(12,283)	(57)	On-going	Current forecasts suggest rents will exceed the budgeted estimate. To date 20 properties have been sold and if this trend continues it will impact on rent levels.
Investment Income	(42)	14	On-going	Estimated shortfall in investment income due to low return on investments.
<b>Total Variance - Core HRA Income</b>		<b>(43)</b>		

**Access Selby  
Housing Revenue Account Income**

<b>Budget Description</b>	<b>Annual Budget £000's</b>	<b>Forecast Variance £000's</b>	<b>One-Off/ On-going</b>	<b>Comments</b>
Customer & Client Receipts	(133)	(39)	On-going	Hostel occupancy levels are better than expected £9k, although effective prevention work will impact on income, charges to former tenants for repairs are expected to generate an additional £6k and admin fees from the sale of council houses are currently estimated to be £26k.
Recharges	(18)	(28)	On-going	Work normally done by subcontractors is being completed by in-house staff, the costs of which can then be recharged to the capital programme.
<b>Total Variance - HRA Income</b>		<b>(67)</b>		

**Access Selby  
Housing Revenue Account Expenditure**

<b>Budget Description</b>	<b>Annual Budget £000's</b>	<b>Forecast Variance £000's</b>	<b>One-Off/ On-going</b>	<b>Comments</b>
Premises	813	(34)	One-Off	Saving currently anticipated on footpath maintenance as this is responsive work and potential savings on solid fuel servicing, Communal & Pumping Station Electricity and Community Centre repairs and utilities offset by asbestos surveys required to comply with current regulations.
<b>Total Variance - HRA Expenditure</b>		<b>(34)</b>		
<b>Total Variance - Operating (Surplus)/deficit</b>		<b>(101)</b>		

## 2014/15 Selby District Council Capital Programme - To 31 December 2014

General Fund	Annual Budget	Year to date Budget	Year to date Actual	Year to date Variance	Forecast	Forecast Variance	Comments
Industrial Units - Road Adoption	24,380	0	595	595	24,380	0	Minor legal costs still outstanding, but works are complete and awaiting a response from Highways regarding finalising adoption.
Tadcaster Central Area Redevelopment	112,200	69,000	67,969	-1,031	73,000	-39,200	Complete.
Tadcaster Bus Station Refurbishment	25,000	0	0	0	25,000	0	£25k savings from Central Area works approved to be utilised for Tadcaster Bus Station refurbishment.
Mast Relocation Project	142,330	2,000	3,269	1,269	142,330	0	Statutory Legal Notice served on NY Police. Discussions underway on potential to transfer the mast to SDC to allow the Council greater control over process and timetable for relocation. Whole business case now under review. Further progress on relocation unlikely pending outcome of discussions and review.
Portholme Road Culvert	150,000	0	0	0	150,000	0	Tender documents have now been issued to be returned January with work to commence April 15 to be completed July 15.
Lifeline Equipment	180,000	180,000	141,160	-38,840	141,160	-38,840	Complete
Transactional Website	85,000	0	0	0	85,000	0	The first phase our new website and is expected to go live during January 15. The remainder links in to the CRM project due to be complete by October 15
Northgate Revs & Bens	10,000	6,000	5,155	-845	10,000	0	Application patched upgrades for Legislation changes etc. £4k committed for Empty Homes premium changes. Anticipate this will be completed by March 15.
ICT Infrastructure Replacement	35,000	13,000	8,140	-4,860	35,000	0	IT Replacement costs for virtual server, virtual software and storage. Expecting charges from Craven DC for implementation of Trustwave SIEM for PSN and LAN cabling.
ICT Application Delivery	5,800	5,800	6,534	734	6,534	734	Complete
DIP Upgrade	31,900	6,000	4,547	-1,453	31,900	0	Two projects are to progress which link in to the CRM (linking address databases) to commence in new year and retention work now completed. A saving of £8k has been generated to fund a Legal System.
IDOX Upgrade	10,000	0	0	0	10,000	0	Work required for Uniform compatibility and upgrades, £5k committed for public access for licensing data on the web-site, the remaining £5K payable on completion in new year.
Environmental Health System	58,000	42,000	37,377	-4,623	58,000	0	Expected to go live by 1 April 2015 with an archive version of M3 to run concurrently while data is mapped across.
CRM	55,385	0	0	0	55,385	0	Project development underway. £137,000 Transformation Fund grant received for combined CRM/Web Project. Implementation due in October 2015.
Mobile Working Solution	136,000	0	0	0	136,000	0	Delivery options are being explored and reviewed so the project better aligns with other ICT projects such as the delivery of a new CRM, housing system and environmental health system.
Genero Housing System	75,000	0	0	0	75,000	0	Tenders now received and site visits for 2 preferred systems have just taken place. Work due to commence on this project early 2015 and will to be carried on into 2015/16.
ICT - Desktop Replacement Programme	17,500	16,000	12,011	-3,989	17,500	0	This is for a continuous cycle of updating desktop equipment. There is a requirement to purchase an additional 6 to 10 laptops for staff and stock.
Asset Management Plan - Leisure & Parks	104,140	10,000	7,692	-2,308	104,140	0	An additional £25k has been approved by Council to progress the work on Tadcaster Leisure Centre roof. The contract has been awarded but may not be completed this financial year. Crazy Golf work at the Park is complete.
CCTV - Fibre Hub	14,000	4,500	4,541	41	4,541	-9,459	Project now completed.
Abbey Leisure Centre -All Weather Pitch	297,000	240,000	232,174	-7,826	297,000	0	In conjunction with the Abbey Leisure Centre rebuild. Increase in budget approved at Executive 3 July, work is progressing on site.
P4G Abbey Leisure Centre Rebuild	6,322,180	3,500,000	3,351,413	-148,587	6,322,180	0	Project on course. Completion expected February 2015. Scope of project has been expanded to include landscaping and car parking provision for potential Selby Leisure Village. Reports due to Executive on how best to fund the impact of the increased scope of works.
P4G Selby Leisure Village	72,500	20,000	18,566	-1,434	72,500	0	Final Tender Submission due in January 2015. Final decision to be made in February 2015 on whether to proceed.
Private Sector - Home Improvement Loans	30,000	22,500	-16,205	-38,705	30,000	0	To date, 1 has been approved and 6 repayments have been received from previous loans which are recycled in to the scheme. To date more money has been received back than paid out.
Disabled Facilities Grants	367,750	200,000	63,462	-136,538	367,750	0	To date a further 7 grants that were approved last year have been paid (£33k), 8 have been approved & paid from this years budget (30k), a further 16 have been approved totalling £143k. Not experiencing a reduction in claims therefore anticipate that budget will be spent.
	<b>8,361,065</b>	<b>4,336,800</b>	<b>3,948,400</b>	<b>-388,400</b>	<b>8,274,300</b>	<b>-86,765</b>	

**2014/15 Selby District Council Capital Programme - To 31 December 2014**

Appendix B

Housing Revenue Account	Annual Budget	Year to date Budget	Year to date Actual	Year to date Variance	Forecast	Forecast Variance	
Kitchen Replacements	250,820	50,000	44,667	-5,333	250,820	0	Kitchens completed in Airey properties, the remaining scheme is to commence January be completed by April.
Electrical Rewires	264,420	202,750	168,430	-34,320	214,000	-50,420	A large proportion of this has been used for the Airey programme. Savings through under delivery due to amount of disturbance required so full rewires actioned when the property is void or there is a failure, other work continues on a prioritised basis.
Airey Property Works	1,208,230	1,208,230	1,152,188	-56,042	1,165,000	-43,230	Work is has now been completed on this scheme, now awaiting final invoices.
Central Heating System Replacements	1,147,480	860,610	871,339	10,729	1,147,480	0	Programme of replacements continues. £133k work on order with a view to installation before the next round of servicing, including fuel switches (see below). Plan to complete 500 replacements (230 Boiler replacements and 270 E7 & Fuel Switches) during the year.
Solid Fuel System Replacements	80,000	25,000	20,849	-4,151	80,000	0	Linked to the Central Heating Replacement programme, encountering refusals due to disturbance and in some cases the receipt of free coal by some tenants. These will continue to be looked at in the rolling programme. Less failures than anticipated although these will still need to be replaced in the future. Only 4 replacements have taken place this year, effective servicing has reduced failures.
Roof Replacements	359,000	15,000	11,463	-3,537	359,000	0	Scheme in Tadcaster currently held up by leaseholder tenants (19 of the 70 properties planned). Unlikely that this will progress this financial year, is currently out to consultation and are awaiting reports from independent surveyors.
Damp Works	300,000	150,000	136,492	-13,508	250,000	-50,000	Work continues to cover more responsive work including some prevention measures (improving ventilation).
External Cyclical Repairs (Painting & Windows)	113,000	22,600	2,714	-19,886	113,000	0	Work continues and this phase will be completed this financial year, awaiting invoices from contractor.
External Door Replacements	62,900	60,000	58,866	-1,134	62,900	0	To run alongside the painting programme.
Void Property Repairs	53,500	40,125	45,863	5,738	53,500	0	This work is responsive to the level of void properties and is dependent on each individual scenario as to the level of work required. The level of void work is being managed both through capital and revenue budgets. Some garage clearance work is being managed through this budget.
	<b>3,839,350</b>	<b>2,634,315</b>	<b>2,512,872</b>	<b>-121,443</b>	<b>3,695,700</b>	<b>-143,650</b>	
<b>Total Capital Programme</b>	<b>12,200,415</b>	<b>6,971,115</b>	<b>6,461,271</b>	<b>-509,844</b>	<b>11,970,000</b>	<b>-230,415</b>	

Key:

Green: Savings likely to be achieved/low risk

Amber: Tentative savings - further work required/medium risk

Red: Requires a change in Council policy or significant change in service delivery/high risk

**Core Savings Plan**

Proposed Savings	Status	2014/15	2015/16	2016/17	2017/18	Progress
		£	£	£	£	
<b>Procurement Workstream</b>						
Election Software	Green	4,988	5,087	5,189	5,293	Completed
Audit Partnership	Green	15,918	16,236	16,561	16,892	Completed
Banking tender	Green	0	8,400	8,400	8,400	Go live happened successfully in August, on target
<b>Total Procurement</b>		<b>20,906</b>	<b>29,723</b>	<b>30,150</b>	<b>30,585</b>	
<b>Transformation Workstream</b>						
WWT - Transformation (Core)	Green	53,060	54,122	55,204	56,308	Completed
Joint CE with NYCC appointed and 1 further FTE reduction	Green	82,000	82,820	83,648	84,484	Completed
<b>Total Transformation</b>		<b>135,060</b>	<b>136,942</b>	<b>138,852</b>	<b>140,792</b>	
<b>Value for Money Workstream</b>						
Internal Drainage Boards	Green	151,898	154,936	158,035	161,196	Completed
Community Safety	Green	16,236	16,561	16,892	17,230	Completed
Ward Boundary Review	Amber	-	41,430	41,430	41,430	Based on current scheme, to be implemented following the general election in 2015
<b>Total Value for Money</b>		<b>168,134</b>	<b>212,927</b>	<b>216,357</b>	<b>219,856</b>	
<b>Base Budget Review Workstream</b>						
External Audit Fee	Green	53,370	53,370	53,370	53,370	Completed
Early Retirements - Strain on Pension Fund	Green	98,512	100,482	102,491	104,541	Completed
Corporate and Democratic Core	Green	7,140	7,283	7,428	7,577	Completed
Pay award from 2.5% est to 1% revised	Green	33,150	48,118	48,118	48,118	Completed
Internal Audit	Green	13,790	14,066	14,348	14,635	Completed
Car Allowances	Green	2,850	2,850	2,850	2,850	Completed
Civic Centre NNDR	Green	65,996	65,996	65,996	65,996	Completed
NNDR Base Budget Review - Various small sites	Green	0	14,390	14,390	14,390	Completed
<b>Total Base Budget Review</b>		<b>274,808</b>	<b>306,555</b>	<b>308,991</b>	<b>311,477</b>	
<b>Discretionary Service Review Workstream</b>						
External Grants	Green	12,000	12,000	12,000	12,000	Completed
<b>Total Discretionary Service Review</b>		<b>12,000</b>	<b>12,000</b>	<b>12,000</b>	<b>12,000</b>	
<b>Income Generation Workstream</b>						
Use of assets for advertising space	Amber	-	25,000	25,000	25,000	Negotiations ongoing with NYCC about income split in 15/16
Single Payment Discount Review	Green	10,000	-	-	-	Completed
Empty/Second homes council tax charges review	Amber	-	-	-	-	
<b>Total Income Generation</b>		<b>10,000</b>	<b>25,000</b>	<b>25,000</b>	<b>25,000</b>	
<b>Total General Fund Savings</b>		<b>620,908</b>	<b>723,147</b>	<b>731,350</b>	<b>739,710</b>	
<b>Savings Target</b>		<b>481,374</b>	<b>941,456</b>	<b>957,756</b>	<b>957,757</b>	
<b>Headroom/Deficit (+/-)</b>	**	<b>139,534 -</b>	<b>218,309 -</b>	<b>226,406 -</b>	<b>218,047</b>	
<b>Green Savings</b>		620,908	656,717	664,920	673,280	
<b>Amber Savings</b>		-	66,430	66,430	66,430	
<b>Red Savings**</b>		-	-	-	-	
<b>Total</b>		<b>620,908</b>	<b>723,147</b>	<b>731,350</b>	<b>739,710</b>	

### Access Selby - General Fund Savings

Proposed Savings	Status	2014/15	2015/16	2016/17	2017/18	Members' Update
		£	£	£	£	
<b>IT &amp; Transformation Workstream</b>						
CRM Replacement	Red	-	36,060	66,252	66,252	Project underway, savings profiled to start in 2015/16
Mobile Working	Red	-	-	125,038	142,814	This project has been pushed back, savings expected to start in 2016/17
Spend to Save initiatives	Red	12,000	40,800	41,616	42,448	14/15 savings have come from the enhanced planning advice service, which should also achieve £15,300, £15,606 and £15,918 in future years. For the balance of the target opportunities are being investigated for 15/16
Fuel Site	Red	-	1,650	1,650	1,650	Discussions still on-going with NYCC
Review of planning advice and consultants	Amber	-	3,750	3,750	3,750	Expected that savings will be made from 2015/16 onwards
Joint Business Support Manager Post	Green	18,289	14,530	14,675	-	On track to achieve savings
Court Cost / Summons Income - Council Tax recovery proceedings	Green	71,160	30,000	30,000	30,000	On track to achieve savings
Formal amalgamation of District newspaper and County Council publications	Red	-	3,000	3,000	3,000	Options beyond March 15 still being explored.
Opening of Civic Centre	Amber	-	3,886	3,886	3,886	Details of arrangement to be finalised, but savings likely from April '15
<b>Total Transformation</b>		<b>101,449</b>	<b>133,676</b>	<b>289,867</b>	<b>293,800</b>	
<b>Commissioning Workstream</b>						
Printers	Green	9,406	18,811	18,811	18,811	Completed
Lifeline pendants	Green	-	-	67,576	69,000	Projected savings on track to be delivered
Postage and Mail	Amber	-	5,000	5,000	5,000	Expected to start seeing savings in 15/16 once CCS postal framework is released in the new year.
Stationery	Green	500	500	500	500	On track to achieve savings
Supplier Engagement	Red	13,511	20,000	20,000	20,000	Contracts and Procurement teams in ongoing discussions with suppliers
Reduce Tail end spend	Amber	-	14,500	14,500	14,500	Savings opportunity identified for future years
IT Service Contracts	Amber	-	7,500	7,500	7,500	Savings opportunity identified for future years
External Audit - Grants Audit Fee	Green	-	8,130	8,130	8,130	On track to achieve savings
Home Improvement Agency contract	Green	5,000	5,000	5,000	5,000	On track to achieve savings
Lexis Nexis Legal Library	Green	5,000	10,000	10,000	10,000	On track to achieve savings
Community Support Vehicle lease	Green	-	3,940	3,940	3,940	On track to achieve savings
<b>Total Commissioning</b>		<b>33,417</b>	<b>93,381</b>	<b>160,957</b>	<b>162,381</b>	

Proposed Savings	Status	2014/15	2015/16	2016/17	2017/18	Members' Update
		£	£	£	£	
<b>Income Generation Workstream</b>						
Negotiation for share of out performance on Council Tax collection	Amber	3,961	3,961	3,961	3,961	On track to achieve savings
Maximise current income streams	Amber	24,000	57,000	59,040	61,120	£76k has been identified under this heading for 14/15, with £45k on-going. Further work to be carried out to achieve future savings.
Recycling Credits	Green	10,000	0	0	0	On track to achieve savings
Street Naming & Numbering	Amber	-	18,000	18,000	18,000	On track to achieve savings
Programme for Growth	Green	6,150	0	0	0	On track to achieve savings
Bulky Waste	Green	2,700	1,500	1,500	2,000	On track to achieve savings
Commercial Waste	Green	16,000	20,000	20,000	20,000	On track to achieve savings
Air Quality sampling	Green	1,217	1,217	1,217	1,217	On track to achieve savings
Export health certificates	Green	2,000	2,000	2,000	2,000	On track to achieve savings
Caravan inspection fee	Green	-	2,000	2,000	2,000	On track to achieve savings
Water Sampling	Green	-	0	0	0	Will continue to monitor for remainder of 14/15
Policy changes to introduce new income streams	Red	-	50,000	102,000	104,040	Further work needs to be carried out to meet targets for future years
Registrar Service	Amber	-	14,680	14,680	14,680	Savings expected from 15/16 onwards, licence to be formally agreed
Car Park Income	Amber	20,000	20,000	20,500	20,500	Currently on track to achieve saving.
Community Support Lifeline Income	Amber	21,000	20,000	20,000	20,000	On track to achieve savings in 14/15, but will need to be monitored in 15/16 onwards
Legal Income	Green	13,750	8,750	8,750	8,750	On track to achieve savings from increase in fee-generating work.
Land Charges Income - Search fees	Amber	21,000	21,000	21,000	21,000	On track to achieve savings in 14/15, but will need to be monitored in 15/16 onwards
<b>Total Income Generation</b>		<b>141,778</b>	<b>240,108</b>	<b>294,648</b>	<b>299,268</b>	
<b>Other</b>						
Agency Staff	Amber	-	2,500	2,500	2,500	Savings opportunity identified for future years
NY regional strategy officer	Green	-	2,520	2,520	2,520	On track to achieve savings
Community Support Office telephone savings	Green	-	9,600	9,600	9,600	On track to achieve savings
Contracts - General Office Expenses	Green	-	360	360	360	On track to achieve savings
Contracts - Officer subsistence general saving	Green	-	200	200	200	On track to achieve savings
Commercial Waste	Green	-	1,160	1,160	1,160	On track to achieve savings
Environmental Health & Housing telephone savings	Green	-	430	430	430	On track to achieve savings
<b>Total Other</b>		<b>-</b>	<b>16,770</b>	<b>16,770</b>	<b>16,770</b>	
<b>Total General Fund Savings in Progress</b>		<b>276,644</b>	<b>483,935</b>	<b>762,242</b>	<b>772,219</b>	
<b>Completed (GREEN) General Fund Savings</b>		<b>3,000,156</b>	<b>3,124,855</b>	<b>3,182,394</b>	<b>3,222,781</b>	
<b>Total General Fund Savings</b>		<b>3,276,799</b>	<b>3,608,790</b>	<b>3,944,636</b>	<b>3,995,000</b>	
<b>Savings Target</b>		<b>3,411,816</b>	<b>3,582,719</b>	<b>3,619,388</b>	<b>3,727,970</b>	
<b>Headroom/Deficit (+/-)</b>	** -	<b>135,017</b>	<b>26,071</b>	<b>325,248</b>	<b>267,030</b>	
<b>Green Savings</b>		3,161,327	3,265,503	3,390,763	3,418,399	
<b>Amber Savings</b>		89,961	191,777	194,317	196,397	
<b>Red Savings**</b>		25,511	151,510	359,556	380,204	
<b>Total</b>		<b>3,276,799</b>	<b>3,608,790</b>	<b>3,944,636</b>	<b>3,995,000</b>	

## Key:

**HRA Savings Plan**

Green: Savings likely to be achieved/low risk

Amber: Tentative savings - further work required/medium risk

Red: Requires a change in Council policy or significant change in service delivery/high risk

Proposed Savings	Status	2014/15	2015/16	2016/17	2017/18	Progress
		£	£	£	£	
Review of Property Services unfilled posts	Green	50,000	50,000	50,000	50,000	Completed
Gas Servicing Contract	Green	20,000	20,000	20,000	20,000	Completed
Grassed Areas & Open Spaces base budget review	Green	29,000	29,000	29,000	29,000	Completed
Various Suppliers	Green	22,000	22,000	22,000	22,000	Completed
WTT - Savings	Green	129,591	129,591	129,591	129,591	Completed
2011/12 Pay Award	Green	27,000	27,000	27,000	27,000	Completed
Car Allowances	Green	5,600	5,600	5,600	5,600	Completed
Savings on Audit Fees and early Retirement Charges	Green	40,460	40,460	40,460	40,460	Completed
Ryecare Help-Line Telecom Saving	Green	700	700	700	700	Completed
Consolidation of IT Budgets	Green	23,685	23,685	23,685	23,685	Completed
Electrical Testing - R&M	Green	15,000	15,000	15,000	15,000	Completed
Vehicle Tracking System	Green	500	500	500	500	Completed
Direct Works - Phones	Green	2,000	2,000	2,000	2,000	Completed
Grants Audit Fees	Green	6,000	6,000	6,000	6,000	Completed
Clear Access Footways	Green	2,500	2,500	2,500	2,500	Completed
Footpaths	Green	10,000	10,000	10,000	10,000	Completed
Gutters & Fallpipes	Green	5,000	5,000	5,000	5,000	Completed
Tenants Participation - Housing Reports	Green	450	370	370	370	Completed
Energy Performance Certificates	Green	3,000	3,000	3,000	3,000	Completed
Review building material suppliers	Red	-	5,000	-	-	Potential savings of £5-12k were estimated by V4,
SDC Contract Hire Vehicles	Green	-	18,000	18,000	18,000	On target to achieve savings.
Asbestos Removal	Green	500	500	500	500	On target to achieve savings.
Solid Fuel Servicing	Green	-	12,470	12,470	12,470	Newly identified as part of the budget process, on track
Communal Lighting	Green	-	3,350	3,350	3,350	Newly identified as part of the budget process, on track
Pumping Stations	Green	-	3,210	3,210	3,210	Newly identified as part of the budget process, on track
Lift Maintenance	Green	-	1,300	1,300	1,300	Newly identified as part of the budget process, on track
Bank charges	Green	-	1,600	1,600	1,600	Newly identified as part of the budget process, on track
Debt collection costs	Green	-	1,300	1,300	1,300	Newly identified as part of the budget process, on track
Hostels	Green	-	5,230	5,230	5,230	Newly identified as part of the budget process, on track
HRA Investment Interest	Green	-	-	9,000	9,000	Newly identified as part of the budget process, on track.
<b>Total Housing Revenue Account Savings</b>		<b>392,986</b>	<b>444,366</b>	<b>448,366</b>	<b>448,366</b>	
<b>Savings Target</b>		360,000	360,000	360,000	360,000	
<b>Headroom/Deficit (+/-)</b>		<b>32,986</b>	<b>84,366</b>	<b>88,366</b>	<b>88,366</b>	
<b>Green Savings</b>		392,986	439,366	448,366	448,366	
<b>Amber Savings</b>		-	-	-	-	
<b>Red Savings**</b>		-	5,000	-	-	
<b>Total</b>		<b>392,986</b>	<b>444,366</b>	<b>448,366</b>	<b>448,366</b>	

# Selby District Council

## REPORT

Reference: E/14/69

Public – Item 9



**To:** The Executive  
**Date:** 5 February 2015  
**Status:** Key Decision  
**Report Published:** 28 January 2015  
**Author:** Jodie Taylor – Lead Officer Finance  
**Executive Member:** Councillor C Lunn – Lead Member for Finance & Resources  
**Lead Director:** Karen Iveson – Executive Director (s151)

**Title:** Treasury Management – Monitoring Report to 31 December 2014

### Summary:

This report reviews the Council's borrowing and investment activity (Treasury Management) for the 9 month period 1 April to 31 December 2014 and presents performance against the Prudential Indicators.

Investments – Money market investment rates have remained low throughout 2014, with interest rates continuing at historically low levels and a rise in bank rate not expected until December 2015 at the earliest. As a result, an outturn of £200k is forecasted, which is £90k below budget.

Borrowing – the Council has long term borrowing of £60.3m at 31 December 2014. Interest payments of £2.5m are forecast for 2014/15.

Prudential Indicators – the Council's affordable limits for borrowing were not breached during this period.

### Recommendations:

- i. **Councillors endorse the actions of officers on the Council's treasury activities for the period ending 31 December 2014 and approve the report**



## **Reasons for recommendation**

To comply with the Treasury Management Code of Practice, the Executive is required to receive and review regular treasury management monitoring reports.

### **1. Introduction and background**

- 1.1 This is the third monitoring report for treasury management in 2014/15 and covers the period 1 April to 31 December 2014. During this period the Council complied with its legislative and regulatory requirements.
- 1.2 Treasury management in Local Government is governed by the CIPFA “Code of Practice on Treasury Management in the Public Services” and in this context is the management of the Council’s cash flows, its banking and its capital market transactions, the effective control of the risks associated with those activities and the pursuit of optimum performance consistent with those risks. This Council has adopted the Code and complies with its requirements.
- 1.3 The Council’s Treasury Strategy, including the Annual Investment Strategy and Prudential Indicators was approved by Council on 25 February 2014.
- 1.4 The two key budgets related to the Council’s treasury management activities are the amount of interest earned on investments £290k (£250k General Fund, £40k HRA) and the amount of interest paid on borrowing £2,525k (£112k General Fund, £2,413k HRA).

### **2. The Report**

#### **Interest Rates and Market Conditions**

- 2.1 The Bank of England is continuing to maintain interest rates at 0.5% The Councils Treasury Management advisors are currently forecasting a rise in bank rate by December 2015 based on their interest rate forecast update from January 2015. Bank rate is projected to increase slowly and gradually thereafter, reaching 2.00% by March 2018.
- 2.2 Consumer Price Inflation (CPI) started the financial year in April at 1.8% and fell to a fourteen year low at 0.5% in December 2014. The Retail Price Index (RPI) also continued to fall to 1.5% in December from 2.5% in April 2014.
- 2.3 Table 1 shows recent average interest rates available up to a duration of 12 months and reflects the lack of movement in rates since the start of

the year. As bank rate remains low and with no expectation for any increases until June 2015 at the earliest, investment rates are not expected to improve in the final quarter of 2014/15.

Table 1: Average Interest Rates 1 April 2014 to 31 December 2014

	<b>April 2014</b>	<b>June 2014</b>	<b>Sept 2014</b>	<b>Dec 2014</b>
<b>Base Rate (Bank Rate)</b>	0.50	0.50	0.50	0.50
<b>Over Night</b>	0.40	0.40	0.40	0.40
<b>7 Days</b>	0.40	0.40	0.40	0.40
<b>1 month</b>	0.40	0.40	0.40	0.45
<b>3 Months</b>	0.50	0.50	0.50	0.50
<b>6 Months</b>	0.60	0.65	0.65	0.65
<b>1 Year</b>	0.85	0.95	0.90	0.90

- 2.4 The Council's Treasury Advisors, Capita provided a forecast for interest rates for both investments and PWLB borrowing as part of the Treasury Management Strategy. This forecast is regularly monitored and updated. Table 2 shows the forecast included in the Treasury Strategy and Table 3 shows the latest forecast.

Table 2: Forecast for Interest Rates Included in Treasury Strategy

	<b>2014</b>	<b>2015</b>				<b>2016</b>		
	<b>Q4</b>	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>
	<b>%</b>	<b>%</b>	<b>%</b>	<b>%</b>	<b>%</b>	<b>%</b>	<b>%</b>	<b>%</b>
<b>Bank Rate</b>	0.50	0.50	0.50	0.50	0.50	0.50	0.50	0.75
<b>5 Yr PWLB</b>	2.70	2.80	2.80	2.90	3.00	3.20	3.30	3.50
<b>25 Yr PWLB</b>	4.60	4.60	4.70	4.80	4.90	5.00	5.10	5.10
<b>50 yr PWLB</b>	4.60	4.70	4.80	4.90	5.00	5.10	5.20	5.20

- 2.5 As can be seen from Tables 2 and 3 because the bank rate has remained at 0.5% this has had an impact on the forecast for rates both in this financial year and next financial year. However, bank rate is expected to rise slowly and gradually from 2015 onwards.
- 2.6 The forecasts are based on moderate economic recovery and Monetary Policy Committee (MPC) views about inflation looking two years ahead. There is a high level of uncertainty in all forecasts due to the factors involved and their sensitivity to each other. The MPC continue to vote for no change to the levels of quantitative easing in recent meetings and any change in approach is unlikely in the short term.

Table 3: Forecast for Interest Rates January 2015

	2014	2015				2016		
	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
	%	%	%	%	%	%	%	%
<b>Bank Rate</b>	0.50	0.5	0.5	0.75	0.75	1.00	1.00	1.25
<b>5 Yr PWLB</b>	2.20	2.20	2.30	2.50	2.60	2.80	2.90	3.00
<b>25 Yr PWLB</b>	3.40	3.50	3.70	3.80	4.00	4.20	4.30	4.40
<b>50 yr PWLB</b>	3.40	3.50	3.70	3.80	4.00	4.20	4.30	4.40

### **Annual Investment Strategy**

2.7 The Annual Investment Strategy outlines the Council's investment priorities which are :

- ⊕ Security of Capital and
- ⊕ Liquidity of its investments

These priorities are consistent with those recommended by DCLG and CIPFA.

2.8 The Council aims to achieve optimum return on investments commensurate with these priorities. In the current economic climate officers are striving to achieve a balance of investments that will give at least an average of the budgeted level of return of 1.25% whilst minimising the on-going risks within the banking sector.

2.9 The Council continues to invest in only highly credit rated institutions using the Capita suggested creditworthiness matrices which take information from all the credit ratings agencies. Officers can confirm that the Council has not breached its approved investment limits during the first six months of the year for fixed term deposits (maximum £20m). Appendix A shows an analysis of Investments at 1 April, 30 June, 30 September 2014 and 31 December 2014.

2.10 Interest rates have remained low throughout 2014, which has resulted in returns lower than budgeted for the Council. Deposits have been placed with government backed banks, strong European banks and other local authorities. The current forecast is that the Council will achieve interest income of £200k (£172k allocated to the General Fund; £28k to the Housing Revenue Account), a shortfall of £90k against the budget.

2.11 The average level of funds available for investment during the nine months to December was £30.0m, of which £12.1m was invested in fixed term deposits at an average of 1.07% and £17.9m was held in Money Market Funds and instant access deposit accounts at a rate of 0.43%. These funds were available on a temporary basis, and the level of funds available was mainly dependent on the timing of precept payments, receipt of grants and progress on the capital programme

which has increased cash available to invest in the short term. The Council holds approximately £14.0m of core cash balances made up of earmarked reserves and capital receipts set aside to repay debt for investment purposes (i.e. funds available for more than one year).

- 2.12 The Council has a benchmark of its budget target of 1.25% to reflect performance of investments. The overall average rate to December of 0.69% is below benchmark. The forecast is kept under constant review. However, the Council's cash balances remain high which will support the interest earned budget as investment income rates remain low.
- 2.13 The impact of lower than forecast interest rates means the interest earned is less. Investment rates have remained relatively low in early 2014/15 with rates currently on offer averaging between 0.2% up to 0.95% depending on the duration and the institution.
- 2.14 The investments of the Council from Q4 onwards will be managed as part of the overall investment pool operated by North Yorkshire County Council (NYCC). The Council's cash balances commenced sweeping to NYCC in December 2014. As a result, all balances previously held within call accounts and Money Market Funds have now been passed to NYCC. All remaining Fixed Term Deposits (which are set out in **Appendix A**) will pass to NYCC upon maturity.

### **Borrowing**

- 2.15 It is a statutory duty for the Council to determine and keep under review its "Affordable Borrowing Limits". The Council's approved Prudential Indicators (affordable limits) were outlined in the Treasury Management Strategy Statement (TMSS). A list of the limits is shown at Appendix B. Officers can confirm that the Prudential Indicators were not breached during the first three months of the year.
- 2.16 The TMSS indicated that there was a requirement to take £600k long term borrowing during 2014/15 to support the budgeted capital programme. The latest capital programme funding forecast 2014/15 to 2016/17 includes a borrowing requirement of £300k for the General Fund and £300k for the Housing Revenue Account to support the Housing Development. However, both the Programme for Growth and Abbey Leisure Centre capital projects have been identified as schemes which may potentially require funding from borrowing. Any borrowing requirement will be confirmed as the project plans are finalised.
- 2.17 The Council approved an Authorised Borrowing Limit of £83.0m (£81m debt and £2m Leases) and an Operational Borrowing Limit of £79.0m (£77m debt and £2m Leases) for 2014/15. The highest total gross amount of debt in the year to 31 December has not been more than £60.3m on any occasion.
- 2.18 The Council overall was in an over borrowed position of £1.4m at 31

March 2014. This means that capital borrowing is currently in excess of the of the Council's underlying need to borrow. This position has resulted from the set-aside of sums to repay debt in the future.

### **3. Legal/Financial Controls and other Policy matters**

#### **3.1 Legal Issues**

There are no legal issues as a result of this report.

#### **3.2 Financial Issues**

There are no financial implications as a result of this report. However, the Executive Director (s151) and Lead Officer - Finance will, with advice from the Council's advisor (Sector Treasury Services) look to maximise opportunities with the Council's investment and borrowing position.

### **4. Conclusion**

- 4.1 The impact of the economy, and the turmoil in the financial markets, continues to have an impact on the Council's investment returns and will continue to do so for some while.

### **5. Background Documents**

Accountancy treasury management files

#### **Contact Details**

Jodie Taylor  
Lead Officer - Finance  
Selby District Council

#### **Appendices:**

Appendix A – Analysis of Deposits at 1 April 2014, 30 June, 30 September 2014 and 31 December 2014

Appendix B – Prudential Indicators as at 31 December 2014

Analysis of Deposits At 1 April 2014, 30 June 2014, 30 September 2014 & 12 December 2014

APPENDIX A

Institution	At 1 April 2014			At 30 June 2014			At 30 September 2014			At 12 December 2014		
	Amount £'000	Maturity	Rate %	Amount £'000	Maturity	Rate %	Amount £'000	Maturity	Rate %	Amount £'000	Maturity	Rate %
Lloyds	3,000	16-Oct-14	0.98	3,000	16-Oct-14	0.98	3,000	16-Oct-14	0.98	3,000	16-Oct-15	1.00
Lloyds	2,000	04-Aug-14	3.20	2,000	04-Aug-14	3.20	2,000	04-Aug-15	0.95	2,000	04-Aug-15	0.95
Newcastle City Council	3,000	07-May-15	1.00	3,000	07-May-15	1.00	3,000	07-May-15	1.00	3,000	07-May-15	1.00
Newcastle City Council	1,000	28-Sep-15	1.00	1,000	28-Sep-15	1.00	1,000	28-Sep-15	1.00	1,000	28-Sep-15	1.00
Nat West	1,000	14-Nov-14	0.78	1,000	14-Nov-14	0.78	1,000	14-Nov-14	0.78			
Nat West	1,000	01-Oct-14	0.79	1,000	01-Oct-14	0.79	1,000	01-Oct-14	0.79			
Salford City Council	1,000	06-Jan-15	0.55	1,000	06-Jan-15	0.55	1,000	06-Jan-15	0.55	1,000	06-Jan-15	0.55
Santander							1,000	08-Jan-15	0.63	1,000	08-Jan-15	0.63
Handelsbanken	3,000	Call	0.55	3,000	Call	0.40	3,000	Call	0.40	3,000	Call	0.4
Nat West	2,000	30 Day	0.55	2,000	30 Day	0.55	2,000	30 Day	0.55	3,000	Call	0.55
Nat West	803	Call	0.50	595	Call	0.50	852	Call	0.50	1,070	Call	0.50
Barclays				1,000	Call	0.20	1,000	Call	0.20	351	Call	0.20
Money Market Fund - Federated										4,250	Call	0.41
Money Market Fund - Ignis	5,000	Call	0.38	5,000	Call	0.39	5,000	Call	0.39	5,000	Call	0.42
Money Market Fund - LGIM	4,250	Call	0.36	3,250	Call	0.38	5,000	Call	0.38	5,000	Call	0.45
Total Deposits	27,053			26,845			29,852			32,671		

**Prudential Indicators – As at 12 December 2014**

Note	Prudential Indicator	2014/15 Indicator	Quarter 3 Actual
1.	Mid Year Capital Financing Requirement £'000	59,986	58,633
	Gross Borrowing £'000	61,406	61,406
	Investments £'000	15,000	32,671
2.	Net Borrowing £'000	46,406	28,735
3.	Authorised Limit for External Debt £'000	83,000	83,000
4.	Operational Boundary for External Debt £'000	79,000	79,000
5.	Limit of fixed interest rates based on net debt %	100%	100%
5.	Limit of variable interest rates based on net debt %	30%	30%
6.	Principal sums invested for over 364 days		
	1 to 2 Years £'000	20,000	6,0000
	2 to 3 Years £'000	15,000	4,000
	3 to 4 Years £'000	5,000	0
	4 to 5 Years £'000	5,000	0
7.	Maturity Structure of external debt borrowing limits		
	Under 12 Months %	20%	0%
	1 Year to 2 Years %	20%	0%
	2 Years to 5 Years %	50%	1.66%
	5 Years to 10 Years %	50%	10.77%
	10 Years to 15 Years %	50%	0%
	15 Years and above %	90%	87.57%

**Notes to the Prudential Indicators**

1. Capital Financing Requirement – this is a measure of the Council's underlying need to borrow long term to fund its capital projects.

## APPENDIX B

2. Net Borrowing (Gross Borrowing less Investments) – this must not except in the short term exceed the capital financing requirement.
3. Authorised Limit for External Debt – this is the maximum amount of borrowing the Council believes it would need to undertake its functions during the year. It is set above the Operational Limit to accommodate unusual or exceptional cashflow movements.
4. Operational Boundary for External Debt – this is set at the Council’s most likely operation level. Any breaches of this would be reported to Councillor’s immediately.
5. Limit of fixed and variable interest rates on net debt – this is to manage interest rate fluctuations to ensure that the Council does not over expose itself to variable rate debt.
6. Principal Sums Invested for over 364 days – the purpose of these limits is so that the Council contains its exposure to the possibility of loss that might arise as a result of having to seek early repayment or redemption of investments.
7. Maturity Structure of Borrowing Limits – the purpose of this is to ensure that the Council is not required to repay all of its debt in one year. The debt in the 15 years and over category is spread over a range of maturities from 23 years to 50 years.



# Selby District Council

## REPORT

Reference: E/14/70

Public – Item 10



**To:** The Executive  
**Date:** 5 February 2015  
**Status:** Key Decision  
**Report Published:** 28 January 2015  
**Author:** Karen Iveson, Executive Director (s151)  
**Executive Member:** Councillor Cliff Lunn, Lead Member for Finance and Resources  
**Lead Director:** Karen Iveson, Executive Director (s151)

**Title:** Draft Revenue Budget and Capital Programme 2015/16 and Medium Term Financial Plan

**Summary:** This report presents the draft revenue budgets, capital programmes and Programme for Growth, for 2015/16 to 2017/18 following public consultation. Subject to confirmation of the provisional Formula Grant settlement and a Council Tax freeze, the 2015/16 budgets show a forecasted deficit of £33k (after planned savings) on the General Fund and a £1.3m surplus on the HRA, which is required to fund the capital programme. The report identifies a number of budget pressures and presents savings proposals for dealing with these pressures. The report also formalises the provision to introduce an 'Empty Homes Premium' in accordance with the Council's approved Empty Homes Strategy and recommends that a 150% Council Tax charge be applied to homes that have been empty for more than 2 years, with effect from 1 April 2015.

### Recommendations:

It is recommended that:

- i. the draft budgets, bids and savings be submitted to Council for approval;
- ii. Council Tax is frozen at £162.00 for 2015/16;
- iii. Council approve an empty homes premium equivalent to 50% of the Council Tax charge i.e. to charge 150% of the Council Tax liability on a property that has been empty and substantially unfurnished for more than 2 years, with effect from 1 April 2015.

**Reasons for recommendation:** To ensure the Executive's budget proposals are fully funded for 2015/16 and to put into effect the Empty Homes Premium as included within the approved Empty Homes Strategy.

## 1. Introduction and background

- 1.1 The Council approved its Medium Term Financial Strategy (MTFS) on 14 October 2014. The MTFS covers General Fund activities and provides the strategic financial framework for medium term financial planning and annual budget setting.
- 1.2 The Housing Revenue Account (HRA) and Housing Investment Programme (HIP) are covered by the Housing Business Plan (HBP). The HBP was approved by the Executive on 8 January 2015 and the financial implications have been included within the proposed HRA revenue budget and capital programme.
- 1.3 The General Fund MTFS assumes continuing cuts to Central Government formula funding as resources are top sliced to fund the New Homes Bonus scheme. It recognises continuing austerity, uncertainty surrounding the localisation of Non-Domestic Rates (NDR) and the need to deliver our savings plan as the key financial issues facing us over the next 3 years.
- 1.4 The budget has been prepared on a current policy basis and includes provision for inflation where considered necessary. The budget includes the pay award in 2015/16 and provision for a further 1% in 2016/17 and 2017/18. The General Fund revenue budget includes contingencies totalling £256k in the Core and £51k in Access Selby. The HRA includes a Core contingency of £75k.

## 2. The Report

- 2.1 The draft revenue budgets for the 3 years from 2015/16 to 2017/18 are presented at **Appendix A** and the proposed capital programmes and Programme for Growth are shown at **Appendix B**.

### General Fund Revenue Budget

- 2.2 Taking the 3 elements of the Council's service delivery model together and after appropriations to and from reserves, the estimated position for 2015/16 is as follows:

	<b>2015/16 Budget £000's</b>
Core	4,932
Access Selby	5,682
Communities Selby	193
<b>Total Net Budget</b>	<b>10,807</b>
Council Tax	(4,717)
RSG/NDR (subject to LG Finance Settlement)	(3,988)
Council Tax Freeze Grant	(49)
New Homes Bonus	(2,078)
Other Specific Grants	(22)
Collection Fund Surplus – Council Tax	(84)
Collection Fund Deficit – Business Rates	164
<b>Total Funding</b>	<b>(10,774)</b>
<b>Deficit transferred from balances</b>	<b>33</b>

- 2.3 The draft budget includes committed growth where necessary along with proposals for discretionary growth. **Appendix D** identifies the proposals for approval (both revenue and capital).
- 2.4 The estimated deficit of £33k for 2015/16 is subject to planned savings of £418k, which is an improved position on that forecasted in the MTFs, largely due to the increase in the Council Tax Base for 2015/16 and a Collection Fund surplus.

#### Local Government Finance Settlement

- 2.5 The Local Government Finance settlement was announced on 18 December and was open for consultation to 15 January 2015 – at the time of writing this report the final settlement is awaited.
- 2.6 A key feature of the settlement is the use of ‘Spending Power’ to determine the relative change from year to year. ‘Spending Power’ includes:
- Council Tax Requirement
  - Settlement Funding Assessment (RSG/NNDR)
  - New Homes Bonus
  - Specific Grants rolled in
- 2.7 ‘Spending Power’ forecasts show a figure of £10.934m for 2015/16 against £11.327m (adjusted) for 2014/15 – an overall reduction of 3.47% (the overall reduction nationally is 1.8%). It is important to note that ‘Spending Power’ is a notional figure which does not reconcile to actual funding.
- 2.8 The following shows the provisional settlement for Selby compared with our assumptions within the draft budget:

	<b>2015/16 £000's</b>	<b>Comments</b>
<b>Provisional Settlement</b>		
Settlement Funding Assessment	3,988	RSG/Business Rates
Budget assumption	3,984	Per Draft Budget
<b>Difference</b>	<b>4</b>	

- 2.9 The settlement equates to a 15.3% reduction compared to the equivalent figure for 2014/15 (i.e. £4.710m in 2014/15). Looking forward reductions of 10% are assumed for both 2016/17 and 2017/18. In addition £22k has also been provisionally awarded for specific grants (new burdens etc) for 2015/16. The GF summary has been updated to reflect the latest funding figures.

#### Business Rates

- 2.10 For 2015/16 the Government has specified that Business Rates paid by ratepayers will increase by 1.91% to 48p instead of 48.2p. For local authorities, this has the impact of reducing the amount of funding generated

through the Business Rates Retention scheme. In order to compensate us for this loss of revenue, Selby will receive £33k in addition to our general grant.

- 2.11 The proposed budget assumes Business Rates are in line with the Baseline set by Government:

	2015/16 £000's	Comments
Business Rates Collectable	42,323	
SDC Share	16,929	40% of rates collectable
Less Tariff	14,697	Fixed
<b>Baseline Funding Level</b>	<b>2,232</b>	<b>Rates retained</b>

- 2.12 Any gains above Baseline are shared with the Government 50:50 and the Council stands the first £168k of any losses. There remains risk within the Business Rates scheme (for example from outstanding appeals) but the Council's Business Rates Equalisation Reserve, which is planned to be sustained by Business Rates gains for the foreseeable future, provides resources to mitigate losses down to the safety net if required.

#### New Homes Bonus

- 2.13 Details of New Homes Bonus allocations were announced in December. For 2015/16 Selby has been provisionally awarded £2.078m - an additional amount of £353k for 2015/16. This is **£3k short of our estimate** of £2.081m but £189k less than the award for 2014/15, which demonstrates the volatility within the scheme. Again the GF summary has been updated to reflect the latest figure.
- 2.14 There is uncertainty over the scheme after 2015/16 and the Council's current strategy of using £880k p.a. to fund the Programme for Growth, with the rest being used to support the revenue budget, will be reviewed in light of any changes that may be announced in the Spending Review anticipated later this year.

#### Council Tax

- 2.15 The approved MFTS assumes a Council Tax increase of 2% for 2015/16. However, following the consultation period the Executive propose that Council take up the offer of Council Tax Freeze Grant for 2015/16. This is likely to require further savings in the longer term although the draft budget shows a level of headroom (subject to savings delivery). The proposed budget therefore includes a Council Tax increase of 0% and £49k in Council Tax Freeze Grant, which is equivalent to a 1% rise.
- 2.16 A 0% increase will see the Council average Band D charge stay at £162.00 for 2015/16. Thereafter a 2% rise is assumed in accordance with the approved MFTS.

- 2.17 The Council's approved Empty Homes Strategy provides for the introduction of an Empty Homes Premium in Council Tax and it is proposed to introduce this from April 1<sup>st</sup> 2015. This will allow the Council to charge 150% of the Council Tax liability on a property that has been empty and substantially unfurnished for more than 2 years, regardless of how long the current owner has been liable.
- 2.18 Public consultation on the proposed premium brought 4 responses, all from individuals who had just one property that was empty and who had mainly inherited the property. All respondents felt that cases should be considered on an individual basis to allow the waiving of the premium where it was considered that the liable party was not readily able to bring the property back into use or dispose of it. **Appendix G** presents a summary of the consultation responses.
- 2.19 The proposal to apply the premium to properties that have been empty for more than 2 years is considered to be a reasonable time frame and therefore it is recommended that the premium be applied as proposed.

### Savings

- 2.20 A number of savings have already been identified as part of the budget process and the current savings action plans are attached at **Appendices C(i) and C(ii)**.
- 2.21 However, taking the proposals for Council Tax, growth, and reserve transfers it is estimated that, subject to the Formula Grant settlement, a further circa £1m savings will be needed by 2017/18. A list of proposed new savings is presented at **Appendix C(iii)**.
- 2.22 The Council had made good progress against its savings target to date, but it is becoming increasingly difficult to achieve further savings from a reducing cost base. However, the focus on delivering planned savings must be maintained, given the importance of savings in achieving the Council's financial (and wider) objectives and to avoid the use of balances to support on-going spending which is unsustainable in the medium to longer term.
- 2.23 The Council's approach to savings covers three key strands:
- **Transforming** our business through the use of technology and flexible working to meet citizen and customer needs;
  - **Growing** our resources through charging for services and trading externally;
  - **Commissioning** from and with partners to achieve shared efficiencies and reduce the demand for public sector services.
- 2.24 In order to help implement this strategy the Council is working with North Yorkshire County Council on a long term plan to share service delivery for the benefit of our shared customers and taxpayers generally.
- 2.25 However, such projects can take significant time and effort to bring to fruition so we will continue to work towards other savings in accordance with our strategy to ensure the Council's finances stay on a firm footing – plans include savings in the running costs of the new leisure centre in Selby.

### Housing Revenue Account

- 2.26 The HRA budgets have been prepared using rent rises based on the Government's formula. From 2015/16 a new method is to be used for a 10 year period using CPI + 1% both for actual and target (formula) rent increases. Using this method a 2.2% increase in rents has been set by the Executive (8 January 2015) and is included within the proposed budget.
- 2.27 The estimated position HRA for 2015/16 is shown below. Progress against the HRA savings action plan is ahead of target and therefore no further savings are expected for 2015/16, although opportunities for efficiencies will continue to be sought wherever possible.

	<b>2015/16 Budget £000's</b>
Core	6,952
Access Selby	4,269
<b>Total Net Budget</b>	<b>11,221</b>
Less Dwelling Rents	(12,489)
<b>(Surplus) / deficit transferred to Balances/MRR</b>	<b>(1,268)</b>

- 2.28 A surplus position is anticipated for 2015/16 which will be required to meet the capital programme. Future surpluses will be transferred to the Major Repairs Reserve to either repay debt or spend on the future HRA capital programme, including new build projects.

### General Fund Capital Programme

- 2.29 The General Fund capital programme includes previously approved projects as well as new growth – a summary of the growth proposals are shown at **Appendix D(i)** and the capital programme is attached at **Appendix B(i)**.
- 2.30 There is limited room for additional revenue contributions to support the capital programme and therefore it is largely supported by capital receipts, external grants and earmarked reserves. The following table presents a summary of the proposed programme:

<b>Programme</b>	<b>2015/16 £000's</b>	<b>2016/17 £000's</b>	<b>2017/18 £000's</b>
Asset Management works	3	13	3
Car Park Machines		52	
Grants & loans	330	330	300
ICT Replacement	249	262	292
Lifeline Equipment			50
Housing developments	1,250	1,250	1,250
<b>Total Programme</b>	<b>1,832</b>	<b>1,907</b>	<b>1,895</b>

<b>Funding</b>			
Capital Receipts	175	175	145
Grants	155	155	155
Reserves	252	327	345
Borrowing	1,250	1,250	1,250
<b>Total Funding</b>	<b>1,832</b>	<b>1,907</b>	<b>1,895</b>

- 2.31 Projects include Selby and District Housing Trust developments, Disabled Facilities Grants and ICT projects. The latter cover a range of replacement and new systems, hardware and infrastructure (including a Mobile Working solution) – funding for ICT replacement projects is covered by the ICT Replacement Reserve.

#### Housing Investment Programme

- 2.32 The Housing Investment Programme includes a number of growth proposals to ensure our homes continue to meet the decency standard – these proposals are shown at **Appendix D(ii)** and the updated HIP is at **Appendix B(ii)**. The following table presents a summary of the programme:

<b>Programme</b>	<b>2015/16 £000's</b>	<b>2016/17 £000's</b>	<b>2017/18 £000's</b>
Electrical works	260	260	260
Central heating	850	650	650
Roof replacements	210		
Damp works	250	250	250
Doors	134	50	50
Kitchens	237	237	237
Bathrooms	180	180	180
Pointing	300	300	300
New Build Programme	1,250	1,250	1,250
Laurie Backhouse Court	200		
Environmental improvements	160	160	160
Other	262	237	197
<b>Total Programme</b>	<b>4,293</b>	<b>3,574</b>	<b>3,534</b>
<b>Funding</b>			
Revenue Contributions	1,550	925	860
Major Repairs Reserve	1,333	1,239	1,264
Access Selby Reserve	160	160	160
Borrowing	1,250	1,250	1,250
<b>Major repairs reserve</b>	<b>4,293</b>	<b>3,574</b>	<b>3,534</b>

#### Programme for Growth

- 2.33 The 'Programme for Growth' is the Council's strategic programme to support delivery of its Corporate Plan. The programme comprises a range of cross cutting capital and revenue projects designed to 'make Selby a great place' by investing in economic development; housing; infrastructure; retail; and the leisure economy.

- 2.34 The programme is funded largely by New Homes Bonus (up to £880k p.a.) and unallocated capital receipts. There is also the potential for additional borrowing subject to approval of the tender and funding package for the proposed new leisure village in Selby. At this stage further economic development initiatives are anticipated but more detailed work on the proposals is needed. A project contingency of £313k will allow the Executive to allocate funding when full project briefs have been prepared. Details of the current and proposed future programme are set out at **Appendix B(iii)**, a summary of the programme shows:

	2015/16 £000's	2016/17 £000's	2017/18 £000's
Balance brought forward*	2,174	468	1,294
Special projects reserve**	999	1,000	
Project spend	-2,392	-174	-170
Project Contingency	-313		
<b>Balance carried forward</b>	<b>468</b>	<b>1,294</b>	<b>1,124</b>

\*The opening balance is subject to final project costs in 2014/15;

\*\*£1m resources in 2016/17 relates to capital receipts from land sales.

- 2.35 In addition to the project costs and funding shown above there is also the potential for an additional £4.5m borrowing for leisure village – subject to Council's consideration of the final tender and approval of the project.

#### Reserves

- 2.36 The Council has a robust reserves strategy which is reviewed annually as part of the refresh of the MTFS. A forecast of reserve balances based on the MTFS assumptions and draft budget, is set out at **Appendix E**. Budgeted appropriations to and from General Fund reserves for 2015/16 (including the proposed capital/programme for growth financing) are:

General Fund Reserves	£000's
<b>Transfers to:</b>	
Building Repairs	130
ICT Replacement - GF	150
- HRA	50
PFI	380
Pension Equalisation	181
District Election	30
Special Projects - Revenue	999
Access Selby	79
<b>Transfers from:</b>	
NYCC Collaboration	(100)
ICT Replacement	(248)
PFI	(400)
Special Projects – Programme for Growth	(2,705)
Building Repairs	(38)
District Election	(80)
NDR Equalisation	(164)
Access Selby Reserve	(92)
General Fund Balance	(33)
<b>Net Appropriations from Reserves</b>	<b>(1,861)</b>



- 2.37 Overall the Council's General Fund reserves are expected to reduce by £1.9m in 2015/16.
- 2.38 The HRA reserves are General Balances and the Major Repairs Reserve (MRR). The overall estimated surplus of £1.3m on the HRA for 2015/16 will be transferred to the MRR. The HRA capital programme will require £2.9m from the MRR in 2015/16.

#### Budget Risk Assessment

- 2.39 **Appendix F** provides a risk assessment of the Council's major budgets covering the Core, Access Selby and Communities Selby. Future cuts to public sector funding and the volatility within the funding regime, mean continuing financial risk for the Council. Areas that are particularly high risk are central government funding, income generation and cost savings.
- 2.40 The Council's contingency budgets and general balances provide a buffer for these risks and are crucial to ensure sustained financial resilience and viability.

### **3. Legal/Financial Controls and other Policy matters**

#### **3.1 Legal Issues**

- 3.1.1 Section 12(2) of the Local Government Finance Act 2012 allows local authorities in England to set a Council Tax rate for long-term empty properties of up to 150% of the normal liability. This has been called the 'Empty Homes Premium'. A 'long-term empty property' must have been unoccupied and substantially unfurnished for at least two years.
- 3.1.2 The premium may be applied when a given property has been empty for two years, irrespective of how long its current owner has owned it. Therefore, it is possible for an individual to buy a property which has already been empty for two years and be liable for the premium immediately.
- 3.1.3 Occupancy of a long-term empty property for more than six weeks 'resets the clock' for this purpose.
- 3.1.4 Regulations specify that the premium cannot apply to:
- homes that are empty due to the occupant living in armed forces accommodation for job-related purposes; *or*
  - to annexes being used as part of a main property

#### **3.2 Financial Issues**

- 3.2.1 As set out in the report.

#### **3.3 Impacts**

- 3.3.1 The draft budget has been subject to public consultation and no significant issues have been raised through this process (**see Appendix G**). Policy Review Committee were supportive of the proposals and in particular

highlighted their support for the skate park in Selby that is included as part of the Programme for Growth.

- 3.3.2 The proposed Council Tax freeze will have a positive impact on taxpayers generally although the impact on the Council's on-going resources will have to be managed in light of future funding cuts.
- 3.3.3 The introduction of an Empty Homes Premium will impact on home owners with properties that have been left empty for more than 2 years but it is hoped that this will provide an incentive to bring back into use much needed homes within the district and in doing so improve the street scene and vitality of affected neighbourhoods.

#### **4. Conclusions**

- 4.1 The draft General Fund revenue budget for 2015/16 assumes a Council Tax freeze and in total requires 'one-off' support from Balances of £33k for the Core and £92k for Access Selby.
- 4.2 The budget provides for a capital programme to meet General Fund and HRA needs and also includes a Programme of Growth to support the Council's new Corporate Plan.
- 4.3 An additional savings target of circa £1m (beyond our current plans) will be required to balance the budget over the next 3 years given our assumptions on central Government funding.
- 4.4 The continuing risk to Local Government funding and future rising demand for services, mean that additional savings will be sought wherever possible. This will be vital to ensure that the Council maintains its financial resilience and continues to deliver or enable the essential services that people need.

#### **Contact Details:**

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#### **Appendices:**

- A – Revenue estimates
- B – Capital programmes and Programme for Growth
- C – Savings
- D – Growth bids
- E – Reserves
- F – Budget risk assessment
- G – Budget and Empty Homes Premium consultation responses

## GENERAL FUND SUMMARY 2015/16 - 2017/18

	Total Budget			Access Selby			Core			Communities Selby		
	2015/16	2016/17	2017/18	2015/16	2016/17	2017/18	2015/16	2016/17	2017/18	2015/16	2016/17	2017/18
	Original	Original	Original	Original	Original	Original	Original	Original	Original	Original	Original	Original
	£	£	£	£	£	£	£	£	£	£	£	£
Access Selby	8,517,360	8,621,040	8,810,580	8,517,360	8,621,040	8,810,580						
Core	3,355,950	3,357,940	3,377,410				3,355,950	3,357,940	3,377,410			
Communities Selby	192,680	192,680	192,680							192,680	192,680	192,680
Capital Charges	565,800	501,910	358,480				565,800	501,910	358,480			
<b>Sub-total Gross Budgets</b>	<b>12,631,790</b>	<b>12,673,570</b>	<b>12,739,150</b>	<b>8,517,360</b>	<b>8,621,040</b>	<b>8,810,580</b>	<b>3,921,750</b>	<b>3,859,850</b>	<b>3,735,890</b>	<b>192,680</b>	<b>192,680</b>	<b>192,680</b>
CEC Charged to HRA	(2,410,490)	(2,419,980)	(2,442,820)	(2,300,340)	(2,309,390)	(2,331,390)	(110,150)	(110,590)	(111,430)			
<b>Net Budget after CEC Adjustments</b>	<b>10,221,300</b>	<b>10,253,590</b>	<b>10,296,330</b>	<b>6,217,020</b>	<b>6,311,650</b>	<b>6,479,190</b>	<b>3,811,600</b>	<b>3,749,260</b>	<b>3,624,460</b>	<b>192,680</b>	<b>192,680</b>	<b>192,680</b>
	0	0	0									
Further savings in progress/new savings plan	(417,850)	(883,510)	(1,416,640)	(367,850)	(783,510)	(1,041,640)	(50,000)	(100,000)	(375,000)			
<b>Net Service Budget</b>	<b>9,803,450</b>	<b>9,370,080</b>	<b>8,879,690</b>	<b>5,849,170</b>	<b>5,528,140</b>	<b>5,437,550</b>	<b>3,761,600</b>	<b>3,649,260</b>	<b>3,249,460</b>	<b>192,680</b>	<b>192,680</b>	<b>192,680</b>
Investment Income	(200,000)	(300,000)	(300,000)				(200,000)	(300,000)	(300,000)			
External Interest	189,100	189,100	167,580				189,100	189,100	167,580			
Parish CTS Grant	96,000	86,000	77,000				96,000	86,000	77,000			
Capital A/c Adjustment MRP Charge	222,310	219,430	216,660				222,310	219,430	216,660			
Capital A/c Adjustment DFG & Conservation Grants	(205,000)	(155,000)	(155,000)	(205,000)	(155,000)	(155,000)						
Capital A/c Adjustment Capital Chgs	(565,800)	(501,910)	(358,480)				(565,800)	(501,910)	(358,480)			
New growth bids	83,000	40,000	73,000				83,000	40,000	73,000			
Programme for Growth Projects	2,704,570	174,000	170,000				2,704,570	174,000	170,000			
Building Repairs Projects	3,350	64,500	2,940				3,350	64,500	2,940			
Other Growth Projects	0	0	50,000			50,000						
ICT Projects	248,300	262,500	292,500				248,300	262,500	292,500			
Contingencies	306,640	306,640	306,640	51,090	51,090	51,090	255,550	255,550	255,550			
<b>Net Budget before contribution to/(from) Reserves*</b>	<b>12,685,920</b>	<b>9,755,340</b>	<b>9,422,530</b>	<b>5,695,260</b>	<b>5,424,230</b>	<b>5,383,640</b>	<b>6,797,980</b>	<b>4,138,430</b>	<b>3,846,210</b>	<b>192,680</b>	<b>192,680</b>	<b>192,680</b>
<b>Contribution To Reserves</b>												
Building Repairs	130,000	130,000	130,000				130,000	130,000	130,000			
ICT	150,000	150,000	150,000				150,000	150,000	150,000			
PFI	379,780	398,980	400,720				379,780	398,980	400,720			
Pension Equalisation Reserve	181,110	182,820	182,820				181,110	182,820	182,820			
District Election	30,000	34,000	34,000				30,000	34,000	34,000			
Special Projects (Programme for Growth)	119,070	0	0				119,070					
Special Projects (Programme for Growth)	880,000	880,000	880,000				880,000	880,000	880,000			
Life-lines - Repayment to Access Selby Reserve	79,000	11,420	10,000	79,000	11,420	10,000						
Access Selby Reserves	(92,070)	206,210	229,700	(92,070)	206,210	229,700						
<b>Contribution From Reserves</b>												
NYCC Collaboration Reserve	(100,000)	(100,000)	(50,000)				(100,000)	(100,000)	(50,000)			
ICT	(248,300)	(262,500)	(292,500)				(248,300)	(262,500)	(292,500)			
PFI	(400,290)	(411,500)	(423,020)				(400,290)	(411,500)	(423,020)			
Special Projects (Programme for Growth)	(2,704,570)	(174,000)	(170,000)				(2,704,570)	(174,000)	(170,000)			
Business Rates Equalisation	(164,000)	(164,000)	(164,000)				(164,000)	(164,000)	(164,000)			
Building Repairs	(38,350)	(64,500)	(2,940)				(38,350)	(64,500)	(2,940)			
District Election	(80,000)	0	0				(80,000)					
<b>NET REVENUE BUDGET</b>	<b>10,807,300</b>	<b>10,572,270</b>	<b>10,337,310</b>	<b>5,682,190</b>	<b>5,641,860</b>	<b>5,623,340</b>	<b>4,932,430</b>	<b>4,737,730</b>	<b>4,521,290</b>	<b>192,680</b>	<b>192,680</b>	<b>192,680</b>
Grant NDR/RSG*	(3,988,013)	(3,589,210)	(3,230,294)									
New Homes Bonus	(2,078,368)	(2,465,460)	(2,407,760)									
Special and Specific Grants*	(71,296)	(49,296)	(49,296)									
<b>Amount to be met from Council Tax</b>	<b>4,669,623</b>	<b>4,468,304</b>	<b>4,649,960</b>									
<b>Council Tax Requirement</b>												
Council Tax to be Levied	(4,716,951)	(4,859,402)	(5,006,157)									
Council Tax Collection Fund Deficit/(Surplus)	(83,660)											
Business Rates Collection Fund Deficit/(Surplus)	164,000	164,000	164,000									
<b>Shortfall / (surplus)</b>	<b>33,012</b>	<b>(227,098)</b>	<b>(192,196)</b>									
C Tax Base	29,117	29,408	29,702									
Council Tax Rate	162.00	165.24	168.54									

\*Subject to Local Government Finance Settlement

<b>2013/2014 ACTUAL</b>	<b>CORE (GENERAL FUND) OBJECTIVE SUMMARY</b>	<b>2014/2015 REVISED ESTIMATE</b>	<b>2015/2016 BUDGET</b>	<b>2016/2017 BUDGET</b>	<b>2017/2018 BUDGET</b>
<b>£</b>		<b>£</b>	<b>£</b>	<b>£</b>	<b>£</b>
3,425,590	Core	2,765,976	2,840,060	2,918,910	2,937,790
1,083,877	Democratic Services	1,015,970	1,045,620	964,320	971,140
<b><u>4,509,467</u></b>	<b>Net Expenditure</b>	<b><u>3,781,946</u></b>	<b><u>3,885,680</u></b>	<b><u>3,883,230</u></b>	<b><u>3,908,930</u></b>
628,877	Net CEC's	513,667	529,730	525,290	531,520
<b>3,880,590</b>	<b>Total for GF Summary</b>	<b>3,268,279</b>	<b>3,355,950</b>	<b>3,357,940</b>	<b>3,377,410</b>

2013/2014 ACTUAL	CORE (GENERAL FUND) SUBJECTIVE SUMMARY	2014/2015 REVISED ESTIMATE	2015/2016 BUDGET	2016/2017 BUDGET	2017/2018 BUDGET
	<b><u>Income</u></b>				
-795,285	Customer & Client Receipts	-21,560	-3,340	-3,340	-3,340
-352,499	CEC Recharge Income	-343,963	-275,240	-276,260	-278,160
-21,164	Other Recharges	-23,530	-22,300	-22,300	-22,300
0	Contribution From Reserves	0	0	0	0
<b>-1,168,948</b>	<b>Total Income</b>	<b>-389,053</b>	<b>-300,880</b>	<b>-301,900</b>	<b>-303,800</b>
	<b><u>Expenditure</u></b>				
1,119,823	Employees	1,085,810	1,090,390	1,117,410	1,156,130
-28,556	Premises	10,740	2,360	2,370	2,380
15,148	Transport	14,870	21,530	21,530	21,530
873,295	Supplies And Services	619,469	649,330	569,330	519,330
18,489	Third Party Payments	19,000	19,000	19,000	19,000
1,479,052	Drainage Board Levy	1,563,050	1,598,980	1,653,940	1,684,680
0	Benefit Payments	0	0	0	0
981,376	Support Services	857,630	804,970	801,550	809,680
<b>4,458,629</b>	<b>Total Expenditure</b>	<b>4,170,569</b>	<b>4,186,560</b>	<b>4,185,130</b>	<b>4,212,730</b>
<b>3,289,680</b>	<b>Net Expenditure</b>	<b>3,781,516</b>	<b>3,885,680</b>	<b>3,883,230</b>	<b>3,908,930</b>
628,877	Net CEC's	513,667	529,730	525,290	531,520
<b>2,660,803</b>	<b>Total for GF Summary</b>	<b>3,267,849</b>	<b>3,355,950</b>	<b>3,357,940</b>	<b>3,377,410</b>

<b>ACCESS SELBY (GENERAL FUND)</b>					
<b>2013/2014</b>	<b>SUBJECTIVE SUMMARY</b>	<b>2014/2015</b>	<b>2015/2016</b>	<b>2016/2017</b>	<b>2017/2018</b>
<b>ACTUAL</b>		<b>REVISED</b>	<b>BUDGET</b>	<b>BUDGET</b>	<b>BUDGET</b>
<b>£</b>		<b>ESTIMATE</b>	<b>£</b>	<b>£</b>	<b>£</b>
	<b><u>Income</u></b>				
-566,666	Government Grants	-549,910	-549,910	-549,910	-549,910
-16,853,408	Benefits Subsidy	-17,452,417	-17,452,417	-17,794,457	-18,143,327
16,303	Other Grants/Contributions Etc	0	0	0	0
-4,165,226	Customer & Client Receipts	-3,464,270	-3,576,010	-3,599,250	-3,612,650
-3,534,845	CEC Recharge Income	-3,229,667	-3,110,300	-3,115,950	-3,146,120
-254,739	Recharges	-262,470	-285,030	-285,030	-285,030
	Contribution From Reserves				
<b><u>-25,358,580</u></b>	<b>Total Income</b>	<b><u>-24,958,734</u></b>	<b><u>-24,973,667</u></b>	<b><u>-25,344,597</u></b>	<b><u>-25,737,037</u></b>
	<b><u>Expenditure</u></b>				
5,516,413	Employees	5,793,480	5,788,570	5,845,810	5,904,220
533,224	Premises	707,216	648,060	661,530	676,530
140,383	Transport	132,001	130,420	130,420	130,420
6,170,551	Supplies And Services	7,312,815	6,546,998	6,630,188	6,767,108
359,682	Third Party Payments	439,320	81,019	52,574	43,693
16,646,592	Benefit Payments	17,227,900	17,185,660	17,529,160	17,879,530
377,446	Supporting People Charges	0	0	0	0
151,615	Support Services	119,960	162,090	162,670	163,680
<b><u>29,895,905</u></b>	<b>Total Expenditure</b>	<b><u>31,732,692</u></b>	<b><u>30,542,817</u></b>	<b><u>31,012,352</u></b>	<b><u>31,565,181</u></b>
<b><u>4,537,325</u></b>	<b>Net Expenditure</b>	<b><u>6,773,958</u></b>	<b><u>5,569,150</u></b>	<b><u>5,667,755</u></b>	<b><u>5,828,144</u></b>

<b>ACCESS SELBY (GENERAL FUND)</b>					
<b>OBJECTIVE SUMMARY</b>					
<b>2013/2014</b>		<b>2014/2015</b>	<b>2015/2016</b>	<b>2016/2017</b>	<b>2017/18</b>
<b>ACTUAL</b>		<b>REVISED</b>	<b>BUDGET</b>	<b>BUDGET</b>	<b>BUDGET</b>
<b>£</b>		<b>ESTIMATE</b>	<b>£</b>	<b>£</b>	<b>£</b>
	<b><u>Lead Officer</u></b>				
8,387	Access Selby Management Team	198,580	300	250	260
-626,895	Assets	-252,461	-289,880	-295,350	-290,190
816,116	Benefits & Taxation	946,893	864,521	871,971	887,871
-49,522	Business Support	23,980	-25,670	-22,420	-21,720
38,168	Community Support	671	-35,070	-34,360	-31,450
2,769,369	Contracts	3,661,740	3,297,199	3,422,854	3,531,303
-1,510	Data & Systems	3,690	4,860	4,880	4,920
-129	Debt Control	-910	-1,840	-1,880	-1,830
214,012	Enforcement	295,080	309,890	260,620	262,240
-21,244	Finance	8,540	11,990	11,960	12,010
763,474	Health & Housing	766,220	863,440	876,290	892,850
-295	Human Resources	-450	10,720	10,700	10,730
16,736	Legal	22,200	0	30	10
-177	Marketing & Communications	-8,300	-50	-110	-40
503,055	Planning	452,890	425,590	428,940	437,230
107,780	Policy	655,135	132,840	133,080	133,610
0	Transformation	460	310	300	340
<b>4,537,325</b>	<b>Net Expenditure</b>	<b>6,773,958</b>	<b>5,569,150</b>	<b>5,667,755</b>	<b>5,828,144</b>

2014/15 includes carry forward budgets for Spend to Save initiatives £141k and £54k P4G work placements

2013/2014 ACTUAL	COMMUNITIES SELBY SUBJECTIVE SUMMARY	2015/2014 REVISED ESTIMATE	2015/2016 BUDGET	2016/2017 BUDGET	2017/2018 BUDGET
	<b><u>Income</u></b>				
-10,000	Other Grants/Contributions Etc				
-39,825	Customer & Client Receipts				
-88,285	CEC Recharge Income	-51,150	0	0	0
<b>-101,692</b>	<b>Total Income</b>	<b>-30,050</b>	<b>0</b>	<b>0</b>	<b>0</b>
	<b><u>Expenditure</u></b>				
24,978	Employees				
300	Premises				
2,327	Transport	6,250	0	0	0
213,382	Supplies And Services	307,170	192,680	192,680	192,680
87,843	Support Services	49,350	7,990	8,020	8,100
<b>328,830</b>	<b>Total Expenditure</b>	<b>362,770</b>	<b>200,670</b>	<b>200,700</b>	<b>200,780</b>
<b>227,138</b>	<b>Net Expenditure</b>	<b>332,720</b>	<b>200,670</b>	<b>200,700</b>	<b>200,780</b>



## Appendix A

<b>2013/2014 ACTUAL</b>	<b>COMMUNITIES SELBY OBJECTIVE SUMMARY</b>	<b>2014/2015 REVISED ESTIMATE</b>	<b>2015/2016 BUDGET</b>	<b>2016/2017 BUDGET</b>	<b>2017/2018 BUDGET</b>
£		£	£	£	£
230,371	Community Selby	332,720	200,670	200,700	200,780
<b>230,371</b>	<b>Net Expenditure</b>	<b>332,720</b>	<b>200,670</b>	<b>200,700</b>	<b>200,780</b>

2014/15 includes carry forward budgets for CEFs £85k, LSP for selby North Project £20k and Tadcaster tough Stuff £9k

## HOUSING REVENUE ACCOUNT SUMMARY 2015/16 to 2017/18

	Total Budget			Access Selby			Core		
	2015/16	2016/17	2017/18	2015/16	2016/17	2017/18	2015/16	2016/17	2017/18
	Original	Original	Original	Original	Original	Original	Original	Original	Original
	£	£	£	£	£	£	£	£	£
Net Service Costs	1,971,980	1,980,500	1,989,350	1,966,980	1,975,500	1,984,350	5,000	5,000	5,000
Contingency	75,000	75,000	75,000				75,000	75,000	75,000
Non-Dwelling Rents (Garages)	(93,130)	(94,990)	(96,890)	(93,130)	(94,990)	(96,890)			
Capital Charges	1,332,900	1,238,820	1,263,670				1,332,900	1,238,820	1,263,670
<b>Sub-total Gross Budgets</b>	<b>3,286,750</b>	<b>3,199,330</b>	<b>3,231,130</b>	<b>1,873,850</b>	<b>1,880,510</b>	<b>1,887,460</b>	<b>1,412,900</b>	<b>1,318,820</b>	<b>1,343,670</b>
CEC Recharges from GF	2,410,490	2,419,990	2,442,840	2,300,340	2,309,400	2,331,410	110,150	110,590	111,430
<b>Net Service Budget</b>	<b>5,697,240</b>	<b>5,619,320</b>	<b>5,673,970</b>	<b>4,174,190</b>	<b>4,189,910</b>	<b>4,218,870</b>	<b>1,523,050</b>	<b>1,429,410</b>	<b>1,455,100</b>
Investment Income	(48,000)	(67,000)	(84,000)				(48,000)	(67,000)	(84,000)
HRA Debt - Payment of Interest	2,637,930	2,637,930	2,637,930				2,637,930	2,637,930	2,637,930
Pension - Past Service Costs	196,100	204,130	216,810				196,100	204,130	216,810
<b>Net Budget before contribution to/(from) Reserves</b>	<b>8,483,270</b>	<b>8,394,380</b>	<b>8,444,710</b>	<b>4,174,190</b>	<b>4,189,910</b>	<b>4,218,870</b>	<b>4,309,080</b>	<b>4,204,470</b>	<b>4,225,840</b>
<b>Contribution To Reserves</b>									
Comp Development Cont	50,000	50,000	50,000				50,000	50,000	50,000
Access Selby Reserves (from) / to	94,380	117,120	174,300	94,380	117,120	174,300			
<b>Major Repairs Reserve</b>									
Revenue Contribution to Capital Programme	1,332,900	1,238,820	1,263,670				1,332,900	1,238,820	1,263,670
HRA Debt - MRR Principal	1,260,000	1,260,000	1,260,000				1,260,000	1,260,000	1,260,000
<b>NET REVENUE BUDGET</b>	<b>11,220,550</b>	<b>11,060,320</b>	<b>11,192,680</b>	<b>4,268,570</b>	<b>4,307,030</b>	<b>4,393,170</b>	<b>6,951,980</b>	<b>6,753,290</b>	<b>6,799,510</b>
Dwelling Rents	(12,489,000)	(12,750,000)	(13,015,000)				(12,489,000)	(12,750,000)	(13,015,000)
Payable to / (from) Core	-	-	-	(4,268,570)	(4,307,030)	(4,393,170)	4,268,570	4,307,030	4,393,170
<b>Shortfall / (surplus)</b>	<b>(1,268,450)</b>	<b>(1,689,680)</b>	<b>(1,822,320)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>(1,268,450)</b>	<b>(1,689,680)</b>	<b>(1,822,320)</b>
<b>Contribution To/ (From) HRA Reserves (MRR)</b>	<b>1,268,450</b>	<b>1,689,680</b>	<b>1,822,320</b>				<b>(1,268,450)</b>	<b>(1,689,680)</b>	<b>(1,822,320)</b>
<b>Opening HRA Balance</b>	<b>2,099,032</b>	<b>2,193,412</b>	<b>2,310,532</b>	<b>911,301</b>	<b>1,005,681</b>	<b>1,122,801</b>	<b>1,187,731</b>	<b>1,187,731</b>	<b>1,187,731</b>
<b>Contribution To / (From ) HRA</b>	<b>94,380</b>	<b>117,120</b>	<b>174,300</b>	<b>94,380</b>	<b>117,120</b>	<b>174,300</b>			
<b>Closing Balance</b>	<b>2,193,412</b>	<b>2,310,532</b>	<b>2,484,832</b>	<b>1,005,681</b>	<b>1,122,801</b>	<b>1,297,101</b>	<b>1,187,731</b>	<b>1,187,731</b>	<b>1,187,731</b>

2013/2014 ACTUAL	ACCESS SELBY (HRA) SUBJECTIVE SUMMARY	2014/2015 REVISED ESTIMATE	2015/2016 BUDGET	2016/2017 BUDGET	2017/2018 BUDGET
£000's		£000's	£000's	£000's	£000's
	<b><u>Income</u></b>				
	Government Grants	-25,560	-20,130	-20,130	-20,130
	Other Grants/Contributions Etc				
-160,553	Customer & Client Receipts	-107,400	-107,280	-108,430	-109,610
-442,498	Recharges	-18,000	-18,000	-18,000	-18,000
	Contribution From Reserves				
-117,090	Garage Rents	-121,300	-93,130	-94,990	-96,890
<b><u>-720,141</u></b>	<b>Total Income</b>	<b><u>-272,260</u></b>	<b><u>-238,540</u></b>	<b><u>-241,550</u></b>	<b><u>-244,630</u></b>
	<b><u>Expenditure</u></b>				
77,529	Employees	93,720	93,770	94,630	95,470
669,777	Premises	813,480	777,890	786,630	795,750
125,887	Transport	132,560	117,050	117,050	117,050
1,197,643	Supplies And Services	1,159,420	1,123,680	1,123,750	1,123,820
	Third Party Payments				
2,503,849	Support Services	2,340,490	2,300,340	2,309,400	2,331,410
<b><u>4,574,684</u></b>	<b>Total Expenditure</b>	<b><u>4,539,670</u></b>	<b><u>4,412,730</u></b>	<b><u>4,431,460</u></b>	<b><u>4,463,500</u></b>
<b><u>3,854,543</u></b>	<b>Net Expenditure</b>	<b><u>4,267,410</u></b>	<b><u>4,174,190</u></b>	<b><u>4,189,910</u></b>	<b><u>4,218,870</u></b>

2013/2014 ACTUAL	ACCESS SELBY (HRA) OBJECTIVE SUMMARY	2014/2015 REVISED ESTIMATE	2015/2016 BUDGET	2016/2017 BUDGET	2017/2018 BUDGET
£000's		£000's	£000's	£000's	£000's
	<b><u>Lead Officer</u></b>				
40,361	Access Selby Management Team	45,820	41,800	42,010	42,430
3,364,385	Assets	3,629,940	3,476,610	3,486,030	3,506,980
4,905	Business Support	18,750	26,050	26,130	26,380
362,112	Community Support	416,240	442,960	447,230	452,490
83,922	Contracts	104,160	106,780	109,480	112,260
0	Debt Control	1,300	0	0	0
12,345	Enforcement	15,000	15,000	15,000	15,000
103,604	Health & Housing	157,500	158,120	159,020	160,220
0	Old Trading Units	0	0	0	0
-117,090	Garage Rents	-121,300	-93,130	-94,990	-96,890
<b><u>3,854,543</u></b>	<b>Net Expenditure</b>	<b><u>4,267,410</u></b>	<b><u>4,174,190</u></b>	<b><u>4,189,910</u></b>	<b><u>4,218,870</u></b>

**2014/15 – 2017/18 GENERAL FUND CAPITAL PROGRAMME**

	Current Programme 2014/15 £	Estimated Programme 2015/16 £	Estimated Programme 2016/17 £	Estimated Programme 2017/18 £
<b><u>PROJECTS</u></b>				
Asset Management Plan Leisure Centres & Park	79,140	3,350	12,500	2,940
Tadcaster Central Area	112,200			
Road Adoption - Industrial Units Sherburn	24,380			
All weather sports pitch	297,000			
Mast Relocation	142,330			
CCTV	14,000			
Tadcaster Bus Station refurbishment	25,000			
Replacement Car Park Ticket Machines			52,000	
Collapsed Culvert - Portholme Road	150,000			
Lifeline Equipment	180,000			50,000
Housing Development	300,000	1,250,000	1,250,000	1,250,000
Burn Airfield	1,700,000			
Leisure Centre new build	6,322,180			
<b><u>Grants</u></b>				
Disabled Facilities Grants	367,750	300,000	300,000	300,000
Repair Assistance Loans	30,000	30,000	30,000	
<b><u>ICT Hardware &amp; Systems Within ICT Strategy</u></b>				
Implementation & Infrastructure Costs	330,700	117,000	245,000	275,000
Desktop Replacement Programme	17,500	17,500	17,500	17,500
CRM	55,385			
Mobile Working Solution	136,000	113,800		
<b>TOTAL</b>	<b>10,283,565</b>	<b>1,831,650</b>	<b>1,907,000</b>	<b>1,895,440</b>
<b><u>SUMMARY OF FUNDING</u></b>				
Capital Receipts	3,242,307	175,000	175,000	145,000
Grants & Contributions	1,245,983	155,000	155,000	155,000
Revenue	47,000			
Reserves	3,748,275	251,650	327,000	345,440
Borrowing	2,000,000	1,250,000	1,250,000	1,250,000
<b>TOTAL</b>	<b>10,283,565</b>	<b>1,831,650</b>	<b>1,907,000</b>	<b>1,895,440</b>

## Appendix B (ii)

### 2014/15 – 2017/18 HOUSING REVENUE ACCOUNT CAPITAL PROGRAMME

<b><u>PROJECTS</u></b>	Current Programme 2014/15 £	Estimated Programme 2015/16 £	Estimated Programme 2016/17 £	Estimated Programme 2017/18 £
<b><u>PROJECTS</u></b>				
<u>Current Projects</u>				
Electrical Rewires	264,420	260,000	260,000	260,000
Central Heating - Gas	775,480	575,480	575,480	575,480
Central Heating - Solid Fuel to Gas	80,000			
Central Heating - Solid Fuel		75,000	75,000	75,000
Roof Replacements	359,000	210,000		
Damp Surveys & Works	300,000	250,000	250,000	250,000
Door Replacements	62,900	134,000	50,000	50,000
Kitchen Replacements	250,820	237,000	237,000	237,000
Pre Paint & Cyclical Repairs	113,000	113,000	113,000	113,000
<u>New Projects</u>				
Void Property Repairs	53,500	53,500	53,500	53,500
Asbestos Condition Survey		30,000	30,000	30,000
Fencing		40,000	40,000	
Central Heating - Economy 7 to Gas	372,000	200,000		
Airey Properties	1,208,230			
Bathroom Replacements		180,000	180,000	180,000
Pointing Works		300,000	300,000	300,000
Fire Alarm System at St Wilfrids Court		25,000		
Laurie Backhouse Court Refurbishment		200,000		
Environmental Improvement Plan		160,000	160,000	160,000
New Build Projects	300,000	1,250,000	1,250,000	1,250,000
<b>TOTAL</b>	<b>4,139,350</b>	<b>4,292,980</b>	<b>3,573,980</b>	<b>3,533,980</b>

### **SUMMARY OF FUNDING**

Revenue Contributions	2,396,290	1,550,080	925,160	860,310
Major Repairs Reserve	1,443,060	1,332,900	1,238,820	1,263,670
Access Selby HRA Reserve		160,000	160,000	160,000
Borrowing	300,000	1,250,000	1,250,000	1,250,000
<b>TOTAL</b>	<b>4,139,350</b>	<b>4,292,980</b>	<b>3,573,980</b>	<b>3,533,980</b>

Programme for Growth

Project	Allocations		Assumed Spend Profile			YTD Actual as at Jan '15	Comments
	Capital £	Revenue £	Actual 12/13 £	Actual 13/14 £	Estimate 14/15 £		
Programme Management		93,333	3,011	23,585	40,000	13,326	
Housing Trust	-	180,000	3,600	2,594	61,306	53,806	Development Support to the Trust of £30k p.a. for 5 years from January 2014
Empty homes	100,000	26,000	-	525	63,000		Access Selby commissioned to bring empty homes back into use.
43 Kirkgate	65,584	3,540	-		69,124	29,581	Approval for funds to cover capital works given by Exec April 2014
St Josephs Street	31,000				31,000		Grant to SDHT for St Josephs Street (Dec 14 Exec)
Environment - policy reviews	-	20,000	-		20,000		
Environment - Masterplan	-	50,000	-		50,000		
Environment - improvements to gates	-	15,000	-	4,150	10,850		
Identify target sector	-	5,000	-		5,000		
Business Selby	-	40,000	-		10,500	10,576	
Ready 4 Work	-	72,500	-	19,264	37,100	27,825	Over 2 years plus match funding from Access Selby
Leisure Centre New Build	7,272,850	9,200	-	950,673	6,322,177	4,246,655	£2m P4G, £2m from Sport England and £3m insurance claim
Affordable Access	-	-					£25k on-going cost to be met by savings on ALC
Community Delivery	-	-					£126.5k p.a. - to be met by savings from WLCT contract
Selby Leisure Village	-	75,500	-	3,000	72,500	18,566	Project supported at Competitive Dialogue stage but full scheme and costs not yet established
Retail experience	-	359,992	-	287	359,713	6,129	£100k allocated for Tadcaster Riverside, plus £18k and £12k internal virement and £80k from Tad TC. £110k Sherburn Village project plus £25.2k Spend to Save, £23k s106, £9.4k SPC and £20k external funding. £150k STEP.
Growing enterprise	-	150,000	-	6,841	143,159	5,019	
Site acquisition fund: - 55 - 57 Bondgate	859,000 600,000	- -	5,090 -	575,990	-		Subject to business cases - £5,090 spend on abortive costs for travellers site. £864k to be rolled forward into P4G2 funding. Approved May 2013
<b>Total</b>	<b>8,928,434</b>	<b>1,100,065</b>	<b>11,701</b>	<b>1,586,910</b>	<b>7,295,429</b>	<b>4,411,483</b>	
<b>Total</b>		<b>10,028,499</b>					
<b>Resources</b>		<b>£</b>	<b>£</b>	<b>£</b>	<b>£</b>		
Balance Brought Fwd			836,540	5,429,205	5,197,931		
Special projects reserve - revenue		5,314,906	1,111,366	1,128,000	2,239,000		Special projects reserve @ 31 March 2013 = £1.729m plus NHB for 13/14 and 14/15 @ £880k p.a. plus revenue surplus of £249k. 14/15 includes additional amounts transferred in from other reserve balances as part of MTFS review.
Special projects reserve - capital		720,636	493,000	227,636			Pooled capital receipts as part of MTFS review
Insurance Claim - ALC		3,000,000	3,000,000				Selby Leisure Centre
Sport England Grant		2,032,500			2,032,500		Selby Leisure Centre
Project Spend			- 11,701	- 1,586,910	- 7,295,429		
<b>Balance</b>		<b>11,068,042</b>	<b>5,429,205</b>	<b>5,197,931</b>	<b>2,174,002</b>		
<b>Funding contingency</b>		<b>1,039,543</b>					

## Programme for Growth

Project	Allocations		Estimate 15/16 £	Estimate 16/17 £	Estimate 17/18 £	Estimate 18/19 £	Estimate 19/20 £	Comments
	Capital £	Revenue £						
Programme Management	-	10,300	10,300	-	-	-	-	Final phase of P4G1
Healthy living - concepts fund	-	175,000	35,000	35,000	35,000	35,000	35,000	
Leisure Village	1,500,000	-	1,500,000	-	-	-	-	£6m total capital investment - assume £4.5m financed through borrowing
Selby Skate Park	75,000	-	75,000	-	-	-	-	
Empty homes	25,000	6,500	31,500	-	-	-	-	Final phase of P4G1 scheme
Ready 4 Work	-	16,136	16,136	-	-	-	-	Plus match funding from Access Selby - final phase of P4G1 project
Growing enterprise	-	175,000	69,000	39,000	35,000	32,000	-	
Market Selby's USP	-	60,000	20,000	20,000	20,000	-	-	
Community skills/capacity building	-	100,000	100,000	-	-	-	-	
Housing Trust	-	112,500	30,000	30,000	30,000	22,500	-	Development Support to the Trust of £30k p.a. for 5 years from January 2014
Green energy	-	30,000	30,000	-	-	-	-	Business case development
Strategic sites	-	285,000	185,000	50,000	50,000	-	-	£31k allocated to St Josephs street - Exec Dec '14.
Town masterplanning	-	250,000	250,000	-	-	-	-	£25k specification and commissioning, £200k 3 plans, £25k contingency
Green infrastructure	-	20,000	20,000	-	-	-	-	
Economic Development Projects arising from ERYC peer review								Projects and costs to be confirmed
Construction skills hub	-	20,000	20,000	-	-	-	-	
Contingency			312,636					Contingency available for allocation to projects
<b>Total</b>	<b>1,600,000</b>	<b>1,260,436</b>	<b>2,704,572</b>	<b>174,000</b>	<b>170,000</b>	<b>89,500</b>	<b>35,000</b>	
<b>Total</b>		<b>2,860,436</b>						
<b>Resources</b>		<b>£</b>						
Balance Brought Fwd		2,174,002	2,174,002	468,500	1,294,500	1,124,500	1,035,000	Subject to P4G1 final costs
Special projects reserve *		1,999,070	999,070	1,000,000				
Project Spend	-	3,173,072	-2,704,572	-174,000	-170,000	-89,500	-35,000	
<b>Balance</b>		<b>1,000,000</b>	<b>468,500</b>	<b>1,294,500</b>	<b>1,124,500</b>	<b>1,035,000</b>	<b>1,000,000</b>	

\*£1m resources in 2016/17 relates to capital receipts from land sales

Note: Potential for up to additional £4.5m borrowing for leisure village – subject to final tender and approval



## Key:

Green: Savings likely to be achieved/low risk
Amber: Tentative savings - further work required/medium risk
Red: Requires a change in Council policy or significant change in service delivery/high risk

**Core Savings Plan**

Proposed Savings	Status	2015/16 £	2016/17 £	2017/18 £	Members' Update
<b>Procurement Workstream</b>					
Election Software	Green	5,087	5,189	5,293	Completed
Audit Partnership	Green	16,236	16,561	16,892	Completed
Leisure Contract	Green	93,948	129,925	146,517	50% Saving on Leisure contract
Banking tender	Green	8,400	8,400	8,400	Go live happened successfully in August, on target
<b>Total Procurement</b>		<b>123,671</b>	<b>160,075</b>	<b>177,102</b>	
<b>Transformation Workstream</b>					
WWT - Transformation (Core)	Green	54,122	55,204	56,308	Completed
Joint CE with NYCC appointed and 1 further FTE reduction	Green	82,820	83,648	84,484	Completed
<b>Total Transformation</b>		<b>136,942</b>	<b>138,852</b>	<b>140,792</b>	
<b>Value for Money Workstream</b>					
Internal Drainage Boards	Green	154,936	158,035	161,196	Completed
Community Safety	Green	16,561	16,892	17,230	Completed
Ward Boundary Review	Amber	41,430	41,430	41,430	Based on current scheme, to be implemented following the general election in 2015
<b>Total Value for Money</b>		<b>212,927</b>	<b>216,357</b>	<b>219,856</b>	
<b>Base Budget Review Workstream</b>					
External Audit Fee	Green	53,370	53,370	53,370	Completed
Early Retirements - Strain on Pension Fund	Green	100,482	102,491	104,541	Completed
Corporate and Democratic Core	Green	7,283	7,428	7,577	Completed
Pay award from 2.5% est to 1% revised	Green	48,118	48,118	48,118	Completed
Internal Audit	Green	14,066	14,348	14,635	Completed
Car Allowances	Green	2,850	2,850	2,850	Completed
Civic Centre NNDR	Green	65,996	65,996	65,996	Completed
NNDR Base Budget Review - Various small sites	Green	14,390	14,390	14,390	Completed
<b>Total Base Budget Review</b>		<b>306,555</b>	<b>308,991</b>	<b>311,477</b>	
<b>Discretionary Service Review Workstream</b>					
External Grants	Green	12,000	12,000	12,000	Completed
<b>Total Discretionary Service Review</b>		<b>12,000</b>	<b>12,000</b>	<b>12,000</b>	
<b>Income Generation Workstream</b>					
Use of assets for advertising space	Amber	25,000	25,000	25,000	Negotiations ongoing with NYCC about income split in 15/16
Single Payment Discount Review	Green	-	-	-	-
Empty/Second homes council tax charges review	Amber	-	-	-	-
<b>Total Income Generation</b>		<b>25,000</b>	<b>25,000</b>	<b>25,000</b>	
<b>Total General Fund Savings</b>		<b>817,095</b>	<b>861,275</b>	<b>886,227</b>	
<b>Savings Target</b>		<b>1,002,995</b>	<b>814,645</b>	<b>1,156,227</b>	
<b>Headroom/Deficit (+/-)</b>	** -	<b>185,900</b>	<b>46,630 -</b>	<b>270,000</b>	
<b>Green Savings</b>		750,665	794,845	819,797	
<b>Amber Savings</b>		66,430	66,430	66,430	
<b>Red Savings**</b>		-	-	-	
<b>Total</b>		<b>817,095</b>	<b>861,275</b>	<b>886,227</b>	

**Access Selby - General Fund Savings**

Proposed Savings	Status	2015/16	2016/17	2017/18	Members' Update
		£	£	£	
<b>IT &amp; Transformation Workstream</b>					
CRM Replacement	Red	69,516	69,516	69,516	Project underway, savings profiled to start in 2015/16
Mobile Working	Red	-	125,038	142,814	This project has been pushed back, savings expected to start in 2016/17
Spend to save initiatives	Red	40,800	41,616	42,448	14/15 savings have come from the enhanced planning advice service, which should also achieve £15,300, £15,606 and £15,918 in future years. For the balance of the target opportunities are being investigated for 15/16
Fuel Site	Red	1,650	1,650	1,650	Negotiations with NYCC underway, savings expected to be realised in 2015/16
Review of planning advice and consultants	Amber	3,750	3,750	3,750	Expected that savings will be made from 2015/16 onwards
Joint Business Support Manager Post	Green	14,530	14,675	-	On track to achieve savings
Court Cost / Summons Income - Council Tax recovery proceedings	Green	30,000	30,000	30,000	Increased estimate to £71,160 following October's results
Formal amalgamation of District newspaper and County Council publications	Amber	3,000	3,000	3,000	Initial discussions to begin with NYCC during autumn
<b>Total Transformation</b>		<b>163,246</b>	<b>289,245</b>	<b>293,178</b>	
<b>Commissioning Workstream</b>					
Printers	Green	18,811	18,811	18,811	Completed
Lifeline pendants	Green	-	67,576	69,000	Savings on track to be achieved from 2016/17
Postage and Mail	Amber	5,000	5,000	5,000	Expected savings from new framework available from November 2014
Stationery	Green	500	500	500	On track to achieve savings
Supplier Engagement	Amber	20,000	20,000	20,000	Contracts and Procurement teams in ongoing discussions with suppliers
Reduce Tail end spend	Amber	14,500	14,500	14,500	Savings opportunity identified for future years
IT Service Contracts	Amber	7,500	7,500	7,500	Savings opportunity identified for future years
External Audit - Grants Audit Fee	Amber	8,130	8,130	8,130	On track - subject to consultation
Home Improvement Agency contract	Green	5,000	5,000	5,000	On track to achieve savings
Lexis Nexis Legal Library	Green	10,000	10,000	10,000	On track to achieve savings
Community Support Vehicle lease	Green	3,940	3,940	3,940	On track to achieve savings
<b>Total Commissioning</b>		<b>93,381</b>	<b>160,957</b>	<b>162,381</b>	
<b>Income Generation Workstream</b>					
Negotiation for share of out performance on Council Tax collection	Amber	3,961	3,961	3,961	This is the current estimate for 2014/15, updated on a monthly basis
Maximise current income streams	Red	78,000	80,040	82,120	£34k has already been achieved under this umbrella, and separate income initiatives have been introduced. Further work to be carried out to identify future savings
Recycling Credits	Green	0	0	0	On track to achieve savings currently, being monitored on a monthly basis because of varying prices and tonnages
Bulky Waste	Amber	1,500	1,500	2,000	On track to achieve savings currently, being monitored on a monthly basis
Commercial Waste	Amber	20,000	20,000	20,000	On track to achieve savings currently, being monitored on a monthly basis
Air Quality sampling	Green	1,217	1,217	1,217	On track to achieve savings
Export health certificates	Green	2,000	2,000	2,000	On track to achieve savings
Caravan inspection fee	Green	2,000	2,000	2,000	Fees are expected to start in 2015/16
Policy changes to introduce new income streams	Red	50,000	102,000	104,040	Some projects have been identified in this area (see below), further work being carried out for future years
Street Naming & Numbering	Amber	18,000	18,000	18,000	Street naming & numbering will go to the November Executive meeting for consideration as part of the fees and charges report
Registrar Service	Amber	14,680	14,680	14,680	Savings expected from 15/16 onwards, licence to be formally agreed
Programme for Growth	Green	0	0	0	Awaiting outcome of Programme for Growth review for phase 2 - 2015/16 onwards
Car Park Income	Green	20,000	20,500	20,500	On track to achieve savings
Community Support Lifeline Income	Green	20,000	20,000	20,000	Completed
Legal Income	Amber	0	22,500	45,000	
<b>Total Income Generation</b>		<b>231,358</b>	<b>308,398</b>	<b>335,518</b>	
<b>Other</b>					
Vacancy / Secondment savings between appointments	Amber	38,611	39,383	39,777	On track to achieve savings
Agency Staff	Amber	2,500	2,500	2,500	Savings opportunity identified for future years
Private sector housing - enforcement works	Green	9,500	9,500	9,500	On track to achieve savings

Proposed Savings	Status	2015/16	2016/17	2017/18	Members' Update
		£	£	£	
Private sector house improvement - promotion	Green	500	500	500	On track to achieve savings
NY regional strategy officer	Green	2,520	2,520	2,520	On track to achieve savings
Community Support Office telephone savings	Green	9,600	9,600	9,600	On track to achieve savings
Contracts - General Office Expenses	Green	360	360	360	On track to achieve savings
Contracts - Officer subsistence general saving	Green	200	200	200	On track to achieve savings
Commercial Waste	Green	1,160	1,160	1,160	On track to achieve savings
Environmental Health & Housing telephone savings	Green	430	430	430	On track to achieve savings
<b>Total Other</b>		<b>65,381</b>	<b>66,153</b>	<b>66,547</b>	
<b>Total General Fund Savings in Progress</b>		<b>553,366</b>	<b>824,753</b>	<b>857,624</b>	
<b>Completed (GREEN) General Fund Savings</b>		<b>3,124,855</b>	<b>3,182,394</b>	<b>3,222,781</b>	
<b>Total General Fund Savings</b>		<b>3,678,221</b>	<b>4,007,148</b>	<b>4,080,405</b>	
<b>Savings Target</b>		<b>3,770,291</b>	<b>4,025,938</b>	<b>4,270,705</b>	
<b>Headroom/Deficit (+/-)</b>	** -	<b>92,070 -</b>	<b>18,790 -</b>	<b>190,300</b>	
<b>Green Savings</b>		3,277,123	3,402,883	3,430,019	
<b>Amber Savings</b>		161,132	184,404	207,798	
<b>Red Savings**</b>		239,966	419,860	442,588	
<b>Total</b>		<b>3,678,221</b>	<b>4,007,148</b>	<b>4,080,405</b>	

Key:

**HRA Savings Plan**

- Green: Savings likely to be achieved/low risk**
- Amber: Tentative savings - further work required/medium risk**
- Red: Requires a change in Council policy or significant change in service delivery/high risk**

Proposed Savings	Status	2015/16 £	2016/17 £	2017/18 £	Progress
Review of Property Services unfilled posts	Green	50,000	50,000	50,000	Completed
Gas Servicing Contract	Green	20,000	20,000	20,000	Completed
Grassed Areas & Open Spaces base budget review	Green	29,000	29,000	29,000	Completed
Various Suppliers	Green	22,000	22,000	22,000	Completed
WTT - Savings	Green	129,591	129,591	129,591	Completed
2011/12 Pay Award	Green	27,000	27,000	27,000	Completed
Car Allowances	Green	5,600	5,600	5,600	Completed
Savings on Audit Fees and early Retirement Charges	Green	40,460	40,460	40,460	Completed
Ryecare Help-Line Telecom Saving	Green	700	700	700	Completed
Consolidation of IT Budgets	Green	23,685	23,685	23,685	Completed
Electrical Testing - R&M	Green	15,000	15,000	15,000	Completed
Vehicle Tracking System	Green	500	500	500	Completed
Direct Works - Phones	Green	2,000	2,000	2,000	Completed
Grants Audit Fees	Green	6,000	6,000	6,000	Completed
Clear Access Footways	Green	2,500	2,500	2,500	Completed
Footpaths	Green	10,000	10,000	10,000	Completed
Gutters & Fallpipes	Green	5,000	5,000	5,000	Completed
Tenants Participation - Housing Reports	Green	370	370	370	Completed
Energy Performance Certificates	Green	3,000	3,000	3,000	Completed
SDC Contract Hire Vehicles	Green	18,000	18,000	18,000	On target to achieve savings.
Asbestos Removal	Green	500	500	500	On target to achieve savings.
Base budget savings	Green	28,460	37,460	37,460	Completed
<b>Total Housing Revenue Account Savings</b>		<b>439,366</b>	<b>448,366</b>	<b>448,366</b>	
<b>Savings Target</b>		360,000	360,000	360,000	
<b>Headroom/Deficit (+/-)</b>	**	----- <b>79,366</b>	----- <b>88,366</b>	----- <b>88,366</b>	
<b>Green Savings</b>		439,366	448,366	448,366	
<b>Amber Savings</b>		-	-	-	
<b>Red Savings**</b>		-	-	-	
<b>Total</b>		<b>439,366</b>	<b>448,366</b>	<b>448,366</b>	

## New Savings Proposals

Option	Value Per Annum £000's	Comments/Issues/Impacts/ Risks etc	Link to corporate priorities
<b>Transforming</b>			
Better Together  Core/Access Selby	£200k	Review of functions to achieve efficiencies in collaboration with NYCC. At this stage £200k is suggested as an overall target across the whole organisation and will be subject to feasibility/approval. <b>Medium risk (Amber)</b>	<b>Great value</b> – this saving assumes internal efficiencies are achieved by working in partnership.
Electronic Payments  Access Selby	£25K	Savings expected from 2016/17 <b>Medium risk (Amber)</b>	<b>Great value</b> – this saving assumes internal efficiencies through improved processes and IT
Improved Revs & Bens Value for Money  Access Selby	£50k	Subject to further options for service  Soft Market testing has indicated potential £50k p.a. plus share of income generation <b>Medium risk (Amber)</b>	<b>Great value</b> – opportunity for efficiencies through joint working or different service delivery
Further internal efficiencies  Access Selby	£50k	Opportunities for further process improvement through a transformation and VFM programme  Front facing services not covered by BT programme of work: <ul style="list-style-type: none"> <li>• Planning</li> <li>• Environmental Health and Housing</li> <li>• Enforcement / Licencing (there will be an impact on staffing as a result of the new Single Fraud</li> </ul>	<b>Great value</b> – this saving assumes internal efficiencies through improved processes and IT

		<p>Investigation Service)</p> <ul style="list-style-type: none"> <li>• Transformation</li> <li>• Policy</li> </ul> <p>Review internal working eg reduction in mileage due to more efficient working practices, reduction in absence levels, more flexible working would increase productivity levels</p> <p><b>Medium risk (Amber)</b></p>	
<p>Access Selby Commercialisation</p> <p>Access Selby</p>	£50k	<p>Indicative target using spare capacity to generate additional income – It is expected that £50k will be generated over a 3 year period. This is over and above other income streams e.g. Better Together and P4G</p> <p><b>High risk (Red)</b></p>	<p><b>Do business and great value</b> – this seeks to generate income for reinvestment</p>
<b>Growing</b>			
<p>Green Energy</p> <p>Core</p>	£150k	<p>Potential to consider Council assets for generating electricity. Subject to detailed feasibility work and business case.</p> <p><b>High risk (Red)</b></p> <p><i>(Also part of Programme for Growth)</i></p>	<p><b>Enjoy life and great value</b> – opportunity for tenants to benefit from reduced price electricity and for the Council to achieve a return on its investment.</p>
<p>General fund housing development</p> <p>Core</p>	£50k	<p>Up to £100k with £5m invested at 2% over standard SDC investment yield. Subject to interest rates and schemes.</p> <p><b>High/Medium risk (Amber)</b></p> <p><i>(Also part of Programme for Growth)</i></p>	<p><b>Enjoy life and great value</b> – additional affordable homes delivered on underused council land achieving improved return on investments</p>

<b>Commissioning</b>			
Leisure Management Contract  Core	£150k	<p>This saving is anticipated from March/April 2015. Work on the variation to the existing leisure contract is complete and a saving of around £300k p.a. has been identified.</p> <p>A figure of £150k assumes the redirection of part of this saving into the proposed leisure village (which is still subject to tender approval and exact requirements not yet known).</p> <p>The new contract seeks to deliver an improved leisure offer which will increase participation in physical activities – a performance framework will form part of the new arrangements with targets for participation targeted at improved health outcomes (evidenced by needs assessment).</p> <p><b>Low risk (Green)</b></p>	<p><b>Enjoy life and great value</b> – higher than average adult obesity and rising childhood obesity in Selby means that encouraging healthy, active lifestyles is a priority for the Council. The saving significantly reduces the cost to taxpayers of this discretionary service.</p>
Community/Pooled Budgets  Core	£10k	<p>To reflect the potential for efficiency by working across sectors to achieve shared outcomes – for example with CEFs/NYCC/NHS/Police/AVS etc and communities themselves. By pooling budgets and joining up services, together we should be able to meet communities' needs for less.</p> <p><b>High risk (Red)</b></p>	<p><b>Make a Difference and Great value</b> – this saving assumes efficiencies are achieved by working in partnership.</p>
Improved waste/recycling value for money  Core/Access Selby	£200k	<p>To match 'near neighbour' performance – would also require additional cost avoidance and to identify opportunities for service transformation and income generation.</p> <p><b>High/Medium risk (Amber)</b></p>	<p><b>Do business and great value</b> – this seeks to improve value for money</p>

<p>Maximise use of civic centre office space</p> <p>Access Selby</p>	<p>£45k</p>	<p>Based on additional 30 desks occupied by partners (Linked to Better Together and other opportunities) – It is expected that it will take a number of years to reach full capacity utilisation.</p> <p><b>High/Medium risk (Amber)</b></p>	<p><b>Great value</b> – this saving assumes efficiencies are achieved by working in partnership.</p>
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## FOR INFORMATION GENERAL FUND CURRENT APPROVED BIDS 2015/16 - 2017/18

## Core Bids

Portfolio Holder	Description	Strategic Theme / Priority	Revenue			Capital			Comments	Term
			15/16	16/17	17/18	15/16	16/17	17/18		
CM	To provide a Repair Assistance Loan service to provide urgent house repairs to vulnerable households in the private sector	Supporting vulnerable people				30,000	30,000		As loans are placed, a charge against the property is raised, realised at point of sale. Fund from Capital Receipts.	Fixed
			0	0	0	30,000	30,000	0		
CM	Disabled Facilities Grants (revision to current bid)  The bid aims to ensure full delivery of a mandatory housing function whilst significantly supporting the Council's commitment to vulnerable people. Disabled Facilities Grant (DFG) provides the necessary funds to provide disabled adaptations to residents to help maintain their independence at home.	Mandatory Function - Potential change in funding  Grant Funding  Supporting Vulnerable People				300,000	300,000	300,000	The Authority has a statutory duty to deliver disabled adaptations to vulnerable clients. Disabled Facilities Grant funding, which was previously provided directly to District Councils (in two tier areas) as the housing authority, has ceased and instead is allocated to the County Council through the Better Care Fund which concerns the delivery & integration of health & social care. Failure to deliver this service would leave the council open to legal challenge and if the grant funding is to cease or reduce alternative funding sources or savings would be required to deliver the same level of support.	Permanent
						-155,000	-155,000	-155,000		
			0	0	0	145,000	145,000	145,000		
CL	Replacement Finance System	Hardware Software Implementation					10,000		Fund from IT Reserve	One-Off
							70,000			
			0	0	0	0	90,000	0		
CL	Planning - Idox upgrade	Hardware				7,000			Fund from IT Reserve Reprofile - originally 2016/17. Change to ensure implementation runs along side Public Access upgrade which will ensure it remains supported, meeting PSN compliance	One-Off
			0	0	0	7,000	0	0		
CL	Data & Systems DIP Upgrade	Software						20,000	Fund from IT Reserve Reprofile to enable implementation alongside an outlook integration module	One-Off
			0	0	0	0	0	20,000		
CL	Environmental Health - M3 / Idox Upgrade	Software					10,000		Fund from IT Reserve Reprofile to enable UPRN connection into Northgate. This would link 2 x address database into 1.	One-Off
			0	0	0	0	10,000	0		
CL	Democratic Services upgrade	Software					10,000		Fund from IT Reserve	One-Off
			0	0	0	0	10,000	0		
CL	Replace Genero Housing Rents System	Hardware Software Implementation				10,000			Fund from IT Reserve	One-Off
						40,000		5,000		
			0	0	0	55,000	0	0		

## FOR INFORMATION GENERAL FUND CURRENT APPROVED BIDS 2015/16 - 2017/18

## Core Bids

Portfolio Holder	Description	Strategic Theme / Priority	Revenue			Capital			Comments	Term
			15/16	16/17	17/18	15/16	16/17	17/18		
CL	IT replacement costs for Virtual Servers, Virtual Software & Storage	Hardware Software Implementation				30,000	75,000	15,000	Fund from IT Reserve	Fixed
						10,000	15,000	5,000		
			0	0	0	40,000	120,000	20,000		
CL	Benefits & Taxation - Additional Software to meet Government regulations	Software Implementation				10,000	10,000	10,000	Fund from IT Reserve	Permanent
						5,000	5,000	5,000		
			0	0	0	15,000	15,000	15,000		
JM	Viability Assessment for Affordable Housing	The Council's Core Strategy Local Plan introduces a new threshold for the requirement to provide a contribution towards affordable housing.	11,790	11,790	11,790				Proposals for 1-9 dwellings will now be required to provide a 10% contribution towards providing affordable housing. Furthermore the threshold for the requirement for a 40% contribution will fall from 15 to 10 dwellings.	Permanent
	<b>Net Cost of Bid</b>		11,790	11,790	11,790	0	0	0		
JM	New Local Plan for Selby District to cover both Sites Allocations and Development Management policies (the new Sites and Policies Plan (SAPP))	Changing places, Living Well and Tackling the Tough Stuff themes		70,000					SAPP Examination in Public over and above LDF funding availability. The progression of the SAPP will aim to deliver both the housing and employment needs in the Core Strategy bringing jobs to the District and New Homes Bonus. Fund from Contingency Reserve.	One-Off
	<b>Net Cost of Bid</b>		0	70,000	0	0	0	0		
	<b>Total Value of approved Core Bids</b>		11,790	81,790	11,790	292,000	420,000	200,000		

## GENERAL FUND NEW BIDS 2015/16 - 2017/18

## New Bids - Core

Portfolio Holder	Description	Strategic Theme / Priority	Revenue			Capital			Comments	Term
			15/16	16/17	17/18	15/16	16/17	17/18		
MC	Bid to cover the cost of a Stock Condition Survey. To survey all industrial units, Commercial Premises and Car Parks to include recommendations for a planned maintenance programme.	Being Switched on -making sure that assets are fit for purpose	35,000						Survey only. Fund from Buildings Reserve	One-Off
			35,000	0	0	0	0	0		
CM	Replacement Car Parking Ticket Machines . Existing machines are becoming obsolete and replacement parts are not available and also will not be able to be adapted to take the new £1 coin. New machines will be able to accept card and phone payments. 13 machines at Approx 4K =£52	A Stronger Council - making decisions on what assets are required in the future Being Switched on -making sure that assets are fit for purpose					52,000		Can link in to the above bid as part of Town Centre Regeneration and consider as part of a wider investment in Car Parks.	One-Off
			0	0	0	0	52,000	0		
GI	This Bid is to fund the Selby Rural Partnership arrangement, part of the North Yorkshire Rural Partnership.	Changing places and helping others to see our district through new eyes  Working with others to make this a great place with people living well and leading happy and healthy lives.	1,500	1,500	1,500				To not have this in place will risk non-engagment in villages and non-delivery of additional housing which will impact on the delivery of housing numbers and put the Core Strategy and our Allocations Plans at risk.	Fixed
			1,500	1,500	1,500	0	0	0		
GI	This Bid will support Landlord Accreditation Scheme, Tenant Find Scheme, Private Leasing Scheme/Managed Leasing Service, Empty Homes Management and High level enforcement advice	A Great Place to Enjoy Life'.  A great place to make a Difference'	46,227	38,227	38,227				This proposal would provide the staff resource required to deliver a 'fit for purpose' private sector housing service. Whilst the proposal has been born from the scoping work carried out in relation to delivering the Empty Homes Strategy, it extends this scope to build links with all the private sector.	Permanent
			46,227	38,227	38,227	0	0	0		
CL	Out of date software that fails to support the organisations requirements moving forward. To ensure that there is no unsupported software on the network and fail PSN compliance. IDOX Planning software upgrade				10,000			60,000	Fund from IT Reserve	One-Off
			0	0	10,000	0	0	60,000		
CL	Out of date software that fails to support the organisations requirements moving forward. To ensure that there is no unsupported software on the network and fail PSN compliance. Northgate PARIS Replacement Software				15,000			100,000	Fund from IT Reserve	One-Off
			0	0	15,000	0	0	100,000		
CL	Out of date software that fails to support the organisations requirements moving forward. To ensure that there is no unsupported software on the network and fail PSN compliance. Northgate REVS & BENS Replacement Software				8,000			60,000	Fund from IT Reserve	One-Off
			0	0	8,000	0	0	60,000		
<b>Total Value of New Core Bids</b>			<b>82,727</b>	<b>39,727</b>	<b>72,727</b>	<b>0</b>	<b>52,000</b>	<b>220,000</b>		

## Funding

ICT Reserve					0	0	220,000
Building Repairs Reserve	35,000				0	52,000	0
Revenue	47,727	39,727	72,727				
	<b>82,727</b>	<b>39,727</b>	<b>72,727</b>		<b>0</b>	<b>52,000</b>	<b>220,000</b>

## FOR INFORMATION HOUSING REVENUE ACCOUNT CURRENT APPROVED BIDS 2015/16 - 2017/18

## Core Bids

Portfolio Holder	Description	Strategic Theme / Priority	Revenue			Capital			Comments	Term
			15/16	16/17	17/18	15/16	16/17	17/18		
CL	Pointing of Properties  Early findings from the Stock Condition Survey identify a need for pointing, will assist in maintaining the integrity of the property and assist in preventing problems with damp. The budget will allow for approximately 110 complete properties particularly in outlying villages that have the greatest wind exposure.	Effectively maintain the condition of the SDC housing stock				300,000	300,000	300,000	On-going need identified to point or part-point current housing stock. Up to 10,000m2 to be actioned per year.  Work identified not part of current programme. By addressing this issue, it is anticipated savings can be made on damp works in the longer term.	Permanent
	<b>Net Cost of Bid</b>		0	0	0	300,000	300,000	300,000		
CL	Electrical rewires of SDC housing stock - current capital programme includes permanent budget approval for rewires. This bid reflects the savings arising through bringing the periodical electrical testing in house and focused targeting of the work. Maintaining period testing ensures compliance with regulations and ensures tenant safety.	Effectively maintain the condition of the SDC housing stock				260,000	260,000	260,000		Permanent
	<b>Net Cost of Bid</b>		0	0	0	260,000	260,000	260,000		
CL	Central heating solid fuel to gas programme - adjustment to current programme to reflect changes in cost for 2015/16.  Improved servicing has led fewer failures resulting in fewer solid fuel systems being replaced causing less disruption to tenants.	Effectively maintain the condition of the SDC housing stock				157,500				Permanent
	<b>Net Cost of Bid</b>		0	0	0	232,500	75,000	75,000	Not as many required at this time See new bid saving.	
CL	Funding to cover costs of replacement roofing to SDC housing stock . The bid allows for approximately 44 roof replacements at an average cost of £4,800. Full roof replacements eliminates damage from water ingress ensures the property is habitable reduces the risk of falling tiles.	Effectively maintain the condition of the SDC housing stock				560,000				Fixed
	<b>Net Cost of Bid</b>		0	0	0	210,000	0	0	The current capital programme has £560k approved for 2015/16	
CL	Damp survey & consequential repair works additional costs - the current approved programme requires additional resources to fund the issues arising within the housing stock as a consequence of failing damp courses. Different methods are being utilised to eliminate condensation and damp in properties to ensure properties are dry and remove the risk to health from a damp environment.	Effectively maintain the condition of the SDC housing stock				300,000	300,000	300,000		Permanent
	<b>Net Cost of Bid</b>		0	0	0	300,000	300,000	300,000	Reprofile - see new bid saving	
CL	Door replacement programme. To assist in ensuring properties are secure for our tenants.	Effectively maintain the condition of the SDC housing stock				134,000	50,000	50,000		Fixed
	<b>Net Cost of Bid</b>		0	0	0	134,000	50,000	50,000		
CL	The programme of replacement kitchens has progressed well and the base funding of £237k within the capital programme is adequate to fund approximately 100 new kitchens per year in programmed areas to maintain decency.	Effectively maintain the condition of the SDC housing stock				237,000	237,000	237,000		Permanent
	<b>Net Cost of Bid</b>		0	0	0	237,000	237,000	237,000		
CL	Pre paint & cyclical repairs. To prolong the life of timber components on a 6 year rolling programme and enhance the appearance of properties.	Effectively maintain the condition of the SDC housing stock				113,000	113,000	113,000		Permanent
	<b>Net Cost of Bid</b>		0	0	0	113,000	113,000	113,000	Programme includes £113k for rolling programme of work	

## FOR INFORMATION HOUSING REVENUE ACCOUNT CURRENT APPROVED BIDS 2015/16 - 2017/18

## Core Bids

Portfolio Holder	Description	Strategic Theme / Priority	Revenue			Capital			Comments	Term
			15/16	16/17	17/18	15/16	16/17	17/18		
CL	Void Property repairs - continuation of the programme This work assists in maximising the stock available for rental.	Effectively maintain the condition of the SDC housing stock				53,500	53,500	53,500	This will help maintain the void turnaround targets.	Permanent
	<b>Net Cost of Bid</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>53,500</b>	<b>53,500</b>	<b>53,500</b>		
CL	Budget to improve Central Heating by converting Economy 7 to Gas A reprofile of works not completed previously due to reduced failures and tenants choice.	Effectively maintain the condition of the SDC housing stock				200,000				Fixed
			<b>0</b>	<b>0</b>	<b>0</b>	<b>200,000</b>	<b>0</b>	<b>0</b>		
CL	Budget to install Gas central heating and replace old systems Continuing the rolling programme of boiler replacement to ensure properties have effective heating and hot water.	Effectively maintain the condition of the SDC housing stock				575,480	575,480	575,480		Permanent
			<b>0</b>	<b>0</b>	<b>0</b>	<b>575,480</b>	<b>575,480</b>	<b>575,480</b>		
CL	Bathroom replacements In order to assist in meeting decency standards som bathrooms are nowover 30 years old, none have been repalced since 2010 unless in emergency.	Effectively maintain the condition of the SDC housing stock				180,000	180,000	180,000	This will help to prevent homes failing to meet the Decent homes standards	Permanent
	<b>Net Cost of Bid</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>180,000</b>	<b>180,000</b>	<b>180,000</b>		
	<b>Net Cost of HRA Bids</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>2,795,480</b>	<b>2,143,980</b>	<b>2,143,980</b>		

## HOUSING REVENUE ACCOUNT NEW BIDS 2015/16 - 2017/18

## Core Bids

Portfolio Holder	Description	Strategic Theme / Priority	Revenue			Capital			Comments	Term
			15/16	16/17	17/18	15/16	16/17	17/18		
CL	There is currently a need to repair the Fencing to approximately 290 properties across the district. This bid will result in secure gardens and enhance the appearance of properties.	Being Switched on -making sure that assets are fit for purpose				40,000	40,000			Fixed
	<b>Net Cost of Bid</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>40,000</b>	<b>40,000</b>	<b>0</b>		
CL	New Legislation came into force in 2012 that requires Asbestos condition Surveys which are currently not up to date. Existing condition Surveys need updating and this Bid is to contribute to these increased costs.	Being Switched on -making sure that assets are fit for purpose				30,000	30,000	30,000		Fixed
	<b>Net Cost of Bid</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>30,000</b>	<b>30,000</b>	<b>30,000</b>		
CL	Solid fuel replacement, lower than anticipated demand together with better servicing has resulted in less replacements and a lower budget requirement.	Being Switched on -making sure that assets are fit for purpose				-157,500			Reduction	Fixed
	<b>Net Cost of Bid</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>-157,500</b>	<b>0</b>	<b>0</b>		
CL	Reduce amount of Damp budget due to new surveys being more accurate and lower level of work anticipated because of pointing Bid.	Being Switched on -making sure that assets are fit for purpose				-50,000	-50,000	-50,000	Reduction	Fixed
	<b>Net Cost of Bid</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>-50,000</b>	<b>-50,000</b>	<b>-50,000</b>		
CL	Replacement of existing fire alarm system at St Wilfrids Court to meet current required standards.	Ensuring assets are fit for purpose, improve the value for money of our assets, increasing the rate of return and ensuring our assets contribute to our objectives.				25,000				One-off
	<b>Net Cost of Bid</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>25,000</b>	<b>0</b>	<b>0</b>		
CL	Major refurbishment at Laurie Backhouse Court. The scheme will ensure essential improvements are carried out in order to maintain the condition of the property at an acceptable level.	Ensuring assets are fit for purpose, improve the value for money of our assets, increasing the rate of return and ensuring our assets contribute to our objectives.				200,000				One-off
	<b>Net Cost of Bid</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>200,000</b>	<b>0</b>	<b>0</b>		
CL	The Environmental Improvement Plan will fund and deliver community based works that make a lasting and noticeable improvement to the estates, neighbourhoods and communities across the Selby district area.	New Corporate priority 'A Great Place to Enjoy Life'. And, through engaging with the community 'A great place to make a Difference'				160,000	160,000	160,000	Funded from Access Selby HRA Reserve.	Fixed
	<b>Net Cost of Bid</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>160,000</b>	<b>160,000</b>	<b>160,000</b>		
	<b>Net Cost of Core HRA Bids</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>247,500</b>	<b>180,000</b>	<b>140,000</b>		

## Funding

HRA Major Repairs Reserve	87,500	20,000	-20,000
Access Selby HRA Reserve	160,000	160,000	160,000
	<b>247,500</b>	<b>180,000</b>	<b>140,000</b>

<b>Reserves</b>															
<b>Description</b>	<b>Estimated Balance 31 March 14</b>	<b>Use</b>	<b>Contribs</b>	<b>Estimated Balance 31 March 15</b>	<b>Use</b>	<b>Contribs</b>	<b>Estimated Balance 31 March 16</b>	<b>Use</b>	<b>Contribs</b>	<b>Estimated Balance 31 March 17</b>	<b>Use</b>	<b>Contribs</b>	<b>Estimated Balance 31 March 18</b>	<b>Comments</b>	
	<b>£000's</b>	<b>£000's</b>	<b>£000's</b>	<b>£000's</b>	<b>£000's</b>	<b>£000's</b>	<b>£000's</b>	<b>£000's</b>	<b>£000's</b>	<b>£000's</b>	<b>£000's</b>	<b>£000's</b>	<b>£000's</b>		
<b>Revenue Reserves</b>															
<b>General Fund</b>															
<b>Reserves to fund future commitments:</b>															
PFI Scheme	2,406	- 391	386	2,401	- 400	380	2,381	- 412	399	2,368	- 423	401	2,346		
ICT	630	- 520	200	310	- 248	200	262	- 263	200	199	- 293	200	106		
Building Repairs & Projects	673	- 524	130	279	- 38	130	371	- 65	130	436	- 3	130	563		
Election	97	-	30	127	- 80	30	77	-	34	111	-	34	145		
Tadcaster Central Area	273	- 273		-			-			-			-	Transfer balance to Programme for Growth (earmark for Tadcaster projects)	
Industrial Units	60	- 24		36			36			36			36		
Open Space Maintenance	11	-		11			11			11			11		
	4,150	- 1,732	746	3,164	- 766	740	3,138	- 740	763	3,161	- 719	765	3,207		
<b>Reserves to fund growth and improvement:</b>															
Special Projects (Programme for Growth)	2,417	- 2,482	2,239	2,174	- 2,705	999	468	- 174	880	1,174	- 170	880	1,884	Assumes allocated resources to 2014/15 are spent as planned	
Special Projects (Non PFG commitments)	567	- 567		-			-			-			-	£167k balance transferred to Programme for Growth	
Discretionary Rate Relief Fund	300	-		300	-		300	-		300	-		300		
NYCC Collaboration	250	-		250	- 100		150	- 100		50	- 50		-		
Business Development (Spend To Save)	272	-	228	500	-		500	-		500	-		500		
	3,806	- 3,049	2,467	3,224	- 2,805	999	1,418	- 274	880	2,024	- 220	880	2,684		
<b>Reserves to mitigate financial risk:</b>															
Pensions Equalisation Reserve	600	- 600	186	186	-	181	367	-	183	550	-	183	733	£600k transferred to Programme for Growth	
NDR Equalisation	3,610	- 3,282	361	689	- 164		525	- 164		361	- 164		197	Sufficient balance for further 2 years cover down to safety net	
Planning Inquiries	100	- 100		-			-			-			-		
Access Selby	640	- 432		208	- 92	79	195	-	114	309	- 50	150	409	£100k Transferred to Programme for Growth To mitigate financial risk for Access Selby - contributions subject to in year surpluses	
Contingency	553	- 53		500	-		500	-		500	-		500	Funds to cover planning appeals and inquiries plus other unforeseen items	
General Fund	1,674	- 174		1,500	- 33		1,467	-	227	1,694	-	192	1,886	Working Balance - funding of last resort	
	7,177	- 4,641	547	3,083	- 289	260	3,054	- 164	524	3,414	- 214	525	3,725		
<b>Other Reserves:</b>															
Sherburn Amenity Land	10	- 10		-			-			-			-	Transfer to Programme for Growth (earmark for Sherburn projects)	
Wheeled Bins	18	- 18		-			-			-			-	No calls on this funding - transfer to Programme for Growth	
	28	- 28		-			-			-			-		
<b>Sub Total</b>	<b>15,161</b>	<b>- 9,450</b>	<b>3,760</b>	<b>9,471</b>	<b>- 3,860</b>	<b>1,999</b>	<b>7,610</b>	<b>- 1,178</b>	<b>2,167</b>	<b>8,599</b>	<b>- 1,153</b>	<b>2,170</b>	<b>9,616</b>		
<b>HRA</b>															
HRA Unallocated Balance	1,188	-		1,188	-		1,188	-		1,188	-		1,188		
HRA Access Selby Reserve	911	-	14	925	- 160	47	812	- 160	59	711	- 160	87	638		
Major Repairs Reserve - Capital Programme	91	- 3,691	3,713	113	- 2,883	3,934	1,164	- 2,164	4,167	3,167	- 2,124	4,350	5,393		
Major Repairs Reserve - Debt Repayment	2,350	-	1,260	3,610	-	1,260	4,870	-	1,260	6,130	-	1,260	7,390		
<b>Sub Total</b>	<b>4,540</b>	<b>- 3,691</b>	<b>4,987</b>	<b>5,836</b>	<b>- 3,043</b>	<b>5,241</b>	<b>8,034</b>	<b>- 2,324</b>	<b>5,486</b>	<b>11,196</b>	<b>- 2,284</b>	<b>5,697</b>	<b>14,609</b>		
<b>Total Revenue Reserves</b>	<b>19,701</b>	<b>- 13,141</b>	<b>8,747</b>	<b>15,307</b>	<b>- 6,903</b>	<b>7,240</b>	<b>15,644</b>	<b>- 3,502</b>	<b>7,653</b>	<b>19,795</b>	<b>- 3,437</b>	<b>7,867</b>	<b>24,225</b>		
<b>Capital Reserves</b>															
Capital Receipts**	3,616	- 3,240	561	937	- 175	665	1,427	- 175	510	1,762	- 145	510	2,127		
Capital Receipts (Special Projects P4G)	493	- 721	228	-			-		1,000	1,000	-		1,000		
	<b>4,109</b>	<b>- 3,961</b>	<b>789</b>	<b>937</b>	<b>- 175</b>	<b>665</b>	<b>1,427</b>	<b>- 175</b>	<b>1,510</b>	<b>2,762</b>	<b>- 145</b>	<b>510</b>	<b>3,127</b>		



# **MAJOR BUDGETS RISK ASSESSMENT 2015/16**



**1.0 BACKGROUND:**

- 1.1 This paper provides a risk assessment for material items of revenue income and expenditure. It identifies those significant budgets where the risk of over or underachievement is greatest, including budgets which are particularly volatile or susceptible to fluctuation as a result of external factors, and attempts to quantify the financial risk to Access Selby, Communities Selby and the Core of the Council.
- 1.2 Inflation is an important factor for the Council’s budgets, and can have an impact when rates are high relative to income growth. The Council is also locked into some large contracts (e.g. Streetscene - £3.8m) which use the RPI for the rate of uplift, and these alone can add considerable risk to the relevant expenditure budgets.

**CORE**

**2.0 INVESTMENT INTEREST**

- 2.1 The low bank base rate continues to challenge our investment returns. Investment rates are currently in the 0.38% - 1.00% range dependent on the length and counterparty involved. Due to the economic situation forecasters are not expecting a rise in the base rate until at least 2015. With this in mind 1.25% has been used for budget calculations for 2015/16. If this level fails to be achieved the impact of reduced rates is shown below.

Sensitivity Analysis	Interest Rate		
2015/16 Budget	0.9% Average interest rate	1.0% Average interest rate	1.1% Average interest rate
200,000	144,000	160,000	176,000

Sensitivity: High      Impact: Medium      Risk: High

**ACCESS SELBY, CORE and COMMUNITIES SELBY**

**3.0 SALARIES AND WAGES**

- 3.1 Salaries and Wages form a major expenditure for Access Selby and the Core with total budgets for 2015/16 at £6.30m.
- 3.2 Variances to the budgets can come from the following pressures:
- Vacancies (downward pressure).
  - Service pressures – unexpected requirement for overtime eg, backlogs in work or cover for sickness absence (upward pressure).
  - Maternity leave (upward pressure – due mainly to Access Selby’s reduced staffing resources).
  - Sickness absence – short term sickness generally has no financial implications. Long term sickness absence is likely to require posts to be

covered to maintain service performance, for example by overtime or temporary staff (upward pressure).

- 3.3 Although the new delivery arrangements have seen a reduction in employee numbers, this is seen to increase the risk on the budget, as there are less staff available to meet any subsequent pressures. Also, the size of the budget means that a minor change can result in a significant variance.
- 3.4 Access Selby has seen an underspend in salaries and wages in its first 2 years of existence, and it is predicted that this will be the same in year 3. Although there have been underspends within the Core also, these are not to the same extent as there has been a much more settled structure.

Sensitivity Analysis

2015/16 Budget		1.0% Variance	2.5% Variance	5.0% Variance
Salaries	Access Selby	57,312	143,280	286,560
	Core	5,702	14,255	28,510

Sensitivity: Medium      Impact: High      Risk: Medium

- 3.5 The Local Government Pension Scheme and its funding have been and continue to be the subject of change. The main cost pressure is the under performance of the Fund, together with increases in pension fund membership, and although the latter has not been significant in the past, changes introduced in 2011/12 mean that employees who have previously opted out of the scheme will be automatically re-entered every 3 years, bringing a potential increase in cost if those employees do not choose to opt out again. In 2015/16 the Employer’s contribution is based on a future service rate of 12.7% together with a lump sum of £713,100.
- 3.6 The last actuarial valuation was April 2014, and this brought bring a net 2% increase in rates. The back funding element is a fixed lump sum contribution, and is only liable to inflationary increases. The predicted 2% has been included in the budget. Any variation over and above this will impact as per the figures below.

Sensitivity Analysis

2015/16 Budget		1% Variance	5% Variance	10% variance
‘Ers Superannuation	Access Selby	5,454	27,270	54,540
	Core	571	2,855	5,709
Back Funding	Lump Sum Contb’n	7,131	35,655	71,310

Sensitivity: Low      Impact: Medium      Risk: Low

**ACCESS SELBY**

**4.0 HOUSING AND COUNCIL TAX SUPPORT:**

- 4.1 The Budget for Housing Benefit payments is estimated to be £17.175m in 2015/16. The calculation takes into account Rental Price Increases and the current economic climate. Housing Benefit roughly equates to the Government

Grant, if we include money recovered from over payments (£122,500). The recovery level is at risk in difficult economic times creating a risk factor.

Sensitivity Analysis

2015/16 Budget	1% Variance	5% Variance	10% Variance
Recovery Variance	1,225	6,125	12,250

Sensitivity: High

Impact: Low

Risk: High

- 4.2 From April 2013 Council Tax Benefit became Council Tax Support. In 2015/16 this fixed pot of money from Central Government will be about £3.94m. SDC's risk is that any overpayment will result in a 10.8% liability to the Council. The rest is covered by the NYCC, Fire and Police Authority. This is a major change and increases the risk to the Council and other Precepting bodies.

Sensitivity Analysis

2015/16 Budget	1% Variance	5% Variance	10% Variance
Benefits Paid	39,843	199,214	398,428
SDC Exposure (10.8%)	4,303	21,515	43,030

Sensitivity: Medium

Impact: Low

Risk: Medium

**5.0 ENERGY COSTS (various budgets):**

- 5.1 Energy costs are difficult to predict with precision as they are affected by both volume of consumption and price. The Council procures energy through a framework contract although transfer of responsibilities for the leisure centre / gymnasium to WLCT and the joint arrangements with the NHS for the new Civic Centre mean that our direct procurement of energy has reduced, albeit with some degree of loss of control.

Sensitivity Analysis

2015/16 Budget	10% Variance	20% Variance	30% variance
Gas 48,030	4,803	9,606	14,409
Electricity 128,000	12,800	25,600	38,400
Total 176,030	17,603	32,206	52,809

Sensitivity: High

Impact: Medium

Risk: Medium

**6.0 LEISURE SERVICES CONTRACT:**

- 6.1 At the beginning of September 2009, the responsibility for the management of the Council's leisure facilities transferred to Wigan Leisure and Culture Trust. The financial performance of the contract is monitored to ensure that the arrangements are sustainable.
- 6.2 The Council, as landlord of the properties used by WLCT, retains a responsibility for maintaining them. A 10 year maintenance programme is supported by an earmarked revenue reserve.

- 6.3 In late February 2012, the contract was severely affected by a major fire at the Abbey Leisure Centre. The resulting loss of leisure provision in the district has necessitated a variation to the contract, taking into account the replacement gym and dance floor facilities as a result of converting the former Walkers bingo hall. As the decision has now been taken to replace the leisure centre with a smaller facility which is anticipated to open Spring 2015, it may be that the contract will not return to previous levels.

Sensitivity Analysis

2015/16 Budget	1% Variance	5% Variance	10% variance
300,970	3,010	15,049	30,097

Sensitivity: Low

Impact: Low

Risk: Low

**7.0 WASTE COLLECTION:**

- 7.1 With effect from October 2009, the Council introduced an alternate weekly bin collection system as part of a new Streetscene contract with Amey PLC. A sum of £1,782,100 is included in the 2015/16 budgets for contractor payments and waste disposal charges made by the County Council.
- 7.2 Contained within the contract is an annual price review, to be effective on the anniversary of the commencement of the agreement. To allow RPI to be used as an inflation factor, an additional 1% was added to the tender price at the start of the contract, with RPI as at September being used to inflate this adjusted base price each subsequent year. The contract also absorbs any additional cost pressure from increased properties, unless such additions require a fundamental change (i.e. an additional round / refuse vehicle). The forecast growth in property numbers over the next five years indicate that at least an extra 450 properties per year will be built in the district. Discussions are taking place with Enterprise to agree a target of additional properties that will necessitate a variation to the contract.
- 7.3 The County Council charges relate to the disposal of trade waste. Currently these are £80 (Land Fill Tax) and £14.02 (Disposal Charges). Both items are multiplied by the latest estimated tonnage figures which then form part of the pricing calculations which aim to return a small surplus. With regard to tonnage the estimates are based upon the latest information and to the extent that tonnage is not certain, there is the risk that there may be some variance to the original budget.
- 7.4 With regard to price, it is expected that the land fill price per tonne for 2015/16 will increase by £2 (2.5% increase), and disposal charges will increase by £0.32 (2.28% increase).

Sensitivity Analysis

2015/16 Budget	1% Variance	5% Variance	10% variance
Contractor Costs	16,241	81,203	162,406
County Council Charges	1,580	7,902	15,804

Sensitivity: Medium

Impact: Medium

Risk: Medium

7.5 Income from refuse collection charges is now in the region of £560k per annum (£532k of which relates to trade refuse income). This is an increase of £32,500 over the 2014/15 latest estimate. Like any other business, income from this source is subject to increasing competition from other providers, and from the tough economic conditions currently being encountered, although the impact from a review of prices, that will bring the service closer to its competitors, may help. These prices are calculated to make the service a small surplus and are agreed as part of the annual fees and charges review.

Sensitivity Analysis

2015/16 Budget	1% Variance	5% Variance	10% variance
Commercial Waste Income	5,323	26,615	53,229
Domestic Waste Income	275	1,373	2,745

Sensitivity: High

Impact: Medium

Risk: Medium

**8.0 RECYCLING:**

8.1 A sum of £1,782,100 is included in the 2015/16 budgets for contractor charges. These relate to the fees that the Council pays to the various companies that process commodities for recycling. The main items for recycling are green waste, paper, glass, plastic containers/bottles and cans. Excluding the contract sum to paid to Amey PLC, the remaining costs are variable as the price and tonnage can vary throughout the year due to seasonal trends (green waste) and market forces. This is shown below as the figures in Table 1 below demonstrate.

**Table 1**

Year	Original Estimate £	Outturn £	Variance	
			£	%
2010/11	1,505,280	1,448,922	-56,538	-3.76
2011/12	1,514,470	1,341,602	-172,868	-11.41
2012/13	1,424,630	1,411,465	-13,165	-0.92
2013/14	1,470,930	1,496,087	25,157	1.71
2014/15	1,516,530	*1,516,530	0	0
2015/16	1,581,090			

\* Forecast Outturn

8.2 On average the estimates have been under by 2.88%. There is a risk that this could occur again – if so the cost would be £1,535,555. However, linked to the cost of recycling is the income received from the County Council as recycling credits. The pattern over recent years is shown in Table 2: As can be seen due to strong recycling activity in the current financial year, it is anticipated that both costs and recycling credit income will exceed the budget.

**Table 2**

Year	Original Estimate £	Outturn £	Variance	
			£	%
2009/10	-412,500	-507,107	94,607	22.94
2010/11	-429,000	-491,333	62,333	14.53
2011/12	-491,000	-507,091	16,091	3.28
2012/13	-492,800	-592,639	99,839	20.26
2013/14	-492,800	-892,336	399,536	81.07
2014/15	-492,800	*-650,000	157,200	31.90
2015/16	-672,800			

\* Forecast Outturn

- 8.3 As the cost per tonne charged and the recycling credit per tonne are not directly related, the correlation between expenditure and income is not direct. The County Council have decided that the 2015/16 recycling credit will be £47.14 per tonne. This rate is increased by 3% year on year until amended by government guidance.
- 8.4 Taking the External Fees and Recycling Credits together, the fixed costs of Amey PLC do not fluctuate relevant to the volume collected. Therefore the remaining risk is with charges levied by other contractors to process waste. This is assessed as follows:

**Sensitivity Analysis**

2014/15 Budget	Budget	1% Variance	5% Variance	10% variance
Enterprise Costs	1,395,160	N/A	N/A	N/A
Other Contractors	121,380	1,214	6,069	12,138
Recycling Credits	-492,800	-4,928	-24,640	-49,280
Total	1,023,740	-3,714	-18,571	-37,142

Sensitivity: Low

Impact: Low

Risk: Medium

**9.0 SALE OF RECYCLABLES**

- 9.1 The Council's contractors, Amey PLC are now responsible for the management and sale of material sold for recycling. An income share mechanism has been agreed between the Council and Amey PLC whereby the Council achieves a guaranteed income from the sale of recyclates and Amey PLC can recoup some additional costs through the income generated. A profit share is then applied whereby Amey PLC receives 30% of the remaining income generated and the Council receives 70%. Due to a major slump in the market price, and the on-going volatility in the level of demand, there could well be pressure on this budget for the foreseeable future.

**Sensitivity Analysis**

2015/16 Budget	1% Variance	5% Variance	10% variance
120,000	1,200	6,000	12,000

Sensitivity: High

Impact: Low

Risk: Medium

**10.0 PLANNING APPLICATION FEES:**

10.1 Income from planning application fees is budgeted at £540,230 for 2014/15. The pattern over recent years is shown in Table 3:

**Table 3**

Year	Original Estimate £	Outturn £	Variance	
			£	%
2009/10	461,580	572,075	110,495	23.94
2010/11	561,580	373,330	-188,250	-33.50
2011/12	561,580	460,475	-101,105	-18.00
2012/13	*857,020	509,538	-347,482	-40.55
2013/14	540,230	522,988	-17,242	-3.19
2014/15	540,230	**540,230	0.00	0.00
2014/15	559,150			

\* Includes a savings target

\*\* Forecast outturn

10.2 The housing market has started to show signs of improvement, and if this trend continues it may have a positive effect on application and income levels in 2015/16. Although lower value applications may increase, there is still considerable volatility in the submission of larger applications. This unpredictability means that this area has a high degree of sensitivity and therefore should continue to be monitored closely.

10.3 The budget for 2015/16 has been set at £559,150 as planning fees are very dependent on economic levels of activity, and as outlined above until the situation improves considerably, income levels may remain flat.

**Sensitivity Analysis**

2015/16 Budget	10% Variance	20% Variance	30% variance
559,150	55,915	111,830	167,745

Sensitivity: High

Impact: High

Risk: High

**11.0 COUNCIL TAX COURT COSTS (income)**

11.1 Owing to a more effective and embedded recovery procedure, accounts reaching the summons stage remain fairly consistent. This area is still fairly sensitive to the state of the economy.

**Sensitivity Analysis**

2015/16 Budget	10% Variance	20% Variance	30% variance
138,000	13,800	27,600	41,400

Sensitivity: Medium

Impact: Medium

Risk: Low

**12.0 INDUSTRIAL UNIT RENTS**

12.1 The industrial units are managed by Access Selby on behalf of SDC and its partners. The ground rent was revised in 2010/11 as a result of an independent rent review. The maintenance rent has been adjusted in line with the anticipated change in maintenance costs.

12.2 Industrial Unit rents are at risk as they vary depending on the occupancy rate of each unit, the rental is calculated at between 85% and 95% of full occupancy as all the units are rarely 100% occupied with the exception of Hurricane Industrial Units currently 100% occupied. Due mainly to the economic downturn, the units are experiencing varying levels of occupancy and after a certain period of time being unoccupied will also become liable for NNDR. Table 4 below shows estimated and actual income levels since 2009/10.

**Table 4**

Year	Original Estimate £	Outturn £	Variance	
			£	%
2009/10	197,430	146,441	-50,989	-25.83
2010/11	173,420	149,078	-24,342	-14.04
2011/12	173,790	189,480	15,690	9.03
2012/13	185,860	192,650	6,790	3.65
2013/14	185,770	178,685	-7,085	-3.81
2014/15	191,470	*174,336	-17,144	-8.95
2015/16	189,190			

\* Forecast Outturn

**Sensitivity Analysis**

2015/16	5% Variance	10% Variance	15% Variance
189,190	9,460	18,919	28,379

Sensitivity: Medium

Impact: Medium

Risk: Medium

**13.0 CAR PARK PAY AND DISPLAY INCOME**

13.1 Car parking income has a separate policy for increasing fees which is reviewed bi-annually in accordance with the policy agreed in July 2006.

13.2 A review of car parking charges was agreed by the Executive in June 2014. It was agreed to freeze car parking charges until 31<sup>st</sup> March 2016 in accordance with the biannual review cycle. This was put forward on the basis that analysis identified evidence of spare capacity and that the majority of car parks had seen a drop in average usage since the last review in 2011. Table 5 below shows the estimated and actual income since 2009/10.

**Table 5**

Year	Original Estimate £	Outturn £	Variance	
			£	%
2009/10	273,000	305,589	32,589	11.94
2010/11	302,000	298,026	-3,974	-1.32
2011/12	308,000	301,620	-6,380	-2.07
2012/13	304,802	303,905	-897	-0.29
2013/14	385,030	328,311	-56,719	-14.73
2014/15	356,930	*350,000	-6,930	-1.94
2015/16	356,930			

\* Forecast outturn



Sensitivity Analysis

2015/16 Budget	1% Variance	5% Variance	10% variance
350,000	3,500	17,500	35,000

Sensitivity: High

Impact: Medium

Risk: High

**14.0 INCOME FROM DOMESTIC AND TRADE WASTE COLLECTION**

14.1 Income is derived from two main sources, the collection and disposal of commercial waste from non-domestic premises, and the collection of bulky household waste from domestic properties. The commercial waste budgets for 2015/16 have been set to take into account the increased disposal costs from the County Council, and an inflationary increase, the result of which are prices that offer competitive services to customers within the district.

14.2 There should be little risk to the domestic waste income, as sales of bins and boxes, and use of the bulky refuse collection service are expected to achieve the budgets set.

Sensitivity Analysis

2015/16 Budget	1% Variance	5% Variance	10% variance
559,740	5,597	27,987	55,974

Sensitivity: Low

Impact: Medium

Risk: Medium

**15.0 LAND CHARGES INCOME**

15.1 Land Charges fees are set in line to recover the cost of the service. In addition Land Charges income is particularly susceptible to external factors such as the movement in the property market, and the option for house buyers to facilitate gathering of information in the most economical way by undertaking elements of the searches themselves.

15.2 The housing market has begun to show some signs of recovery. The budget for 2015/16 has been set at existing levels until the effect of various initiatives begins to increase income levels, although the unpredictability of this area means it has a high degree of sensitivity and therefore should be monitored closely.

Sensitivity Analysis

2015/16 Budget	10% Variance	20% Variance	30% variance
122,440	12,244	24,488	36,732

Sensitivity: High

Impact: Low

Risk: Medium

**16.0 LICENSING ACT 2003 INCOME**

16.1 Licensing charges fees are set by central government and increases are governed by direction from them.

16.2 Licensing Act 2003 income which forms the largest element has the potential to be volatile as it depends on the number of applications for variables such as temporary events notices.

Sensitivity Analysis

2015/16 Budget	1% Variance	5% Variance	10% variance
60,000	600	3,000	6,000

Sensitivity: Medium

Impact: Low

Risk: Low

**17.0 BUILDING CONTROL**

- 17.1 Selby District Council is one of five partners forming the North Yorkshire Building Control Partnership. The Building Control Partnership is experiencing reduced levels of business due to the economic slowdown, with income levels down. The partnership has had to make significant changes and savings to streamline the service to reduce costs to offset the shortfall in income.
- 17.2 The Partnership is now in a more stable financial position for 2014/15 if a deficit was to be made under the legal agreement each partner would be expected to make additional contributions to maintain a minimum reserve balance. The Building Control Board on the 25<sup>th</sup> January 2012, approved increased contributions from each Council to mitigate any losses on non-chargeable works.
- 17.3 It is not currently anticipated that additional contributions may be required to be made by Selby District Council during 2014/15.

**Table 6**

Year	Original Estimate £	Actual / Projected Outturn £	Variance	
			£	%
2009/10	39,650	69,650	30,000	75.66
2010/11	40,090	21,995	(18,095)	(45.13)
2011/12	36,050	59,048	22,998	63.79
2012/13	55,000	52,927	(2,073)	(3.77)
2013/14	42,240	70,211	27,971	66.21
2014/15	58,360	58,360		
2015/16	59,280			

Sensitivity Analysis

2015/16 Budget	10% Variance	25% Variance	50% variance
59,280	5,928	14,820	29,640

Sensitivity: Medium

Impact: Medium

Risk: Medium

**18.0 SUPPORTING PEOPLE**

- 18.1 Services in respect of the homeless and services for older persons, delivered by Access Selby, are currently funded through the national supporting people funding framework administered by North Yorkshire County Council. Currently funding is being reduced and restricted to only those that satisfy a tighter financial assessment. Those that have lost grant funded cover are being offered the service as a self-payer. There is verbal assurance that grant support will continue

up to 2016. It is anticipated that there will be growth in self-payers to mitigate some of the losses in grant funding.

- 18.2 As part of business development within Access Selby an enhanced service is offered for a fee. This service is available to vulnerable residents across the district, enabling them to remain in their own homes and maintain a level of independence.

Sensitivity Analysis

2015/16	Budget	10% Variance	20% Variance	30% Variance
Grant Income	272,000	27,200	54,400	81,600
Private Payers	115,000	11,500	23,000	34,500
Total	387,000	38,700	77,400	116,100

Sensitivity: High

Impact: High

Risk: High

**19.0 CONTAMINATED LAND**

- 19.1 The draft Contaminated Land Strategy will provide opportunities for the Council to meet its corporate priorities; creating a stronger Council and would support the Council to discharge its statutory duty to set a structured approach to investigating and where necessary remediating contaminated land within the District. Although the Council’s preferred route for investigation and remediation will continue to be through the development process, the Council does still have a statutory duty to deal with sites potentially contaminated in the District and the strategy sets out an approach to fulfil this obligation.

- 19.2 No additional revenue allowance has been allocated to this work. It is likely that as sites are investigated costs will be incurred in respect of investigation costs and potentially subsequent remediation costs. It is suggested that any sums recovered from polluters or land owners as sites are remediated should be made available to offset costs incurred.

- 19.3 It is not possible to accurately estimate the costs of investigation and remediation as each site is different in terms of site size and level and type of contamination. Any costs incurred by the Council should be addressed either through the bid process on a case by case basis and General Fund reserves be utilised to meet and funding shortfall.

**HOUSING REVENUE ACCOUNT**

**20.0 HOUSING RENTS**

- 20.1 Housing rents form the main source of funding for the Housing Revenue Account. Rents up to 2014/15 were calculated based on complex rent restructuring formulas provided by CLG. The aim of this was to get council rents to converge with those of Registered Social Landlords. Although the HRA is now self financing and free from the constraints of negative subsidy it was anticipated that the model for increases was followed until at least 2015/16, the latest expected convergence date. CLG have ended rent re-structuring a year early (2014/15) and replaced with a flat CPI + 1% increase per year. This will have an impact on the 30 year business plan as those properties still not meeting convergence will

be relet at the target (formula) rent not what the previous tenant was paying. Currently CPI is lower than RPI previously used, therefore future rent increases are going to be much lower than previous years which is good news for tenants but impacts on HRA capital financing going forward.

**Table 7**

Year	Original Estimate £	Actual / Projected Outturn £	Variance	
2009/10	9,495,000	9,680,904	(185,904)	(1.96%)
2010/11	9,530,000	9,875,887	(345,887)	(3.63%)
2011/12	10,500,000	10,595,943	(95,943)	(0.91%)
2012/13	11,351,000	11,446,759	(95,759)	(0.84%)
2013/14	11,741,560	11,787,854	(46,294)	(0.39%)
2014/15	12,267,090	12,332,000	(64,910)	(0.53%)
2015/16	12,590,000			

20.2 Rent income levels are difficult to project year on year, due to the number of void dwellings. In addition any sales of dwellings under Right to Buy will also have an impact. A large number of sales or a number of dwellings unavailable as void can have a significant impact on the income generated. It should be noted that as at October 2014, there has been 10 Right to Buy sales during 2014/15, and 16 sales have been forecast for 2015/16. Future sales will be offset partly by new build projects.

20.3 When calculating the budget, given the complex nature, a conservative estimate is used. It is likely that actual rent income received could exceed the budget estimate.

**Sensitivity Analysis**

2015/16 Budget	0.5% Variance	1% Variance	2% Variance
12,590,000	62,950	125,900	251,800

Sensitivity: Medium

Impact: High

Risk: Medium

**21.0 MAINTENANCE OF HOUSING STOCK**

21.1 Part of HRA Reform is the removal of the Housing Subsidy System. Although the HRA was a negative subsidy payer, it received a Major Repairs Allowance Grant which was to be utilised to support capital works to the housing stock. Under the new regime, the HRA is now self financing, it still has the requirement to fund repairs to its stock.

21.2 Selby has an ageing stock, as a result costs to maintain stock to an appropriate level of decency are likely to increase in the future as the dwelling condition deteriorates. There is a high risk that this scenario will occur. There is a capital programme in place to meet specific programmed demands, but revenue repairs are responsive and can vary daily in the nature and requirements of the property. The HRA attained the decent homes standard by the December 2010 deadline, but further work is needed to maintain and improve this standard.

- 21.3 Funding will be limited to maintain the stock and work required will be prioritised. The HRA as part of the reform arrangements has a significant debt to service (£57.7m) spread over a period up to 50 years. Treasury Management decisions have been made to establish an appropriate payment plan which could conflict with the funding available to maintain the stock, especially in the shorter term. As rents increase, headroom for the continued maintenance of the stock will be created.
- 21.4 Stock surveys are continually carried out, the latest to be completed in October 2014. The feedback received will help inform a programme of works, the most critical work prioritised accordingly. This work will need to run in parallel with the debt repayment profile to ensure that funds are allocated correctly and affordability in the HRA is maintained whilst delivering front line services.
- 21.5 Void properties continue to be an issue and can be a drain on resources to get them in to lettable standard. While the property is empty, no rent is earned and each dwelling varies in terms of the work that is required.

**Table 8 – Revenue Costs (Equipment & Materials, Sub-Contractors (Responsive) and Change of Tenancy)**

Year	Original Estimate £	Actual / Projected Outturn £	Variance	
			£	%
2009/10	474,230	480,185	5,955	1.25
2010/11	424,230	566,514	142,284	33.53
2011/12	475,000	484,667	9,667	2.04
2012/13	480,000	468,708	-11,292	-2.35
2013/14	480,000	520,692	40,692	8.48
2014/15	489,970	489,970		
2015/16	489,970			

- 21.6 Generally, the revenue budget is more sensitive to risk in the fact that the work is responsive, Capital works are programmed and tendered to a fixed price.

Sensitivity Analysis

2015/16 Budget	1% Variance	5% Variance	10% variance
489,970	4,900	24,498	48,997

Sensitivity: High

Impact: Medium

Risk: Medium

## Budget and Empty Homes Premium Consultation Responses

### Budget

Response	Location
Understand that as savings have already been made and that there is still 1.4 million more to save will mean that some cuts in service are inevitable	Tadcaster Library
Support incentives for paying Council Tax upfront rather than by instalment, or to encourage DD take-up	Selby Town Hall (evening event)

### Empty Homes Premium

	Response 1	Response 2	Response 3	Response 4
Do you live in Selby District?	No	Yes	Yes	No
How many dwellings do you own within Selby District?	1	1	2	1
How many of these are long-term empty?	1	1	1	1
Please tell us why these dwellings have been empty for more than two years?	We have been battling with Selby District Council for planning permission. The property is currently inhabitable and needs renovation we were only able to get a discount for council tax for a short while. Due to the refusal of planning and the four year batter we have had to endure we are now looking to sell the the property. We have had not control over the	Due to house renovations making it homely for myself and my family	Clearance of house following bereavement. Damp proofing and renovation works to upgrade property to standard for sale. Damp proofing takes 12 - 18 months to do properly. Renovations which take time to accomplish should be factored in as an exemption when calculating the length of time a property is empty. With plaster off the	There is an outstanding application for planning permission. Once a decision is reached the property will be put up for sale with potential development.

	<p>time and delays with the council. It is totally unfair to have to lose out even more by having to pay 50% more council tax for a property we cannot occupy or rent out in its current state. There is no refuse collected from the property. It costs the council nothing extra and we cannot do anything with until it sells!</p>		<p>walls for 6 - 12 months to allow a property to dry and then waiting 6 months for new plaster to dry before being able to re-decorate takes up three quarters of the two year time limit proposed and not much else can be done to the property while it is such a condition.</p>	
Have you tried selling or renting these dwellings?	No answer given	No answer given	Selling	No answer given
How many of the long-term empty dwellings that you own are you currently planning to bring back into occupation?	1	1	1	1
What effect would the introduction of the Empty Homes Premium have on your decision to keep the dwellings empty?	<p>The property is not empty through choice as I have detailed above.</p>	No answer given	<p>It would encourage me not to keep the property empty.</p>	<p>It may affect plans for developing the site which would provide affordable homes for local people within the scheme.</p>

Do you agree that Selby District Council should charge an Empty Homes Premium?	No	No	Yes	No
Please tell us why you agree or disagree	<p>I disagree because there are some category of properties such as ours where they are not left empty deliberately, they are in the midst of a long standing planning application, in need of desperate renovation to make them habitable or ready for sale. There should be an exception for such properties. I simply cannot afford to pay another £75 on top of the £155 I pay for a property that is empty and I cannot live in. I get no single occupancy discount or any other discount.</p>	<p>Because personally I already pay council tax not only on the empty house but the caravan that me and my family are living in.</p>	<p>I agree because it is not appropriate to have properties empty and falling into disrepair when there is a clear housing need.</p> <p>However, cases should be assessed on an individual basis. As noted above doing damp proofing properly (and thereby improving the quality of housing stock) takes 18 months and it does not seem fair to penalise people for undertaking renovation work. Factors relevant to inherited properties - clearance, upgrading, probate etc should also be considered.</p>	<p>The decision to implement an empty homes premium should be made on a case by case basis and only implemented if property is deliberately left empty for investment purposes. Where there are plans to develop a site, an empty homes premium could inhibit investment and growth.</p>



Do you agree that the introduction of an Empty Homes Premium will encourage property owners to bring long-term empty dwellings back into use?	No	Yes	Yes	Yes
Do you have any further comments?	Not in my case as there is a reason that it has been empty for more than two years as detailed and we now need to sell it and that will take time. The property is going on the market in January.	People who are currently trying to bring use to their empty dwellings should be taken into account and not taxed.	As noted above. There is a difference between a property owner doing nothing and someone actively upgrading a property to put it on the market. If one allows 18 months to damp proof and re-plaster, then a further 3 months for the redecoration, new carpets, kitchen etc before the property can be put on the market this only allows 3 months in which to sell the property once it is ready. I also think if a property is being marketed for sale it is not appropriate to charge the empty home charge. If the house is for sale obviously the owner is actively seeking to make it an occupied property and it	an empty homes premium will not affect the very small proportion of owners of empty properties who are retaining them purely for investment purposes with no intention of development

			does not seem fair to penalise someone who is subject to the vagaries of the housing market.	
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# Selby District Council

## REPORT

Reference: E/14/71

Public – Item 11



**To:** The Executive  
**Date:** 5 February 2015  
**Status:** Key Decision  
**Report Published:** 28 January 2015  
**Author:** Jodie Taylor Lead Officer - Finance  
**Executive Member:** Councillor C Lunn – Lead member for Finance & Resources  
**Lead Director:** Karen Iveson – Executive Director (s151)

**Title:** Treasury Management – Treasury Management Strategy Statement 2015/16, Minimum Revenue Provision Policy Statement 2015/16, Annual Investment Strategy 2015/16 and Prudential Indicators 2015/16.

### Summary:

This report presents for approval the proposed Treasury Management Strategy together with the Minimum Revenue Provision Policy Statement, Annual Investment Strategy for 2015/16 and Prudential Indicators 2015/16 as required by the Department of Communities and Local Government and CIPFA.

### Recommendations:

It is recommended to Council that:

- i. The Operational Borrowing Limit for 2015/16 is set at £71m
- ii. The Authorised Borrowing Limit for 2015/16 is set at £79m
- iii. Councillors delegate authority to the Executive Director (s151) to effect movement within the agreed authorised boundary limits for long-term borrowing for 2015/16 onwards.
- iv. Councillors delegate authority to the Executive Director (s151) to

**effect movement within the agreed operational boundary limits for long-term borrowing for 2015/16 onwards.**

- v. **The treasury management strategy statement 2015/16 be approved.**
- vi. **The minimum revenue provision policy statement for 2015/16 be approved.**
- vii. **The treasury management investment strategy for 2015/16 be approved.**
- viii. **The prudential indicators for 2015/16 which reflect the capital expenditure plans which are affordable, prudent and sustainable be approved.**

### **Reasons for recommendation**

To ensure the Council's Treasury Management Strategy and associated policies are prudent and affordable.

#### **1. Introduction and background**

- 1.1 The Council is required to operate a balanced budget, which broadly means that cash raised during the year will meet cash expenditure. Part of the treasury management operation is to ensure that this cash flow is adequately planned, with cash being available when it is needed. Surplus monies are invested to maximise returns within a policy which prioritises security of capital and liquidity of funds.
- 1.2 The second main function of the treasury management service is the funding of the Council's capital plans. These capital plans provide a guide to the borrowing need of the Council, essentially the longer term cash flow planning to ensure that the Council can meet its capital spending obligations. This management of longer term cash may involve arranging long or short term loans, or using longer term cash flow surpluses. On occasion any debt previously drawn may be restructured to meet Council risk or cost objectives.
- 1.3 The Council's Treasury Management Strategy is attached at Appendix A. The strategy sets out the limits to borrowing and investments that officers will apply over the coming year in order to ensure the Council's capital investments plans are affordable, prudent and sustainable.

#### **2. The Report**

##### **Treasury Management Strategy**

- 2.1
  - The Council's 'Authorised Limit for External Debt' is £79m for 2015/16, which is the maximum that can be borrowed in the year;

- The 'Operational Boundary' (the maximum amount that is expected to be borrowed) is £71m in 2015/16, which includes £4m headroom for any unusual cashflow purposes, should this be required;
- Officers will manage the Council's exposure to interest rate variations during the year by working within agreed upper limits for fixed and variable interest rates (variable rate borrowing will be limited to 30%);
- Within its Treasury Management Strategy, the Council will contain its exposure to the possibility of loss that might arise as a result of having to seek early repayment or redemption of principal sums, by setting limits for the amounts that can be invested from 1 up to 5 years (ranging from £20m down to £5m respectively);
- Following the reform of the Housing Revenue Account (HRA) in 2011/12 the Council operates 2 borrowing pools – one for the General Fund and one for the HRA.
- The Council has a range of loans with differing maturity limits in order to smooth out the repayment profile – the value of loans at 12/12/14 is £60.333m at an average rate of 4.185%;
- Total investments are around £32.7m at an average rate of 0.69%.

### **Minimum Revenue Provision (MRP) Policy**

2.2

- MRP for new borrowing will be based on the asset life;
- The MRP policy has been updated for 2015/16 to enable MRP to be determined using the Annuity Method, where charges are linked to the flow of benefits from an asset;
- Total MRP for 2015/16 is £1,809k (£1,396k for loans and £413k for leases)

### **Annual Investment Strategy**

2.3

- The Council's day to day investments are now managed as part of an overall investment pool operated by North Yorkshire County Council (NYCC);
- Several of the Council's fixed term deposits remain in place and will mature throughout 2015, at which point they will transfer to the pooled investment with NYCC;
- In order to facilitate the pooling of investments with NYCC, the Council's Annual Investment Strategy and Lending List has been aligned to that of NYCC;
- While it is recognised that there is value in pooling investments, responsibility for risk management lies wholly with the Council and officers of the Council and NYCC are explicitly required to follow Treasury Management policies and procedures;
- The priorities for investing the Council's cash reserves remain the security of capital and liquidity of funds;
- Cash balances for investment are expected to range between £10m and £30m over the coming year dependent upon

cashflows;

- An average rate of return of 1.00% has been estimated for 2015/16.

### **Prudential Indicators**

- 2.4
- The Council plans to spend £12.225m on capital projects in 2015/16
  - This expenditure will be funded from major repairs reserve, capital receipts, grants or revenue resources & borrowing;
  - Principle (Minimum Revenue Provision or MRP) and interest repayments on current and proposed borrowing, less interest on investments, equate to 5.18% of the General Fund Budget and 27.78% of the HRA net budget in 2015/16.
  - Taking into account all capital spending plans during 2015/16 there is a borrowing requirement of £5.750m for the General Fund and £1.250m for the HRA.

## **3. Legal/Financial Controls and other Policy matters**

### **3.1 Legal Issues**

There are no legal issues as a result of this report.

### **3.2 Financial Issues**

There are no financial implications as a result of this report. However, the Executive Director (s151) and Lead Officer - Finance will, with advice from the Council's advisor (Capita Asset Services) look to maximise opportunities with the Council's investment and borrowing position.

## **4. Conclusion**

- 4.1 The Council has a statutory duty to produce its annual treasury management and investment strategies.

## **5. Background Documents**

Accountancy treasury management files

### **Contact Details**

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### **Appendices:**

Appendix A – Treasury Management Strategy 2015/16  
Appendix B – Minimum Revenue Provision Policy 2015/16  
Appendix C – Capital Prudential Indicators 2015/16  
Appendix D – Borrowing Strategy 2015/16  
Appendix E – Annual Investment Strategy 2015/16

**TREASURY MANAGEMENT STRATEGY STATEMENT 2015/16****1. Introduction**

1.1 Treasury management is defined as:

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

1.2 **Reporting requirements** – The Council is required to receive and approve, as a minimum, three main reports each year, which incorporate a variety of polices, estimates and actuals.

1.3 **Prudential and treasury indicators and treasury strategy** (this report) - The first, and most important report covers:

- the capital plans (including prudential indicators);
- a minimum revenue provision (MRP) policy (how residual capital expenditure is charged to revenue over time);
- the treasury management strategy (how the investments and borrowings are to be organised) including treasury indicators; and
- an investment strategy (the parameters on how investments are to be managed).

1.4 **A Mid Year Treasury Management Report** – This will update members with the progress of the capital position, amending prudential indicators as necessary, and whether the treasury strategy is meeting the strategy or whether any policies require revision. In addition the Executive will receive quarterly update reports.

1.5 **An Annual Treasury Report** – This provides details of a selection of actual prudential and treasury indicators and actual treasury operations compared to the estimates within the strategy.

1.6 **Scrutiny** – The above reports are required to be adequately scrutinised by committee before being recommended to the Council. This role is undertaken by the Executive.

1.7 The suggested Treasury Management Strategy for 2015/16 covers the two main areas:

**Capital issues**

- the capital plans and the prudential indicators;
- the minimum revenue provision (MRP) policy.

**Treasury management issues**

- the current treasury position;
- treasury indicators which limit the treasury risk and activities of the Council;
- prospects for interest rates;
- the borrowing strategy;



- policy on borrowing in advance of need;
- debt rescheduling;
- the investment strategy;
- creditworthiness policy; and
- policy on use of external service providers.

These elements cover the requirements of the Local Government Act 2003, the CIPFA Prudential Code, CLG MRP Guidance, the CIPFA Treasury Management Code and CLG Investment Guidance.

- 1.8 The CIPFA Code requires the Executive Director (s151) to ensure that members with responsibility for treasury management, particularly those with responsibility for scrutiny, receive adequate training in treasury management. Training has been provided to members by Capita Asset Services and further training will be arranged as required.
- 1.9 The Council uses Capita Asset Services, Treasury Solutions as its external treasury management advisors.
- 1.10 The Council recognises that responsibility for treasury management decisions remains with the organisation at all times and will ensure that undue reliance is not placed upon our external service providers. (Treasury Management Practice 11)

**MINIMUM REVENUE PROVISION POLICY STATEMENT 2015/16****1. Introduction**

- 1.1 The statutory requirement for local authorities to charge the revenue account each year with a specific sum for debt repayment is governed by statutory guidance issued under the Local Government and Public Involvement in Health Act 2007 and Statutory instrument 2008 no 414. The statutory duty requires that the Council shall determine for the financial year an amount of minimum revenue provision (MRP) that it considers prudent, with responsibility being placed upon the Council to approve an annual MRP policy statement.

**2. Minimum Revenue Provision Policy**

- 2.1 In May 2008 the Council set its MRP policy. It is therefore appropriate that the annual review of the MRP policy is undertaken as part of this Annual Treasury Management Strategy.
- 2.2 The Council's MRP policy is based on the Governments Statutory Guidance and following a review the policy has been updated for 2015/16 to enable MRP to be determined by reference to the life of the asset using the Annuity Method where capital expenditure is financed wholly or partially by borrowing. No other changes are considered necessary and the policy for 2015/16 is therefore as follows:

- (a) For all **Capital expenditure incurred before 1 April 2008** which formed the General Fund Capital Financing Requirement (CFR) that is capital expenditure funded through borrowing will be charged at 4% of the outstanding balance each year.

The exception to this is for the 2006/07 Public Conveniences Capital Project. The public conveniences scheme is charged over 15 years, which was agreed as part of the funding for the refurbishment programme, in line with the asset life method.

- (b) For **locally agreed Prudential Borrowing on capital expenditure incurred after 1 April 2008**, MRP will be calculated based either on equal annual instalments over the estimated useful life of the asset for which the borrowing is undertaken; or the annuity method where MRP is linked to the flow of benefits from an asset where the benefits are expected to increase in later years, Where additional voluntary provision is made in any year it may be matched by an appropriate reduction in a subsequent year's MRP.

Should any expenditure incurred by the Council not be capable of being related to an asset because for example it is a grant to another organisation's capital project then an asset life will be assessed on a basis which most reasonably reflects the anticipated period of benefit that arises from the expenditure.

However, in the case of long term debtors arising from loans or other types of capital expenditure incurred by the Council which will be repaid under separate arrangements, there will be no MRP made. The Council is satisfied that a prudent provision will be achieved after exclusion of

these capital expenditure items.

The Council does not charge MRP on its non-operational assets i.e. those currently under construction. This option is in line with the principle that MRP should only be charged when assets are completed / become operational.

- (c) Any **finance lease** that comes onto the balance sheet via the requirements of International Financial Reporting Standards will already have taken capital financing into account as part of their revenue charges. For this reason they will be excluded from MRP calculations. Repayments included in finance leases are applied as MRP.
- 2.3 In 2015/16 MRP chargeable to the General Fund will relate to historic debt liability of £1.800m, public conveniences of £0.062m, the new civic centre of £2.288m and an estimated £1.700m for Burn Airfield. This gives rise to an MRP liability of £221k for 2015/16 (£190k for 2014/15).
- 2.4 No revenue charge is currently required for the HRA. However under HRA reform the HRA is required to charge depreciation on its assets, which will have a revenue effect. In order to address any possible adverse impact, regulations allow the Major Repairs Allowance to be used as a proxy for depreciation for the first five years.

**THE CAPITAL PRUDENTIAL INDICATORS 2015/16 – 2017/18****1. Introduction**

- 1.1 The 'Prudential Code' provides Council's with a regime of self-regulation for borrowing money for capital purposes. A local authority can borrow as much as it wishes as long as it can afford the repayments. The Code outlines four key objectives relating to the capital investment plans and treasury management procedures of local authorities. To demonstrate that these objectives are being fulfilled the Prudential Code sets out the indicators that must be used, and the factors that must be taken into account.
- 1.2 The Code prescribes how the issue of affordability is measured using a set of prudential indicators. The four key objectives of the Code are to ensure that capital investment plans of local authorities are affordable, prudent and sustainable, and to ensure that treasury management decisions are taken in accordance with good professional practice. The indicators are mandatory but the figures used in the calculations are a matter for each local authority.
- 1.3 The prudential indicators required by the Code are designed to support and record local decision-making. They are not designed to be comparative performance indicators and the use of them in this way would be likely to be misleading and counter productive.
- 1.4 The Council's capital expenditure plans are the key driver of treasury management activity. The output of the capital expenditure plans is reflected in prudential indicators, which are designed to assist members' overview and confirm capital expenditure plans.

**2. Capital Expenditure:**

- 2.1 This prudential Indicator is a summary of the Council's capital expenditure plans. Members are asked to approve the capital expenditure forecasts summarised in Table 1.

**Table 1: Capital Expenditure**

Capital Expenditure	2013/14 Actual £'000	2014/15 Estimate £'000	2015/16 Estimate £'000	2016/17 Estimate £'000	2017/18 Estimate £'000
General Fund	2,873	10,102	7,932	1,907	1,895
HRA	3,977	4,139	4,293	3,574	3,534

- 2.2 Other long term liabilities. The above financing need excludes other long term liabilities, such as leasing arrangements which already include borrowing instruments (this includes the leases the councils contractors have for vehicles and equipment within the Street Scene and Leisure Contracts). Table 2 below includes these costs.
- 2.3 As part of our aspirations for Selby District the Council has approved a 'Programme for Growth' which includes a number of revenue and capital initiatives aimed at stimulating activity associated with jobs, housing,

infrastructure, retail and leisure. While these strategic initiatives have been included in the capital expenditure plans shown in Table 1, any changes may require the Council to reconsider its borrowing requirements, depending on the external resources it is able to lever towards the programme.

- 2.4 The Development Strategy for the Selby and District Housing Trust set out proposals on the funding of the Trust by the Council and HRA. The Housing Development scheme is also included in the capital expenditure programme shown in Table 1.

**Table 2: Financing of Capital Expenditure**

Capital Expenditure	2013/14 Actual £'000	2014/15 Estimate £'000	2015/16 Estimate £'000	2016/17 Estimate £'000	2017/18 Estimate £'000
General Fund	2,873	10,102	7,932	1,907	1,895
HRA	3,977	4,139	4,293	3,574	3,534
Total	6,850	14,241	12,225	5,481	5,429
Financed By:					
Revenue & Reserves	3,552	6,010	3,562	1,412	1,366
Capital Receipts	148	3,242	175	175	145
Grants	1,722	1,246	155	155	155
Major Repairs Allowance / Reserve	1,428	1,443	1,333	1,239	1,263
Borrowing - Debt	0	2,300	7,000	2,500	2,500
Borrowing - Leases	0	0	0	0	0
Total	6,850	14,241	12,225	5,481	5,429

- 2.5 Table 2 summarises the above capital expenditure plans and how these plans are being financed by capital or revenue resources. Any shortfall of resources results in a funding need (borrowing).

### 3. The Council's Borrowing Need (the Capital Financing Requirement):

- 3.1 The second prudential indicator is the Council's Capital Financing Requirement (CFR). The CFR is simply the total historic outstanding capital expenditure which has not yet been paid for from either revenue or capital resources. It is essentially a measure of the Council's underlying borrowing need. Any capital expenditure above, which has not immediately been paid for, will increase the CFR. This is summarised in Table 3.
- 3.2 The CFR does not increase indefinitely, as the minimum revenue provision (MRP) is a statutory annual revenue charge which broadly reduces the borrowing need in line with each assets life.

**Table 3: Capital Financing Requirement**

	2013/14 Actual £'000	2014/15 Estimate £'000	2015/16 Estimate £'000	2016/17 Estimate £'000	2017/18 Estimate £'000
CFR General Fund	4,340	7,750	8,741	9,734	10,731
CFR GF Leases	1,143	737	323	20	0
<b>Total CFR General Fund</b>	<b>5,483</b>	<b>8,487</b>	<b>9,064</b>	<b>9,754</b>	<b>10,731</b>
CFR HRA	54,309	53,434	53,503	53,547	53,566
<b>TOTAL CFR</b>	<b>59,792</b>	<b>61,921</b>	<b>62,567</b>	<b>63,301</b>	<b>64,297</b>
<b>Movement in CFR</b>	<b>-1,771</b>	<b>2,129</b>	<b>646</b>	<b>734</b>	<b>996</b>
<b>Movement in CFR represented by</b>					
Net Financing need for the year	11	3,900	2,500	2,500	2,500
Less MRP & Other financing movements	-1,781	-1,772	-1,854	-1,766	-1,504
<b>Movement in CFR</b>	<b>-1,771</b>	<b>2,128</b>	<b>646</b>	<b>734</b>	<b>996</b>

- 3.3 Following accounting changes the CFR includes any other long term liabilities (e.g. finance leases) brought onto the balance sheet. Whilst this increases the CFR, and therefore the Council's borrowing requirement, these types of scheme include a borrowing facility and so the Council is not required to separately borrow for these schemes. These are also shown in Table 3.
- 3.4 The application of resources (capital receipts, reserves etc.) to either finance capital expenditure or other budget decisions to support the revenue budget will have an on-going impact on investments unless resources are supplemented each year from new sources (asset sales etc.). Table 4 shows the estimates of the year end balances for each resource and anticipated day to day cash flow

balances.

**Table 4: Year End Resources**

	2013/14 Actual £'000	2014/15 Estimate £'000	2015/16 Estimate £'000	2016/17 Estimate £'000	2017/18 Estimate £'000
GF Fund Balances / Reserves	16,161	9,885	8,359	9,392	10,457
HRA Fund Balances / Major Repairs Reserve	4,540	5,836	8,034	11,196	14,609
Capital Receipts	4,109	937	1,427	1,762	2,127
Other (Grants)	150	155	155	155	155
Total Core Funds	23,960	16,813	17,975	22,505	27,348
Working Capital	17,480	18,000	21,000	25,000	25,000
Expected Investments	22,250	15,000	15,000	15,000	15,000

#### 4. **Affordability Prudential Indicators**

- 4.1 The previous sections cover the overall capital and control of borrowing prudential indicators, but within this framework prudential indicators are required to assess the affordability of the capital investment plans. These provide an indication of the impact of the capital investment plans on the Council's overall finances. The Council is asked to approve the following indicators:
- 4.2 The indicator of actual and estimates of the ratio of financing costs to net revenue stream identifies the trend in the cost of capital (borrowing and other long term obligation costs net of investment income) against the net revenue stream. These are shown in Table 5. The estimates of financing costs include current commitments and the proposals in this report.

**Table 5: Ratio of Financing Costs to Net Revenue Stream**

	2013/14 Actual %	2014/15 Forecast %	2015/16 Estimate %	2016/17 Estimate %	2017/18 Estimate %
GF	5.43	4.84	5.18	5.33	2.33
HRA *	30.35	28.95	27.78	27.06	26.38

\* This is the impact of the HRA settlement. The Council no longer pays into the housing subsidy system and keeps all of its income stream to service the debt.

- 4.3 In considering its programme for capital investment, the Council is required

within the Prudential Code to have regard to:

- Affordability, e.g. Implications for the Council Tax
- Prudence and sustainability, e.g. implications for external borrowing
- Value for money, e.g. option appraisal
- Stewardship of assets, e.g. asset management planning
- Service objectives, e.g. strategic planning for the authority
- Practicality, e.g. achievability

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

4.5 The estimate of the incremental impact of capital investment decisions agreed as part of the budget, over and above capital investment decisions that have previously been taken prior to the 2015/16 budget setting round are shown in table 6.

**Table 6: Incremental Impact of Capital Investment Decisions**

Capital Investment Impact Upon:	2014/15 £	2015/16 £	2016/17 £	2017/18 £
Annual Band D Council Tax	0.81	3.44	4.36	-0.32
Average Annual Housing Rent	0.00	0.00	0.00	0.00

4.6 The impact on Council Tax represents the cost of additional revenue financing of capital spending (or any prudential borrowing less any revenue savings or income).

4.7 Housing rents are effectively fixed by rent restructuring any extra revenue costs due to capital investment have no impact on HRA rents. The figures for rent therefore show the element of rent required to support capital projects.



**BORROWING STRATEGY 2015/16**

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

**Table 1: Current Treasury Portfolio at 12/12/14**

		<b>Principal</b>		<b>Ave. rate</b>
		£m	£m	%
Fixed rate funding	PWLB	53.833		
	Market	<u>6.500</u>	60.333	4.19
Variable Rate Funding	PWLB	0		
	Market	0	0	0
Other long term liabilities	Leases	1.143	1.143	3.74
<b>TOTAL DEBT</b>			<b><u>61,476</u></b>	<b><u>4.18</u></b>
<b>TOTAL INVESTMENTS</b>			<b>32,671</b>	<b>0.60</b>

- 1.2 The Council's treasury portfolio position as at 12 December 2014 is shown in Table 1 and the forecasted position at 31 March 2015, with forward projections summarised in Table 2. The table shows the actual external borrowing (the treasury management operations), against the capital borrowing need (the Capital Financing Requirement - CFR), highlighting any over or under borrowing.

**Table 2: Forecasted Portfolio Position**

	2013/14 Actual £'000	2014/15 Estimate £'000	2015/16 Estimate £'000	2016/17 Estimate £'000	2017/18 Estimate £'000
<b>External borrowing</b>					
Borrowing at 1 April	61,878	61,476	61,070	60,656	60,353
Expected Change in Borrowing	0	0	0	0	-1,000
Leases	-402	-406	-414	-303	-20
Actual borrowing at 31 March	61,476	61,070	60,656	60,353	59,333
CFR – the borrowing need *	59,793	60,321	65,511	66,187	67,147
Under / (over) borrowing	-1,683	-749	4,855	5,834	7,814
<b>Investments</b>					
Total Investments at 31 March	22,250	15,000	15,000	15,000	15,000
Investment Change	4,791	-7,250	0	0	0
Net Borrowing	39,226	46,070	45,656	45,353	44,333

\* This allows for £1.175m set aside each year to repay HRA debt from 2020 onwards

## 2. **Treasury Limits for 2015/16 to 2017/18**

- 2.1 Selby District Council has, at any point in time, a number of cash flows both positive and negative, and manages its treasury position in terms of its borrowings and investments in accordance with its approved treasury management strategy and practices. In day-to-day cash management, no distinction can be made between revenue and capital cash. External borrowing arises as a consequence of all the financial transactions of the authority and not simply those arising from capital spending.
- 2.2 CIPFA's Prudential code for Capital Finance in Local Authorities' includes the following key indicator of prudence;  
*"In order to ensure that over the medium term net borrowing will only be for a capital purpose, the local authority should ensure that net external borrowing does not, except in the short term, exceed the total of capital financing requirement in the preceding year plus the estimates of any additional capital financing requirement for the current and the next two financial years."*
- 2.3 The Executive Director (s151) reports that the authority (General Fund) had no difficulty meeting this requirement in 2013/14, nor are any difficulties envisaged for the current (2014/15) or future years (2015/16 – 2017/18). This view takes into account current commitments, existing plans and the proposals in the budget.

- 2.4 It is a statutory duty under Section 3 of the Local Government Act 2003 and supporting regulations, for the Council to determine and keep under review how much it can afford to borrow. The amount so determined is termed the “Affordable Borrowing Limit”. In England and Wales the authorised limit represents the legislative limit specified in the Act.
- 2.5 The Council must have regard to the Prudential Code when setting the Authorised Limit, which essentially requires it to ensure that total capital investment remains within sustainable limits and, in particular, that the impact upon its future council tax and council rent levels is ‘acceptable’. It reflects the level of external borrowing which, while not desired, could be afforded in the short term, but is not sustainable in the longer term.
- 2.6 Whilst termed an “Affordable Borrowing Limit”, it incorporates the capital plans to be considered for inclusion in corporate financing by both external borrowing and other forms of liability, such as credit arrangements.
- 2.7 The Authorised Limit for external borrowing is a key prudential indicator and represents a control on the maximum level of borrowing. It is a limit beyond which external borrowing is prohibited, and this limit needs to be set or revised by the full Council on a rolling basis, for the forthcoming financial year and two successive financial years. This information is shown in table 3.

**Table 3: Authorised Borrowing Limit**

<b>Authorised Limit for External Debt</b>	<b>2013/14 £'000</b>	<b>2014/15 £'000</b>	<b>2015/16 £'000</b>	<b>2016/17 £'000</b>	<b>2017/18 £'000</b>
Borrowing	72,000	68,000	78,000	82,000	86,000
Other Long Term Liabilities	3,000	1,000	1,000	1,000	1,000
<b>Total</b>	<b>75,000</b>	<b>69,000</b>	<b>79,000</b>	<b>83,000</b>	<b>87,000</b>

- 2.8 The Operational Boundary is the limit beyond which external borrowing is not normally expected to exceed and within which officers will manage the Council’s external debt position. In most cases, this would be a similar figure to the CFR, but may be lower or higher depending on the levels of actual borrowing. This information is shown in table 4.

**Table 4: Operational Borrowing Limit**

<b>Operational Boundary</b>	<b>2013/14 £'000</b>	<b>2014/15 £'000</b>	<b>2015/16 £'000</b>	<b>2016/17 £'000</b>	<b>2017/18 £'000</b>
Borrowing	68,000	63,000	70,000	76,000	80,000
Other Long Term Liabilities	3,000	1,000	1,000	1,000	1,000
<b>Operational Boundary Total</b>	<b>71,000</b>	<b>64,000</b>	<b>71,000</b>	<b>77,000</b>	<b>81,000</b>

- 2.9 In respect of its external debt, table 3 details the proposed authorised limits for the Council’s total external debt gross of investments for the next three financial

years which councillors are recommended to approve. These limits separately identify borrowing from other long-term liabilities such as finance leases. The 2012/13 and 2013/14 figures shown above are for comparative purposes. It is also recommended that members continue to delegate authority to the Executive Director (s151), within the total limit for any individual year, to effect movement between the separately agreed limits for borrowing and other long term liabilities. Any such changes made will be reported to the Executive at its next meeting following the change.

- 2.10 The Executive Director (s151) reports that these authorised limits are consistent with the authority's current commitments, existing plans and the proposals in the budget for capital expenditure and financing, and with its approved treasury management policy statement and practices. The Executive Director (s151) confirms that they are based on the estimate of the most likely, prudent but not worst-case scenario, with in addition sufficient headroom over and above this to allow for operational management, for example unusual cash movements. Risk analysis and risk management strategies have been taken into account; as have plans for capital expenditure, estimates of the capital financing requirement and estimates of cash flow requirements for all purposes.

### 3. Prospects for Interest Rates

- 3.1 The Council appointed Capita Asset Services as a treasury adviser to the Council and part of their service is to assist the Council to formulate a view on interest rates. Annex 1 draws together a number of current City forecasts for short term (bank rate) and longer fixed interest rates. Table 5 gives the Capita central view.

**Table 5: Capita View interest rate forecast – January 2014**

Annual Average %	Bank Rate %	PWLB Borrowing Rates % (including certainty rate adjustment)		
		5 year	25 year	50 year
Mar 2015	0.50	2.20	3.40	3.40
Jun 2015	0.50	2.20	3.50	3.50
Sep 2015	0.50	2.30	3.70	3.70
Dec 2015	0.75	2.50	3.80	3.80
Mar 2016	0.75	2.60	4.00	4.00
Jun 2016	1.00	2.80	4.20	4.20
Sep 2016	1.00	2.90	4.30	4.30
Dec 2016	1.25	3.00	4.40	4.40
Mar 2017	1.25	3.20	4.50	4.50
Jun 2017	1.50	3.20	4.60	4.60
Sep 2017	1.75	3.40	4.70	4.70
Dec 2017	1.75	3.50	4.70	4.70
Mar 2018	2.00	3.60	4.80	4.80

- 3.2 UK GDP growth surged during 2013 and the first half of 2014. Since then it appears to have subsided somewhat but still remains strong by UK standards and is expected to continue likewise into 2015 and 2016. There needs to be a significant rebalancing of the economy away from consumer spending to manufacturing, business investment and exporting in order for this recovery to become more firmly established. One drag on the economy has been that wage inflation has only recently started to exceed CPI inflation, so enabling disposable income and living standards to start improving. The plunge in the price of oil

brought CPI inflation down to a low of 1.0% in November, the lowest rate since September 2002.

- 3.3 Inflation is expected to stay around or below 1.0% for the best part of a year; this will help improve consumer disposable income and so underpin economic growth during 2015. However, labour productivity needs to improve substantially to enable wage rates to increase and further support consumer disposable income and economic growth. In addition, the encouraging rate at which unemployment has been falling must eventually feed through into pressure for wage increases, though current views on the amount of hidden slack in the labour market probably means that this is unlikely to happen early in 2015.
- 3.4 The current economic outlook and structure of market interest rates and government debt yields have several key treasury management implications:
- Greece: the general election 25 January 2015 is likely to bring a political party to power which is anti EU and anti austerity. However, if this eventually results in Greece leaving the Euro, it is unlikely that this will directly destabilise the Eurozone as the EU has put in place adequate firewalls to contain the immediate fallout to just Greece. However, the indirect effects of the likely strengthening of anti EU and anti austerity political parties throughout the EU is much more difficult to quantify;
  - As for the Eurozone in general, concerns in respect of a major crisis subsided considerably in 2013. However, the downturn in growth and inflation during the second half of 2014, and worries over the Ukraine situation, Middle East and Ebola, have led to a resurgence of those concerns as risks increase that it could be heading into deflation and prolonged very weak growth. Sovereign debt difficulties have not gone away and major concerns could return in respect of individual countries that do not dynamically address fundamental issues of low growth, international uncompetitiveness and the need for overdue reforms of the economy (as Ireland has done). It is, therefore, possible over the next few years that levels of government debt to GDP ratios could continue to rise to levels that could result in a loss of investor confidence in the financial viability of such countries. Counterparty risks therefore remain elevated. This continues to suggest the use of higher quality counterparties for shorter time periods;
  - Investment returns are likely to remain relatively low during 2015/16 and beyond;
  - Borrowing interest rates have been volatile during 2014 as alternating bouts of good and bad news have promoted optimism, and then pessimism, in financial markets. The closing weeks of 2014 saw gilt yields dip to historically remarkably low levels after inflation plunged, a flight to quality from equities (especially in the oil sector), and from the debt and equities of oil producing emerging market countries, and an increase in the likelihood that the ECB will commence quantitative easing (purchase of EZ government debt) in early 2015. The policy of avoiding new borrowing by running down spare cash balances has served well over the last few years. However, this needs to be carefully reviewed to avoid incurring higher borrowing costs in later times, when authorities will not be able to avoid new borrowing to finance new capital expenditure

and/or to refinance maturing debt;

- Based on these forecasts, if any new borrowing is taken which causes an increase in investments, there will remain a cost to carry as this will incur a revenue loss between borrowing costs and investment returns.

#### 4

#### **Borrowing Requirement**

- 4.1 The Council is currently maintaining a marginally over-borrowed position in 2014/15. This means that the Council's capital borrowing is currently in excess of the underlying need to borrow. This position has resulted from the set-aside of sums to repay debt in the future. However, as a result of the capital expenditure plans set out in **Appendix C, Table 1** the Council is expected to be in an under-borrowed position from 2015/16 onwards as shown in **Table 5** below. This is a prudent strategy as investment returns are low and counterparty risk is relatively high – this approach will be carefully monitored during 2015/16.

<b>Under/(Over) Borrowing Position</b>	<b>2013/14 £'000</b>	<b>2014/15 £'000</b>	<b>2015/16 £'000</b>	<b>2016/17 £'000</b>	<b>2017/18 £'000</b>
General Fund	1,740	3,550	9,079	9,983	11,887
HRA	(3,424)	(4,299)	(4,224)	(4,149)	(4,074)
<b>Overall Position</b>	<b>(1,684)</b>	<b>(749)</b>	<b>4,855</b>	<b>5,834</b>	<b>7,813</b>

- 4.2 Against this background and the risks within the economic forecast, caution will be adopted with the 2015/16 treasury operations. The Executive Director (s151) will monitor interest rates in financial markets and adopt a pragmatic approach to changing circumstances:
- 4.3 If it was felt that there was a significant risk of a sharp fall in long and short term rates, e.g. due to a marked increase of risks around relapse into recession or of risks of deflation, then long term borrowings will be postponed, and potential rescheduling from fixed rate funding into short term borrowing will be considered.
- 4.4 If it was felt that there was a significant risk of a much sharper rise in long and short term rates than that currently forecast, perhaps arising from a greater than expected increase in the anticipated rate to US tapering of asset purchases, or in world economic activity or a sudden increase in inflation risks, then the portfolio position will be re-appraised with the likely action that fixed rate funding will be drawn whilst interest rates are still lower than they will be in the next few years..
- 4.5 Any decisions will be reported to the Executive at the next available opportunity.
- 4.6 The current capital programme funding forecasts for 2015/16 to 2017/18 shows that there is a borrowing requirement for both the General Fund and HRA. However there may be a further requirement to fund part of the potential Leisure Village project from borrowing and this will be confirmed once and if the project is approved. The borrowing needs for future years will be reviewed as the capital programmes are confirmed.

4.7 There are three debt related treasury activity limits. The purpose of these are to restrain the activity of the treasury function within certain limits, thereby managing risk and reducing the impact of any adverse movement in interest rates. However, if these are set to be too restrictive they will impair the opportunities to reduce costs / improve performance. Tables 6 and 7 summarise these indicators which are:

- Upper limits on variable interest rate exposure. This identifies a maximum limit for variable interest rates based upon the debt position net of investments;
- Upper limits on fixed interest rate exposure. This is similar to the previous indicator and covers a maximum limit on fixed interest rates;
- Maturity structure of borrowing. These gross limits are set to reduce the Council's exposure to large fixed rate sums falling due for refinancing, and are required for upper and lower limits.

**Table 6: Interest Rate Exposure**

<b>Upper Limit for Fixed Interest Rate Exposure</b>	%	%	%	%	%
Net Interest re Fixed Rate Borrowing / Investments	100	100	100	100	100
<b>Upper Limit for Variable Rate Exposure</b>	%	%	%	%	%
Net Interest re Variable Rate Borrowing	30	30	30	30	30
Net Interest re Variable Rate Investments	100	100	100	100	100

**Table 7 : Maturity Structure Fixed Rate Borrowing 2015/16**

<b>Maturity Structure New Borrowing 2015/16</b>	<b>Upper Limit</b>	<b>Lower Limit</b>
Under 12 Months	20%	0%
12 Months and within 2 Years	20%	0%
2 Years and within 5 Years	50%	0%
5 Years and within 10 Years	50%	0%
10 Years and within 15 Years	50%	0%
15 Years and over	90%	20%

4.8 The Council has a policy of borrowing from the Public Works Loans Board in the first instance (over periods up to 50 years) or the money markets (over periods up to 50 years) which ever reflects the best possible value for the Council at the time. Individual loans are taken out over varying periods depending on the relative value of interest rates at the time of borrowing need and to avoid wherever possible a distorted repayment profile.

- 4.9 The Council’s current debt portfolio as shown in Table 1 is made up of £53.833m of PWLB debt and £6.5m of market debt. Opportunities for debt rescheduling have been limited. Flexibility for rescheduling was put into the PWLB debt taken to fund the Community Office Project (£2.6m) and the HRA Self Financing Settlement (£50.233m) to enable opportunities to generate savings if appropriate. This element of the debt portfolio will be kept under review.
- 4.10 As short term borrowing rates will be considerably cheaper than longer term fixed interest rates, there may be potential opportunities to generate savings by switching from long term debt to short term debt. However, these savings will need to be considered in the light of the current treasury position and the size of the cost of debt repayment (premiums incurred).
- 4.11 The reasons for any rescheduling to take place will include:
- the generation of cash savings at minimum risk;
  - help fulfil the strategy outlined in paragraph 5 above; and
  - enhance the balance of the portfolio (amend the maturity profile and/or the balance of volatility).

Consideration will also be given to identify if there is any potential for making savings by running down investment balances to repay debt prematurely as short term rates on investments are likely to be lower than rates paid on current debt

<b>Maturity Structure New Borrowing 2015/16</b>	<b>Upper Limit</b>	<b>Lower Limit</b>
Under 12 Months	20%	0%
12 Months and within 2 Years	20%	0%
2 Years and within 5 Years	50%	0%
5 Years and within 10 Years	50%	0%
10 Years and within 15 Years	50%	0%
15 Years and over	90%	20%

- 4.12 Any rescheduling of debt will be reported to Executive at the meeting following its action.
- 4.13 The Council will not borrow more than or in advance of its needs purely in order to profit from the investment of the extra sums borrowed. Any decision to borrow in advance will be within forward approved Capital Financing Requirement estimates, and will be considered carefully to ensure that value for money can be demonstrated and that the Council can ensure the security of such funds.
- 4.14 Risks associated with any borrowing in advance activity will be subject to prior appraisal and subsequent reporting through the mid-year or annual reporting mechanism.



**ANNUAL INVESTMENT STRATEGY STATEMENT 2015/16****1. Introduction**

- 1.1 Under the Local Government Act 2003 the Council is required to have regard to Government Guidance in respect of the investment of its cash funds. This Guidance was revised with effect from 1 April 2010. The Guidance leaves local authorities free to make their own investment decisions, subject to the fundamental requirement of an Annual Investment Strategy being approved by the Council before the start of the financial year.
- 1.2 This Annual Investment Strategy must define the investments the Council has approved for prudent management of its cash balances during the financial year under the headings of **specified investments** and **non-specified investments**.
- 1.3 The Council's day to day investments are managed as part of the overall investment pool operated by North Yorkshire County Council (NYCC). In order to enable investments to be managed through the investment pool the Council is required to adopt an Annual Investment Strategy and Approved Lending List in line with that of NYCC.

**2. Revisions to the Annual Investment Strategy**

- 2.1 In addition to this **Investment Strategy**, which requires approval before the start of the financial year, a revised Strategy will be submitted to Council for consideration and approval under the following circumstances:
- (a) significant changes in the risk assessment of a significant proportion of the Council's investments;
  - (b) any other significant development(s) that might impact on the Council's investments and existing strategy for managing those investments during 2015/16.

**3. Investment Policy**

- 3.1 The parameters of the Policy are as follows:
- (a) the Council will have regard to the Government's Guidance on Local Government Investments as revised with effect from 1 April 2010, and the 2011 revised CIPFA Treasury Management in Public Services Code of Practice and Cross Sectorial Guidance Notes;
  - (b) the Council's investment policy has two fundamental objectives;
    - the security of capital (protecting the capital sum from loss); and then
    - the liquidity of its investments (keeping the money readily available for expenditure when needed)
  - (c) the Council will also aim to seek the highest return (yield) on its investments provided that proper levels of security and liquidity are achieved. The risk appetite of the Council is low in order to give priority to

the security of its investments;

- (d) the borrowing of monies purely to invest or lend and make a return is unlawful and the Council will not engage in such activity;
- (e) investment instruments for use in the financial year listed under **specified** and **non-specified investment** categories (see **paragraph 5.1**);

#### **4. Policy regarding loans to organisations in which the Council has an interest**

- 4.1 (a) the Council's general investment powers under this Annual Treasury Management and Investment Strategy come from the Local Government Act 2003 (Section 12). Under this Act a local authority has the power to invest for any purpose relevant to its functions or for the purpose of the prudent management of its financial affairs
- (b) in addition to investment, the Council has the power to provide loans and financial assistance to organisations under the Localisation Act 2011 (and also formally under the general power of wellbeing in the Local Government Act 2000) which introduced a general power of competence for authorities (to be exercised in accordance with their general public law duties)
- (c) any such loans by the Council, will therefore be made under these powers. They will not however be classed as investments made by the Council and will not impact on this Investment Strategy. Instead they will be classed as capital expenditure by the Council under the Local Authorities (Capital Finance and Accounting) Regulations 2003, and will be approved, financed and accounted for accordingly
- (d) at present the Council has not made any such loans to other organisations.

#### **5. Specified and non-specified Investments**

- 5.1 Based on Government Guidance as updated from 1 April 2010.
  - (a) investment Instruments identified for use in the forthcoming financial year are listed in the Schedules attached to this Strategy under the **specified** and **non-specified** Investment categories;
  - (b) all **specified** Investments (see **Schedule A**) are defined by the Government as options with "relatively high security and high liquidity" requiring minimal reference in investment strategies. In this context, the Council has defined Specified Investments as being sterling denominated, with maturities up to a maximum of 1 year meeting the minimum high credit quality;
  - (c) **Non-specified** investments (see **Schedule B**) attract a greater potential of risk. As a result, a maximum local limit of 20% of "core cash" funds available for investment has been set which can be held in aggregate in such investments;

(d) for both specified and non-specified investments, the attached Schedules indicate for each type of investment:-

- the investment category
  - minimum credit criteria
  - circumstances of use
  - why use the investment and associated risks
  - maximum % age of total investments
  - maximum maturity period
- } Non-Specified Only

(e) there are other instruments available as Specified and Non-Specified investments which the Council will NOT currently use. Examples of such investments are:-

- |                           |   |
|---------------------------|---|
| Specified Investments     | <ul style="list-style-type: none"> <li>- Commercial Paper</li> <li>- Gilt funds and other Bond Funds</li> <li>- Treasury Bills</li> </ul>   |
| Non-Specified Investments | <ul style="list-style-type: none"> <li>- Sovereign Bond issues</li> <li>- Corporate Bonds</li> <li>- Floating Rate notes</li> <li>- Equities</li> <li>- Open Ended Investment Companies</li> <li>- Derivatives</li> </ul> |

A proposal to use any of these instruments would require detailed assessment and be subject to approval by Members as part of this Strategy.

**6. Creditworthiness Policy – Security of Capital and the use of credit ratings**

6.1 The financial markets have experienced a period of considerable turmoil since 2008 and as a result attention has been focused on credit standings of counterparties with whom the Council can invest funds. It is paramount that the Council’s money is managed in a way that balances risk with return, but with the overriding consideration being given to the security of the invested capital sum followed by the liquidity of the investment. The Approved Lending List will therefore reflect a prudent attitude towards organisations with whom funds may be deposited.

6.2 The rationale and purpose of distinguishing specified and non-specified investments is detailed in **paragraph 5.1** above. Part of the definition for a Specified investment is that it is an investment made with a body which has been awarded a high credit rating with maturities of no longer than 364 days. It is, therefore, necessary to define what the Council considers to be a “high” credit rating in order to maintain the security of the invested capital sum.

6.3 The methodology and its application in practice will, therefore, be as follows:-

(a) the Council will rely on credit ratings published by the three credit rating agencies (Fitch, Moody’s and Standard & Poor’s) to establish the credit quality (ability to meet financial commitments) of counterparties (to whom the Council lends) and investment schemes. Each agency has its own

credit rating components to complete their rating assessments. These are as follows:

**Fitch Ratings**

- Long Term - generally cover maturities of over five years and acts as a measure of the capacity to service and repay debt obligations punctually. Ratings range from AAA (highest credit quality) to D (indicating an entity has defaulted on all of its financial obligations)
- Short Term - cover obligations which have an original maturity not exceeding one year and place greater emphasis on the liquidity necessary to meet financial commitments. The ratings range from F1+ (the highest credit quality) to D (indicating an entity has defaulted on all of its financial obligations)

**Moody's Ratings**

- Long Term - an opinion of the relative credit risk of obligations with an original maturity of one year or more. They reflect both the likelihood of a default on contractually promised payments and the expected financial loss suffered in the event of default. Ratings range from Aaa (highest quality, with minimal credit risk) to C (typically in default, with little prospect for recovery of principal or interest)
- Short Term - an opinion of the likelihood of a default on contractually promised payments with an original maturity of 13 months or less. Ratings range from P-1 (a superior ability to repay short-term debt obligations) to P-3 (an acceptable ability to repay short-term obligations)

**Standard & Poor's Ratings**

- Long Term - considers the likelihood of payment. Ratings range from AAA (best quality borrowers, reliable and stable) to D (has defaulted on obligations)
- Short Term - generally assigned to those obligations considered short-term in the relevant market. Ratings range from A-1 (capacity to meet financial commitment is strong) to D (used upon the filing of a bankruptcy petition).

In addition, all three credit rating agencies produce a Sovereign Rating which assesses a country's ability to support a financial institution should it get into difficulty. The ratings are the same as those used to measure long term credit.

- (b) the Council will review the "ratings watch" and "outlook" notices issued by all three credit rating agencies referred to above. An agency will issue a

“watch”, (notification of likely change), or “outlook”, (notification of a possible longer term change), when it anticipates that a change to a credit rating may occur in the forthcoming 6 to 24 months. The “watch” or “outlook” could reflect either a positive (increase in credit rating), negative (decrease in credit rating) or developing (uncertain whether a rating may go up or down) outcome;

(c) no combination of ratings can be viewed as entirely fail safe and all credit ratings, watches and outlooks are monitored on a daily basis. This is achieved through the use of Capita Asset Services creditworthiness service. This employs a sophisticated modelling approach utilising credit ratings from the three main credit rating agencies. The credit ratings of counterparties are then supplemented with the following overlays;

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

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

<b>Colour</b>	<b>Maximum Investment Duration</b>
Yellow	5 Years
Purple	2 Years
Orange	1 Year
Blue	1 Year (UK nationalised / semi nationalised banks only)
Red	6 Months
Green	100 Days
No Colour	No investments to be made

(d) given that a number of central banks/government have supported or are still supporting their banking industries in some way, the importance of the credit strength of the sovereign has become more important. The Council will therefore also take into account the Sovereign Rating for the country in which an organisation is domiciled. As a result, only an institution which is domiciled in a country with a minimum Sovereign Rating of AA- from Fitch or equivalent would be considered for inclusion on the Council’s Approved Lending List (subject to them meeting the criteria above). Organisations which are domiciled in a Country whose Sovereign Rating has fallen below the minimum criteria will be suspended, regardless of their own individual score/colour. The list of countries that currently qualify using this credit criteria are shown in Schedule D. This list will be amended should ratings change, in accordance with this policy;

- (e) in order to reflect current market sentiment regarding the credit worthiness of an institution the Council will also take into account current trends within the Credit Default Swap (CDS) Market. Since they are a traded instrument they reflect the market's current perception of an institution's credit quality, unlike credit ratings, which often focus on a longer term view. These trends will be monitored through the use of Capita Asset Services creditworthiness service which compares the CDS Market position for each institution to the benchmark CDS Index. Should the deviation be great, then market sentiment suggests that there is a fear that an institution's credit quality will fall. Organisations with such deviations will be monitored and their standing reduced by one colour band (paragraph 12.8 (c)) as a precaution. Where the deviation is great, the organisation will be awarded 'no colour' until market sentiment improves. Where entities do not have an actively traded CDS spread, credit ratings are used in isolation;
- (f) fully and part nationalised banks within the UK currently have credit ratings which are not as high as other institutions. This is the result of the banks having to have to accept external support from the UK Government However, due to this Central Government involvement, these institutions now effectively take on the credit worthiness of the Government itself (i.e. deposits made with them are effectively being made to the Government). This position is expected to take a number of years to unwind and would certainly not be done so without a considerable notice period. As a result, institutions which are significantly or fully owned by the UK Government will be assessed to have a high level of credit worthiness;
- (g) all of the above will be monitored on a weekly basis through Capita Asset Services creditworthiness service with additional information being received and monitored on a daily basis should credit ratings change and/or watch/outlook notices be issued. Sole reliance will not be placed on the information provided by Capita Asset Services however. In addition the Council will also use market data and information available from other sources such as the financial press and other agencies and organisations;
- (h) in addition, the Council will set maximum investment limits for each organisation which also reflect that institution's credit worthiness – the higher the credit quality, the greater the investment limit. These limits also reflect UK Government involvement (i.e. Government ownership or being part of the UK Government guarantee of liquidity). These limits are as follows:-

<b>Maximum Investment Limit</b>	<b>Criteria</b>
£85m	UK "nationalised / Part Nationalised" banks / UK banks with UK Central Government involvement
£20m to £75m	UK "Clearing Banks" and selected UK based Banks and Building Societies
£20m or £40m	High quality foreign banks

- (i) should a score/colour awarded to a counterparty or investment scheme

be amended during the year due to rating changes, market sentiment etc., the Council will take the following action:-

- reduce or increase the maximum investment term for an organisation dependent on the revised score / colour awarded (in line with the boundaries and colours set in paragraph 12.8(c))
  - temporarily suspend the organisation from the Approved Lending List should their score fall outside boundary limits and not be awarded a colour
  - seek to withdraw an investment as soon as possible, within the terms and conditions of the investment made, should an organisation be suspended from the Approved Lending List
  - ensure all investments remain as liquid as possible, i.e. on instant access until sentiment improves.
- (j) if a counterparty / investment scheme, not currently included on the Approved Lending List is subsequently upgraded, (resulting in a score which would fulfil the Council's minimum criteria), the Executive Director (s151) has the delegated authority to include it on the Council's Approved Lending List with immediate effect;
- (k) a copy of the current Approved Lending List, showing maximum investment and time limits is attached at Schedule C. The Approved Lending List will be monitored on an on-going daily basis and changes made as appropriate. Given current market conditions, there continues to be a very limited number of organisations which fulfil the criteria for non specified investments. This situation will be monitored on an on-going basis with additional organisations added as appropriate with the approval of the Executive Director (s151).

## 7. **Investment Strategy**

7.1 Recognising the categories of investment available and the rating criteria detailed above

- (a) the Council's investments are managed as part of the overall investment pool operated by NYCC.;
- (b) on-going discussions are held with the Council's Treasury Management Advisor on whether to consider the appointment of an external fund manager(s) – any decision to appoint an external fund manager will be subject to Member approval;
- (c) the Council's cash balances consist of two basic elements. The first element is cash flow derived (debtors/creditors/timing of income compared to expenditure profile). The second, core element, relates to specific funds (reserves, provisions, balances, capital receipts etc.);
- (d) having given due consideration to the Council's estimated level of funds and balances over the next three financial years, the need for liquidity and day to day cash flow requirements it is forecast that a maximum of

£20m of the overall balances can be prudently committed to longer term investments (e.g. between 1 and 3 years);

- (e) investments will accordingly be made with reference to this core element and the Council's on-going cash flow requirements (which may change over time) and the outlook for short term interest rates (i.e. rates for investments up to 12 months);
- (f) the Council currently has four existing non-specified investments over 364 days at present; two separate deposits with Lloyds Bank (UK "Nationalised" Bank) and a further two separate deposits with other local authorities.
- (g) bank rate has been unchanged at 0.5% since March 2009 and underpins investment returns. It is not expected to start increasing until about late 2015;

The Council will, therefore, avoid locking into long term deals while investment rates are down at historically low levels unless attractive rates are available with counterparties of particularly high creditworthiness which make longer term deals worthwhile and within a 'low risk' parameter. Thus no trigger rates will be set for longer term deposits (two or three years) but this position will be kept under constant review and discussed with the Treasury Management Advisor on a regular basis.

Based on current bank rate forecasts, as outlined above, an overall investment return of about 1% is likely in 2015/16, 1.5% in 2016/17 and 2% in 2017/18.

- (h) for its cash flow generated balances the Council will seek to utilise 'business reserve accounts' (deposits with certain banks and building societies), 15 and 30 day accounts and short dated deposits (overnight to three months) in order to benefit from the compounding of interest.

### **8. Investment Report to Members**

8.1 Reporting to Members on investment matters will be as follows:

- (a) in-year investment reports will be submitted to the Executive as part of the Quarterly Performance reports;
- (b) at the end of the financial year a comprehensive report on the Council's investment activity will be submitted to Executive;

### **9. Treasury Management Training**

9.1 The training needs of the Council's staff and those of NYCC involved in investment management are monitored, reviewed and addressed on an on-going basis and are discussed as part of the staff appraisal process. In practice most training needs are addressed through attendance at courses and seminars provided by CIPFA, the LGA and others on a regular on-going basis.

9.2 The CIPFA Code also requires that Members with responsibility for treasury management receive adequate training in treasury management. This especially



applies to Members responsible for scrutiny (i.e. the Executive). An in-house training course for Members was previously provided by Capita Asset Services – Treasury Solutions. Further training will be arranged as required.

**10. Policy on the Use of External Service Providers**

- 10.1 The Council uses Capita Asset Services – Treasury Solutions as its external treasury management adviser. Capita provide a source of contemporary information, advice and assistance over a wide range of Treasury Management areas but particularly in relation to investments and debt administration.
- 10.2 Whilst the Council recognises that there is value in employing external providers of treasury management services in order to acquire access to specialist skills and resources, it fully accepts that responsibility for Treasury Management decisions remains with the authority at all times and will ensure that undue reliance is not placed upon the advice of external service providers.
- 10.3 Capita Asset Services were re-appointed in July 2009 for three years, following a full tender exercise with the terms of appointment being documented. Following a review of their advice to date, and under the terms of the contract, this appointment was extended for a further two years to July 2014. A temporary extension to this contract since July 2014 was agreed because of the implications of the Council starting to receive Treasury Management services from NYCC who also use Capita Asset Services – Treasury Solutions. Thus going forward a single adviser for both authorities is being concluded and it is expected that a new contract will be in place with an external service provider from 1 April 2015. The value and quality of services being provided are monitored and reviewed on an on-going basis.

**11. The scheme of delegation and role of the Section 151 Officer in relation to Treasury Management**

- 11.1 The Government’s Investment Guidance (**paragraph 1.1**) requires that a local authority includes details of the Treasury Management schemes of delegation and the role of the Section 151 officer in the Annual Treasury Management/Investment Strategy.
- 11.2 The key elements of delegation in relation to Treasury Management are set out in the following Financial Procedure Rules (FPR):-
  - (a) This Council has adopted CIPFA’s Treasury Management Code of Practice 2009 and will adopt any amendments/additions to that Code.
  - (b) A Treasury Management Policy Statement shall be adopted by the Council and thereafter its implementation and monitoring shall be delegated to the Executive Director with s.151 responsibilities.
  - (c) (i) All money in the hands of the Council shall be under the control of the Executive Director with s.151 responsibilities – the officer designated for the purposes of Section 151 of the Local Government Act 1972, referred to in the Code as the Chief Finance Officer.
  - (ii) The Executive Director with s.151 responsibilities shall report to

the Executive not less than twice in each financial year on the activities of the treasury management operation and on the exercise of delegated treasury management powers. One such report shall comprise an annual report on treasury management for presentation by 30 September of the succeeding financial year.

- (d) At or before the start of the financial year the Executive Director with s.151 responsibilities shall report to the Executive on the strategy for treasury management it is proposed to adopt for the coming financial year.
- (e) All Executive decisions on borrowing, investment or financing shall be delegated to the Executive Director with s.151 responsibilities who shall be required to act in accordance with CIPFA's Treasury

11.3 The Treasury Management reporting arrangements in relation to the above are covered in more detail in **section 12**.

11.4 In terms of the Treasury Management role of the Section 151 officer (the Corporate Director – Strategic Resources), the key areas of delegated responsibility are as follows

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

## **12. Arrangements for Monitoring/Reporting to Members**

12.1 Taking into account the matters referred to in this Strategy, the monitoring and reporting arrangements in place relating to Treasury Management activities are now as follows:

- (a) an annual report to Executive and Council as part of the Budget process that sets out the Council's Treasury Management Strategy and Policy for the forthcoming financial year;
- (b) an annual outturn report to the Executive for Treasury Management setting out full details of activities and performance during the preceding financial year.
- (c) a quarterly report on Treasury Matters to Executive as part of the Quarterly Performance and Budget Monitoring report;

## SELBY DISTRICT COUNCIL ANNUAL INVESTMENT STRATEGY 2015/16 – SPECIFIED INVESTMENTS

Investment	Security / Minimum Credit Rating	Circumstances of Use
<b>Term Deposits</b> with the UK Government or with UK Local Authorities ( as per Local Government Act 2003) with maturities up to 1 year	High security as backed by UK Government	In-house
<b>Term Deposits</b> with credit rated deposit takers (Banks and Building Societies), including callable deposits with maturities less than 1 year	Organisations assessed as having “high credit quality” plus a minimum Sovereign rating of AA- for the country in which the organisation is domiciled	In-house
<b>Certificate of Deposits</b> issued by credit rated deposit takers (Banks and Building Societies) up to 1 year		Fund Manager or In-house “buy and hold” after consultation with Treasury Management Advisor
<b>Forward deals</b> with credit rated Banks and Building Societies less than 1 year (i.e. negotiated deal plus period of deposit)		In-house
<b>Money Market Funds</b> i.e. collective investment scheme as defined in SI2004 No 534 ( <i>These funds have no maturity date</i> )	Funds must be AAA rated	In-house After consultation with Treasury Management Advisor Limited to £20m
<b>Gilts</b> (with maturities of up to 1 year)	Government Backed	Fund Manager or In-house buy and hold after consultation with Treasury Management Advisor
<b>Bonds</b> issued by a financial institution that is guaranteed by the UK Government (as defined in SI 2004 No 534) with maturities under 12 months ( <i>Custodial arrangements required prior to purchase</i> )		After consultation with Treasury Management Advisor

**SELBY DISTRICT COUNCIL ANNUAL INVESTMENT STRATEGY 2015/16 – NON-SPECIFIED INVESTMENTS**

investment	<p>A) Why use it?</p> <p>B) Associated Risks?</p>	Security / Minimum Credit Rating	Circumstances of Use	Max % of overall investments or cash limits in cash category	Maximum investment with any one counterparty	Maximum Maturity Period		
<p><b>Term Deposit</b> with credit rated deposit takers (Banks &amp; Building Societies), UK Government and other Local Authorities with maturities greater than 1 year</p>	<p>A) Certainty of return over period invested which could be useful for budget purposes</p> <p>B) Not Liquid, cannot be traded or repaid prior to maturity</p> <p>Return will be lower if interest rates rise after making deposit</p> <p>Credit risk as potential for greater deterioration of credit quality over a longer period</p>	<p>Organisations assessed as having “high credit quality”</p> <p>Plus</p> <p>A minimum Sovereign rating of AA- for the country in which an organisation is domiciled</p>	In-house	100% of agreed maximum proportion (20%) of core cash funds that can be invested for more than 1 year (estimated £20m)	£5m	<p>2 years subject to potential future review with a maximum of no longer than 5 years</p>		
<p><b>Certificate of Deposit</b> with credit rated deposit takers (Banks &amp; Building Societies) with maturities greater than 1 year</p> <p><i>Custodial arrangements prior to purchase</i></p>	<p>A) Attractive rates of return over period invested and in theory tradable</p> <p>B) Interest rate risk; the yield is subject to movement during life of CD which could negatively impact on its price</p>			Fund Manager or In-house “buy & hold” after consultation with Treasury Management Advisor	25% of agreed proportion (20%) of core cash funds that can be invested for more than 1 year (£5m)		£3m	
<p><b>Callable Deposits</b> with credit rated deposit takers (Banks &amp; Building Societies) with maturities greater than 1 year</p>	<p>A) Enhanced Income – potentially higher return than using a term deposit with a similar maturity</p> <p>B) Not liquid – only borrower has the right to pay back the deposit; the lender does not have a similar call</p> <p>Period over which the investment will</p>			To be used in-house after consultation with Treasury Management Advisor	50% of agreed proportion (20%) of core cash balance that can be invested for more than 1 year (£12.5m)		£5m	

investment	A) Why use it? B) Associated Risks?	Security / Minimum Credit Rating	Circumstances of Use	Max % of overall investments or cash limits in cash category	Maximum investment with any one counterparty	Maximum Maturity Period
	<p>actually be held is not known at outset</p> <p>Interest rate risk; borrower will not pay back deposit if interest rates rise after the deposit is made</p>					
<p><b>Forward Deposits</b> with a credit rated Bank or Building Society &gt; 1 year (i.e. negotiated deal period plus period of deposit)</p>	<p>A) Known rate of return over the period the monies are invested – aids forward planning</p> <p>B) Credit risk is over the whole period, not just when monies are invested</p> <p>Cannot renege on making the investment if credit quality falls or interest rates rise in the interim period</p>	<p>Organisations assessed as having “high credit quality” Plus A minimum Sovereign rating of AA- for the country in which an organisation is domiciled</p>	<p>To be used in-house after consultation with the Treasury Management Advisor</p>	<p>25% of greed proportion (20%) of core cash funds that can be invested for more than 1 year (£5m)</p>	<p>£3m</p>	<p>2 years subject to potential future review with a maximum of no longer than 5 years</p>
<p><b>Bonds issued by a financial institution that is guaranteed by the UK Government</b> (as defined in SI2004 No534) with maturities in excess of 1 year</p> <p>Custodial arrangements required prior to purchase</p>	<p>A) Excellent credit quality</p> <p>Relatively Liquid</p> <p>If held to maturity, yield is known in advance</p> <p>Enhanced rate in comparisons to gilts</p> <p>B) Interest rate risk; yield subject to movement during life off bond which could impact on price</p>	<p>AA or Government backed</p>	<p>In-house on a “buy and hold” basis after consultation with Treasury Management Advisor or use by Fund Managers</p>		<p>n/a</p>	
<p><b>Bonds issued by</b></p>	<p>A) Excellent credit quality</p>				<p>£3m</p>	

investment	A) Why use it? B) Associated Risks?	Security / Minimum Credit Rating	Circumstances of Use	Max % of overall investments or cash limits in cash category	Maximum investment with any one counterparty	Maximum Maturity Period
<b>Multilateral development banks</b> (as defined in SI2004 No534) with maturities in excess of 1 year  Custodial arrangements required prior to purchase	<p>Relatively Liquid</p> <p>If held to maturity, yield is known in advance</p> <p>Enhanced rate in comparison to gilts</p> <p>B) Interest rate risk; yield subject to movement during life off bond which could negatively impact on price</p>					
<b>UK Government Gilts with maturities in excess of 1 year</b>  Custodial arrangements required prior to purchase	<p>A) Excellent credit quality</p> <p>Liquid</p> <p>If held to maturity, yield is known in advance</p> <p>If traded, potential for capital appreciation</p> <p>B) Interest rate risk; yield subject to movement during life if the bond which could impact on price</p>	Government backed	Fund Manager	25% of greed proportion (20%) of core cash funds that can be invested for more than 1 year (£5m)	n/a	2 years subject to potential future review with a maximum of no longer than 5 years
<b>Collateralised Deposit</b>	<p>A) Excellent credit quality</p> <p>B) Not liquid, cannot be traded or repaid prior to maturity</p> <p>Credit risk as potential for greater</p>	Backed by collateral of AAA rated Local Authority LOBO's	In-house via money market broker or direct	100% of agreed proportion (20%) of core cash funds that can be invested for more than 1 year (£20m)	£5m	227

investment	<b>A) Why use it?</b>  <b>B) Associated Risks?</b>	<b>Security / Minimum Credit Rating</b>	<b>Circumstances of Use</b>	<b>Max % of overall investments or cash limits in cash category</b>	<b>Maximum investment with any one counterparty</b>	<b>Maximum Maturity Period</b>
	deterioration of credit quality over a longer period					

APPROVED LENDING LIST 2015/16

Maximum sum invested at any time (The overall total exposure figure covers both Specified and Non-Specified investments)

	Country	Specified Investments (up to 1 year)		Non-Specified Investments (> 1 year £20m limit)	
		Total Exposure £m	Time Limit *	Total Exposure £m	Time Limit *
<b>UK "Nationalised" banks / UK banks with UK Central Government involvement</b>					
Royal Bank of Scotland	GBR	85.0	364 days	-	-
Natwest Bank	GBR				
Ulster Bank Ltd	GBR				
Bank of Scotland	GBR	85.0	364 days	-	-
Lloyds TSB	GBR				
<b>UK "Clearing Banks", other UK based banks and Building Societies</b>					
Santander UK plc (includes Cater Allen)	GBR	40.0	6 months	-	-
Barclays Bank	GBR	75.0	6 months	-	-
HSBC	GBR	30.0	364 days		
Clydesdale Bank (trading as Yorkshire Bank)	GBR	30.0 (Shared with NAB)	Temporarily suspended	-	-
Goldman Sachs International Bank	GBR	40.0	3 months		
Nationwide Building Society	GBR	40.0	6 months	-	-
Leeds Building Society	GBR	20.0	3 months	-	-
<b>High quality Foreign Banks</b>					
National Australia Bank	AUS	30.0 (Shared with Clydesdale)	364 days	-	-
Commonwealth Bank of Australia	AUS	20.0	364 days		
Canadian Imperial Bank of Commerce	CAN	20.0	364 days	-	-
Deutsche Bank	DEU	20.0	3 months	-	-
Nordea Bank Finland	FIN	20.0	364 days	-	-
Credit Industriel et Commercial	FRA	20.0	6 months	-	-
BNP Paribas Fortis	FRA	20.0	6 months	-	-
Nordea Bank AB	SWE	20.0	364 days	-	-
Svenska Handelsbanken	SWE	40.0	364 days	-	-
<b>Local Authorities</b>					
County / Unitary / Metropolitan / District Councils		20.0	364 days	5.0	2 years
Police / Fire Authorities		20.0	364 days	5.0	2 years
National Park Authorities		20.0	364 days	5.0	2 years
<b>Other Deposit Takers</b>					
Money Market Funds		20.0	364 days	5.0	2 years
UK Debt Management Account		100.0	364 days	5.0	2 years

\* Based on data as 9 January 2015



## APPROVED COUNTRIES FOR INVESTMENTS

Based on the lowest available rating

Sovereign Rating	Country
AAA	Australia Canada Denmark Germany Luxembourg Norway Singapore Sweden Switzerland
AA+	Finland Hong Kong Netherlands UK USA
AA	Abu Dhabi (UAE) France Qatar
AA-	Belgium Saudi Arabia

# Selby District Council

## REPORT

Reference: E/14/72

Public – Item 12



**To:** The Executive  
**Date:** 5 February 2015  
**Status:** Non Key Decision  
**Report Published:** 28 January 2015  
**Author:** Richard Welch (Policy Officer)  
**Executive Member:** Councillor John Mackman  
**Lead Officer:** Director of Community Services Keith Dawson

**Title:** Update on the performance of the Core Strategy's policies in the Authority Monitoring Report (AMR), including the Local Development Scheme and the 5 Year Housing Land Supply report (5YHLS).

### Summary:

This report provides for information the Authority Monitoring Report which details the performance of the Core Strategy's policies against the targets. This report also updates the Executive on the position on the Local Development Scheme and 5YHLS in terms of the figures and the methodology. These reports were originally considered by Executive on the 4th of December 2014. Following comments made by Executive on that day, further work has been carried out and the revised reports are to be submitted for endorsement.

### Recommendations:

- i. **Endorse the performance of the Core Strategy's policies in the Authority Monitoring Report.**
- ii. **Endorse the approach to the 5 Year Housing Land Supply 2013/14 in the methodology and the figure for 2014.**

### Reasons for recommendation

- To inform the Executive of the performance of planning policies against Core Strategy targets.
- To inform the Executive on the latest position on the 5 Year Housing Land Supply.

## **1. Introduction and background**

- 1.1 The Policy Team continues to add more data to the AMR as more systems are set up to monitor the targets set in the Core Strategy indicators. This includes data on employment figures, traffic levels and more detailed housing figures and analysis.
- 1.2 Since December 2013 there have been a number of changes nationally in planning policy and planning appeals in terms of the approach to the 5 Year Housing Land Supply. This report covers the changes in detail, what this now means for the Council and the approach to planning applications prior to the Plan Selby (the site allocations and policies plan) being adopted.

## **2. The Annual Monitoring Report**

- 2.1 The Annual Monitoring Report (AMR) monitors the delivery of the Core Strategy Performance Indicators (Figure 13 of the Selby District Core Strategy 2013). The report also provides an annual overview of the progress of further plan making in the Council and some of the key areas of work that planning policy are undertaking, including the Allocations Document and the Community Infrastructure Levy.
- 2.2 Headline results for 2013/14 –
- 263 dwellings (houses) were completed (page 13 of the AMR).
  - 59% of these were on Previously Developed Land (PDL) (page 13)
  - 39 dwellings were affordable homes, this accounted for 15% of total completions. (page 24)
  - No affordable rural exceptions sites were built. (page 25)
  - The district saw an increase in permissions for renewable energy schemes for both wind turbines and solar, including 1 turbine at Fairburn. (page 38)

- According to the Department for Transport, there was an increase in motor vehicle journeys by 1.6% from 2011 and a decrease in cycle and bus journeys by 6.8% (page 37).
- No traveller sites were approved in 2013-14 (page 25).
- 29 Heritage assets in the District are now on the English Heritage 'at risk' register (page 39).

- 2.3 The authority is underperforming against some of the housing and economic indicators, this situation is set to improve in the medium to long term, as the housing market continues to recover and the Council adopts Plan Selby, its site allocations document. This will introduce a supply of sustainable and deliverable sites which will boost housing and employment development.
- 2.4 Page 5 of the AMR explains that because of the on-going legal challenge to the Core Strategy, the production of the site allocations document – then called the SAPP and now known as Plan Selby) was delayed. Appendix A of the report shows the revised Local Development Scheme timetable for Plan Selby.

### **3. The 5YHLS Report**

- 3.1 The National Planning Policy Framework (NPPF), states in paragraph 48 that; 'relevant policies for the supply of housing should not be considered up-to-date if the local planning authority cannot demonstrate a five-year supply of deliverable housing sites. They therefore carry little weight and there is a presumption in favour of sustainable development when considering planning permissions. Upon any refusal of permission there is a real risk that an appeal to the Secretary of State will succeed and permission will be granted, possibly with costs.
- 3.2 The NPPF also requires planning authorities to add a buffer to the land supply to ensure flexibility and choice. The normal buffer is 5% but a 20% buffer is recommended where local authorities have a record of persistent under delivery of housing. The Council accepts the 20% buffer is appropriate as it has not met its housing target for the last six years.
- 3.3 Recent planning appeals and the publication of National Planning Guidance (PPG) in March 2014 also place the additional requirement for a shortfall allowance (under delivery of the housing against the target) to be accounted for within the 5 year housing land supply. This

is to ensure the housing needs of the adopted plan period are delivered.

- 3.4 Appendix A sets out the 5YHLS methodology 2013/14 which takes into consideration shortfall and a 20% buffer. Table 4 shows that the Council now has a 4.3 year supply of housing.
- 3.5 This now means that the spatial strategy set out in Policy SP4, which directs development first to the Principal Town then to Local Service Centres and Designated Service Villages whilst restricting development in smaller settlements may be considered out of date when assessing planning applications. Applications for sites that are in all other respects acceptable and which are adjacent to sustainable settlements will be difficult to resist.
- 3.6 In order to ensure that sustainable development continues within the District, Development Management and the Policy Team will work closely together to ensure that an effective approach is established for determining planning applications until the Council is in a position to re-establish a 5 year land supply.
- 3.7 By allocating a significant amount of land for housing, the Council can re-establish a five year deliverable land supply and fully implement the spatial strategy. Ultimately this requires the adoption of a site allocation document. Our current plan for site allocations (Plan Selby) is scheduled for adoption in July 2017, however significant delays cannot be ruled out given the number of controversial matters that will need to be dealt with through the Examination in Public.
- 3.8 After the end of the financial year, the council will carry out a further examination of the 5 year housing supply position as quickly as possible. In the event that there is a sharp increase in the number of dwellings permitted in the 2014-15 financial year, then the Council may re gain a 5 year supply. If there is found to be more than a 5 year supply of housing in the authority, then policies within the Core Strategy would regain full weight.
- 3.9 In the previous report to the Executive (December 2014) it was suggested that the Council agree a position statement which set out how the Council would work with developers to bring forward sustainable development which complied with paragraph 14 of the NPPF in the absence of a 5 year housing land supply. However this area of policy is continually developing as more appeal and court decisions on the interpretation of the paragraph are made. As such it is

now not considered appropriate to ask the Executive to endorse any particular position statement. Officers will keep the situation under review and continue to use the latest guidance from government, the Planning Inspectorate and the Courts in assessing whether development is sustainable.

#### **4. Legal/Financial Controls and other Policy matters**

##### **Legal Issues**

- 4.1 The Council, as Local Planning Authority, is required to prepare and publish a monitoring report under s35 of the Planning and Compulsory Purchase Act 2004. That report must contain information relating to implementation of the Local Development Scheme and as to the extent that the policies within Local Development Documents are being achieved. The report must be made available to the public. Information on the 5YHLS position is generally published alongside the AMR as it is intrinsically linked through the NPPF and NPPG to the position on achieving the policies in the plans.

##### **Financial Issues**

- 4.2 There are no financial implications as a direct result of the report.

##### **Impact Assessment**

- 4.3 The impacts of the decision and how these have been mitigated are referenced in a full Equality Impact Screening which is included as an appendix to this report.

#### **5. Conclusions**

- 5.1 The AMR now reports against a greater array of indicators than ever before. Some underperformance of policies against targets has been identified and solutions are in place to rectify this.
- 5.2 The Council has a 4.3 year supply of housing. This means that in line with paragraph 49 of the NPPF policies in relation to the supply of housing are now considered out of date, and that applications should be considered against the presumption in favour of sustainable development. This means that policy SP1 of the Core Strategy will now be used to determine applications.

## **5. Background Documents**

*National Planning Policy Framework (NPPF)*

*National Planning Policy Guidance (PPG)*

*Selby District Core Strategy Adopted October 2013.*

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### **Appendices:**

*Appendix A – Draft 2013/14 Annual Monitoring Report*

*Appendix B – Draft 5 Year Housing Land Supply Methodology  
2013/14*

*Appendix C – Equalities Impact Screening Report*



# **Selby District Local Plan**

## **Authorities' Monitoring Report**

**February 2015**



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## **1.0 Introduction**

- 1.1 Monitoring has an essential role in policy development, and as part of the Local Plan (formerly Local Development Framework), local planning authorities are required to produce an Authorities' Monitoring Report (AMR) at least annually<sup>1</sup>.
- 1.2 The Local Plan is made up from a suite of documents that provide policies to deliver the development plan for the District. The AMR monitors whether Local Plan policies and related targets are being met.
- 1.3 This AMR monitors the period 1 April 2013 – 31 March 2014, using the indicators set out in the new Selby District Core Strategy Local Plan (Figure 13 – Core Strategy Performance Indicators), adopted on 22 October 2013.
- 1.4 Monitoring in this way will enable the Council to assess:
- Whether the Council is meeting the timescales and milestones in the Local development Scheme
  - The extent to which policy objectives are being achieved
  - Whether any policies need to be replaced to meet sustainable development objectives; and
  - What action needs to be taken if policies need to be replaced

### **Approach to the AMR**

- 1.5 As well as monitoring the indicators set out in the Local Plan, Part 8 of The Town and Country Planning (Local Planning) (England) Regulations 2012 [No. 767] sets out what additional information must be included in the AMR.

### **Data collection**

- 1.6 Data for the AMR is compiled from a number of sources; however the majority of the information comes from internal monitoring and information recording within the Council, unless another source is specified.

### **Implementation and Review**

- 1.7 Should annual monitoring of indicators reveal any significant failure(s) to meet targets, the Council will take action to rectify the situation as soon as possible. This could include actions needed either by the Local Authority or its partners to improve delivery of the Core Strategy objectives. Alternatively it might identify a need for a

<sup>1</sup> Section 35, Planning and Compulsory Purchase Act 2004.

partial or full review of the Development Plan Document, Core Strategy or Local Plan document.

- 1.8 In relation to individual areas or site-specific spatial development projects, the partnership approach to rectifying identified failure(s) will consist of the Council, together with government bodies, any local regeneration or community partnership, and the private sector. Other District-wide or non-spatial aspects will be delivered in conjunction with the Selby Local Strategic Partnership and consultation and involvement through the Community Engagement Fora.

### **Selby District Context**

1.9 *The Place*

Halifax's *Rural Areas Quality of Life Survey 2013* states that Selby District remains as the highest ranking area within the whole of the Yorkshire and Humber region for quality of life; and the highest in England overall. The survey considered issues such as the labour market, housing market, local environment, education and health.

1.10 *The People*

People living in Selby District have a life expectancy in line with the national average<sup>2</sup>. Health inequalities do exist, however, notably in the most deprived areas of Selby Town where life expectancy is lower by around 9 years for men and 8 years for women (Ibid). Selby District, as part of North Yorkshire, has one of the lowest recorded crime rates in England and Wales, falling almost every year for the past five years (Ibid).

1.11 *The Economy*

The percentage of pupils achieving five or more GCSE passes at A\* - C including English and Maths is average for England<sup>3</sup>. Overall according to OFSTEAD the majority of primary and secondary education in the District is 'Good' with Selby College rated as 'Outstanding' (Ibid).

- 1.12 Looking at working age adults with GCSE A–C, the District sits above all the North Yorkshire, regional and national averages – an estimated 5% growth for the District. This demonstrates an above average level of 'knowledgeable' workers accessing employment that requires a good standard of education. Nearly 86% of employment in the District is in the private sector (Ibid). Nearly half of those in employment in the District commute elsewhere, mainly to York and Leeds, with people taking advantage of the area's good transport links to enable a rural lifestyle.

1.13 *Planning for the Community*

<sup>2</sup> North Yorkshire County Council STREAM data analysis

<sup>3</sup> NHS Health Profile 2012)

Planning issues are an integral part of Selby District Council's long term strategic goals, as set out in the Corporate Plan 2011-15, with particular importance in three of the five key areas:

- I. Changing places: helping others to see our District through new eyes.
- II. Living well working with others to make this a great place to lead happy and healthy lives.
- III. Tackling the tough stuff taking the lead in supporting every part of the District

1.18 The Council is delivering on these strategic goals through its *Programme for Growth*, a three-year, £2million investment in the area. This funding has been made possible because of innovative changes to the way in which the Council delivers its services. The *Programme for Growth* comprises a number of work programmes that will deliver its services through practical solutions to meet the long term strategic goals.

1.19 The Council commissions Access Selby to deliver this work. Access Selby is a local authority enterprise that works at arm's length from the Council. In terms of planning matters, Access Selby works to a set contract with the authority, based on the delivery of key pieces of policy work and performance in dealing with planning applications.

1.20 Work already carried out by Access Selby through the *Programme for Growth* includes;

- setting the groundwork to support work placements and employment opportunities for the area's young people,
- developing new policies for the Council to help deliver new development, including work to deliver the long-term planning strategy, such as the Core Strategy and the Sites and Policies Plan.
- helping to support the development of the Olympia Park site at Barlby, which could deliver significant new housing and business opportunities.
- the creation of a Housing Trust to deliver brand new affordable homes in the area.
- The roll-out of the property search website, which aims to provide practical support to businesses looking to invest and grow.

### **Current Development Plan**

1.21 The Council is preparing a suite of Local Plan documents required under the Planning and Compulsory Purchase Act 2004<sup>4</sup> and Localism Act 2011, which will form part of the new Local Plan (formerly known as the Local Development Framework).

<sup>4</sup> Defined in Section 38 of the Act as amended

- 1.22 When adopted over the coming years, the new style plans will replace those policies in the 2005 Selby District Local Plan, which were 'saved' under transitional legislation until replaced by policies in the New Local Plan.
- 1.23 The current development plan for the District comprises:
- The Selby District Core Strategy Local Plan 2013
  - 'Saved' policies in the Selby District Local Plan (adopted 2005 and saved by direction of the Secretary of State 2008) and which are not specifically replaced by policies in the Selby District Core Strategy Local Plan, 2013
  - 'Saved' policies in the North Yorkshire Minerals Local Plan (1997)<sup>5</sup>
  - 'Saved' policies in the North Yorkshire Waste Local Plan (2006)<sup>6</sup>

### **Duty to Co-operate**

- 1.24 The Localism Act 2011 (Section 110) introduced the duty to co-operate which applies to all Local planning Authorities, National Park Authorities and County Councils throughout England, as well as a number of other public bodies. It requires Local Planning Authorities to engage constructively, actively and on an ongoing basis during the preparation of Local Plan documents to develop strategic policies.
- 1.25 The duty to co-operate is further developed in the National Planning Policy Framework (NPPF) and forms part of the soundness test for Local Plans as they go through independent examination. In developing Local Plan documents the Council will need to show how it has considered joint plan making arrangements, what decisions were reached and why. Under the regulations<sup>7</sup> Councils must report details of what action has been taken during the period covered by the AMR.
- 1.26 It is not currently proposed to prepare any joint Local Plan documents with neighbouring Local Authorities. However, the Council is working in partnership with other Local Authorities to ensure that cross boundary issues are fully addressed under its duty to co-operate<sup>8</sup>.
- 1.27 North Yorkshire County Council will contribute to the Council's plan making, particularly with regard to transport and education matters,

<sup>5</sup> Until superseded by the Joint Minerals and Waste Local Plan

<sup>6</sup> Until superseded by the Joint Minerals and Waste Local Plan

<sup>7</sup> Part 8 of The Town and Country Planning (Local Planning) (England) Regulations 2012 (SI 2012 No. 767)

<sup>8</sup> In line with the Localism Act 2011 and the National Planning Policy Framework (NPPF, 2012)

and advice on strategic planning, monitoring and intelligence, biodiversity, landscape, archaeology and sustainability aspects. The County Council is also preparing a Joint Minerals and Waste Local Plan.

- 1.28 The Council will also work with other public bodies such as the Environment Agency and Highways Agency, as well as key stakeholders in preparing the Local Plan.

## **2.0 Local Development Scheme (LDS)**

- 2.1 Local Planning Authorities are required under the Planning and Compulsory Purchase Act 2004 to prepare and maintain an up to date LDS.
- 2.2 As a key project management tool, the LDS will ensure that the policies and proposals of the Core Strategy are brought forward in such a way that ensures areas of greatest priority and need are tackled first, helping to secure implementation and timely delivery of the Core Strategy's objectives.
- 2.3 Over a three year period the LDS identifies the main documents constituting the new Local Plan to be prepared including setting out their coverage and status. The LDS outlines the statutory stages for consultation, submission and adoption.
- 2.4 The Council's fifth LDS for the period 2013-2016 came into effect on 22 October 2013.

### **Selby District Core Strategy Local Plan (2013)**

- 2.5 The Core Strategy is the long term strategic vision for how the District will be shaped by setting out a number of broad policies to guide development.
- 2.6 The Council submitted its Core Strategy to the Secretary of State for Communities and Local Government on 5 May 2011 and was subject to Examination in Public (EIP) between September 2011 and February 2013 by an Independent Inspector, who assessed the legal compliance and soundness of the document.
- 2.7 The Inspector presented his report of findings on 19 June 2013 and found the Core Strategy 'Sound' subject to a number of Modifications.
- 2.8 The Council formally adopted the Selby District Core Strategy Local Plan at a meeting of the Full Council on 22 October 2013.

### **Sites and Policies Local Plan (SAPP)**

- 2.9 Preparation work on the SAPP began in the last quarter of 2013 and an Initial Consultation is scheduled to begin in December 2014. The document has therefore slipped against the target for its preparation

set in the 2013 LDS. This was due to the on-going legal challenge involving the Core Strategy, Table 1 provides the extract from the 2013 LDS relating to the SAPP. Appendix A shows how the Local Development Scheme is proposed to be amended, to take account of the delay. As a result the adoption date of the Allocations Document has been set back 7 months to June 2017.



**Table 1. Extract from the agreed October 2013 LDS relating to the Sites and Policies Local Plan**

2013							2014							2015							2016																																
J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D											
							I											D																																			

**Key:**

- Preparation / Research / Analysis
- I Issues and Options Consultation
- D Draft Consultation / Preferred Options
- P Publication
- S Submission to SoS
- PH Pre-Hearing Meeting
- E Examination
- R Inspector's Report
- A Adoption

### **Community Infrastructure Levy (CIL)**

- 2.12 The Council is investigating the need for a CIL in terms of the strategic infrastructure required to accommodate the planned growth set out in the Core Strategy 2013. Should there be a need for such investment, then the Council will investigate the economic viability of a Levy to be placed on new development in order to raise capital to contribute towards those infrastructure improvements.
- 2.13 The Council intends to re consult on the CIL Preliminary Draft Charging Schedule in January 2015. It will then be submitted to the Secretary of State in March, with the examination in late May, with the document being adopted in August 2015.
- 2.14 Further information will be made available in next year's AMR with regard to whether the timetable set out overleaf (in table 2) is being met and to report on the amount of CIL collected and how it has been spent or distributed.

**Table 2 Revised CIL document preparation timeline**

2014												2015											
J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D
												CS		S		E		R	A				

**Key:**

- Preparation / Research / Analysis
- CS Draft Charging Schedule consultation
- S Submission to Secretary of State
- E Examination
- R Inspector's Report
- A Adoption

## **Neighbourhood Plans**

- 2.15 Neighbourhood planning is a key part of the Governments' localism agenda and aims to give communities greater power to shape development by taking a more active role in the development of planning policies at a local level.
- 2.16 Neighbourhood planning will be led by Town and Parish Councils, with Selby District Council providing technical assistance and making necessary decisions at key stages.
- 2.17 Neighbourhood plans are a localised planning policy document that will carry the same status as the Council's Local Plan documents, where they are in conformity with the Council's documents, and are adopted by the Council.
- 2.18 The Council is currently working on a pilot Neighbourhood Plan with Appleton Roebuck and Acaster Selby Parish Council. Designation of a Neighbourhood Area is the first formal stage in the preparation of a Neighbourhood Plan.
- 2.19 Table 3 overleaf provides the extract from the agreed 2013 LDS relating to the Appleton Roebuck and Acaster Selby Neighbourhood Plan, setting out the timetable.

**Table 3 Extract from the agreed October 2013 LDS relating to Appleton Roebuck and Acaster Selby Neighbourhood Plan**

2013						2014						2015																		
J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D
		AA		PS					C					E		R	A													

**Key:**

- Preparation / Research / Analysis
- AA Area application consultation
- PS Parish Surveys
- C Consultation on draft plan
- E Examination
- R Referendum
- A Adoption

## **3.0 Spatial Development Strategy**

3.1 The tables in this section summarise the indicators identified in the Local Plan that the AMR monitors. The AMR includes the full schedule of indicators set out in the Core Strategy 2013. The base date for the implementation and monitoring of the Core Strategy covers the period 2011 – 2027.

3.2 The Core Strategy Performance Indicators table is attached in table 4. It sets out the targets which will enable the Local Planning Authority to identify:

- Any significant effects that the Core Strategy is having on the delivery of sustainable development
- The extent to which policies within the Core Strategy are being implemented
- Whether the policies are working successfully, and if they are not, to explain why not
- If any of the Core Strategy policies need reviewing

### **Spatial Development Strategy and Housing Land Supply**

3.3 This section monitors the policies in the Spatial Development Strategy section of the Core Strategy Local Plan. The Spatial Development Strategy provides guidance on the proposed general distribution of future development across the District, including the broad location of a strategic development site to accommodate major residential and commercial growth in Selby.

3.4 Table 4 overleaf sets out the performance indicators for the ‘Spatial Development Strategy’ section of the Core Strategy Local Plan.

**Table 4 – Core Strategy Performance Indicators for ‘Spatial Development Strategy’**

<b>Core Strategy Policy</b>	<b>Core Strategy Objectives</b>	<b>Indicator</b>	<b>Target / Intended Outcome</b>	<b>Target met?</b>
SP2 / SP4	1, 2, 3, 4, 5, 6, 7, 8 and 14	(1) Proportion of new development with planning permission / completed in Selby, Sherburn In Elmet and Tadcaster	At least 51% of all development within towns and local service centres	<p>% of completions within the 3 main towns:                      Selby – 67%                      Sherburn In Elmet – 1%                      Tadcaster – 2%</p> <p>% of planning permissions within the 3 main towns:                      Selby – 39%                      Sherburn In Elmet – 30%                      Tadcaster – 1%</p>
		(2) Proportion on previously developed land (PDL)	Concentrating on reusing PDL	<p>Total completions on PDL = 156 dwellings (59% of total completions on PDL)</p> <p>Total outstanding plots on PDL = 641 (approx. 27% of total outstanding's on PDL)</p>
SP3	1, 2, 3, 4	(3) Scale and Type of new development in Green Belt	Nil approvals of inappropriate development in Green Belt	New indicator – monitoring systems being set up to inform future AMRs.
SP5 / SP7	1, 3, 4, 5, 6, 7, 8 and	(4) Overall completions	450 (net) dwellings completed per annum	263 (net) dwellings completed - 1st April 2013 – 31st March 2014.

	14	(5) Amount of new development completed by location (Selby, Sherburn In Elmet, Tadcaster, Designated Service Villages and Secondary Villages)	Minimum of 7200 new dwellings up to 2027	On-going monitoring to be reviewed year on year.
		(6) Modal split of those accessing the Olympia Park site.	Target to be determined through a future Travel Plan.	New indicator – monitoring systems being set up to inform future AMRs.
SP6	1, 2, 3, 5, 7 and 8	(7) Number of dwellings with planning permission	To achieve a 5-Year Housing Land Supply	1841 gross plots with planning permission. 4.3 year supply
		(8) Amount of new development approved by location (Selby, Sherburn In Elmet, Tadcaster, Designated Service Villages and Secondary Villages)	Planning permissions by settlement hierarchy	See Table 6 for split of completed dwellings across settlement hierarchy.  See Table 7 for split of dwellings with planning permission across settlement hierarchy



### Housing Land Requirement

- 3.6 In previous AMRs, the SDLP saved Policy H1 required that beyond 31 December 2006 the annual build rate from the Regional Strategy (RS) applied. RS established an annual target of 440 dwellings per annum for Selby District.
- 3.7 The RS was formally revoked on 22 February 2013 through the Localism Act 2011 and as such the housing requirement is now established within the adopted Core Strategy. The CS sets the annual housing target at 450 dwellings per annum between 2011 and 2027 to provide a minimum of 7200 dwellings.

### Annual Housing Target and Completions

- 3.8 Table 5 below shows the number of total housing completions against the appropriate annual target. Up to 31 December 2006 the target was established in the 2005 SDLP, then up to 22 February 2013 the target is the RS figure. From then onward, the Core Strategy target of 450 dwellings per annum is applied.

**Table 5 – Annual Housing Targets and Completions**

Year	Plan Period	Net Completions	Target	Gap
05-06	SDLP Plan Period	638	620	18
06-07		874	575*	299
07-08		583	440	143
08-09		226	440	-214
09-10		270	440	-170
10-11		366	440	-74
SDLP Total Net provision		2957	2955	2
11-12	Core Strategy Plan Period	338	450	-112
12-13		248	450	-202
13-14		263	450	-187
CS Total Net Provision		849	1350	-501

\* Total annual dwelling requirement up to 31 December 2006 is 620 (SDLP) and 440 (RS) from 1 January 2007, providing a requirement of 575 dwellings between 1 April 2006 and 31 March 2007.

### Annual housing completions by settlement and land type

- 3.9 Table 6 below summarises the completions by settlement type and land type, as established within Core Strategy policy SP2 (Spatial Development Strategy) and SP4 (Management of Residential Development in Settlements).
- 3.10 The Core Strategy proposes that the majority of new development in the District will be directed to the towns and more sustainable villages. The proportion of new housing development by location is

illustrated in the Core Strategy 'Creating Sustainable Communities' section<sup>9</sup>. Table 6 below sets out the amount of completed dwellings as a percentage across the settlement hierarchy, and the amount of housing with planning permission as a percentage across the settlement hierarchy.

**Table 6 – Gross housing completions by settlement hierarchy and completions on previously developed land (PDL).**

Settlement hierarchy	Completions	% of total completed dwellings*	No. of completions on PDL	% of total completed dwellings* on PDL
Selby	179	67%	80	45%
Sherburn In Elmet	3	1%	3	100%
Tadcaster	5	2%	5	100%
Designated Services Villages	66	25%	64	97%
Secondary Villages	13	5%	3	23%
Countryside	2	1%	1	50%
<b>Total</b>	<b>268</b>	<b>100%*</b>	<b>156</b>	<b>59%</b>

\* Percentages do not add to 100% as they are rounded

### **Number of outstanding planning permission by settlement and land type**

3.11 Table 7 overleaf summarises the gross number of dwellings with planning permission by settlement and land type. The greatest proportion of planning permissions are in Selby, with permissions in the Designated Service Villages also making up nearly a quarter. The total in within towns and local service centres is 87%, well above the target of 51% set in the Core Strategy. The greatest proportion of dwellings with permissions on PDL are in Selby and the Secondary Villages, with PDL plots making up 27% of existing permissions.

<sup>9</sup> See Figure 7 (Proportion of Housing Development by Location), Core Strategy Local Plan 2013.

**Table 7 – Gross planning permissions by settlement hierarchy and planning permissions on previously developed land (PDL)**

<b>Settlement hierarchy</b>	<b>No. of dwellings with planning permission (PP)</b>	<b>% of total outstanding PP's*</b>	<b>No. of dwellings with PP on PDL</b>
Selby	938	39%	293
Sherburn In Elmet	727	30%	7
Tadcaster	33	1%	24
Designated Services Villages	419	17%	129
Secondary Villages	287	12%	185
Countryside	4	0.2%	3
<b>Total</b>	<b>2408</b>	<b>100%</b>	<b>641 (27%)</b>

\* Figures are rounded and may not add to 100%

**Status of Selby District Local Plan 2005 (SDLP) Allocations as at 31 March 2013.**

- 3.12 Between the adoption of the Core Strategy and the Sites and Policies Local Plan (SAPP), the 450 dwellings per annum target will be delivered from planning permissions on existing allocated SDLP Phase 2 sites, which were released in 2011 to boost supply. Currently the Phase 2 housing allocations provide the planned land supply, alongside other (windfall) development, for the District's housing requirement.
- 3.13 All Phase 1 allocated sites under the SDLP have been granted planning permission and have been completed. The remaining Phase 2 sites will provide the housing land supply for the subsequent years until the adoption of the SAPP.
- 3.14 Table 8 demonstrates how the allocated sites are contributing towards housing delivery. Allocations CHF/1 and HEM/2 were completed in 00/01 and 02/03 prior to sites being phased and are

therefore not included on this table. HEM/1, MONK/1, EGG/1 and WHIT/1 were Phase 1 sites but are not included in the table, which refers to allocated land set out in Policy H2 of the SDLP. These 4 sites already had planning permissions prior to 31 March 2004 and policy H2 identifies sites that refer to additional allocations that were over and above existing commitments. All 4 sites were completed in either 04/05 or 05/06. The allocations identified above and allocation NRD/1 which was completed during the 07/08 monitoring year, expired on 7 February 2008 by Direction of Secretary of State for Communities and Local Government under Development Plan regulations. Phase 2 sites released by Council 13<sup>th</sup> September 2011.

**Table 8 – Status of Housing Allocations** (as at 31 March 2013)

SDLP Reference	Location	Site Area (Ha)	Expected Number of Dwellings	Approved Gross Site Total	Number Of Dwellings Completed	SDLP Phase	Date Site Completed
HAM/2	Land West of Station Road, Hambleton	2.35	71	90	90	1	4/10 to 3/11
SEL/2	Land between Abbot's Road and the proposed bypass, Selby	56.14	1200	1200	567	1	-
SHB/1A	Land off Moor Lane, Sherburn	5.50	167	193	193	1	4/11 to 3/12
STM/1A	Land between Low Street and Common Lane (North), South Milford	3.20	96	108	108	1	4/09 to 3/10
CAR/2	Land West of Low Street, Carlton	2.60	25	25	25	2	4/03 to 3/04
BYR/1	Land at East Acres, Byram	0.7	20	0	0	2	-
CAM/1	Land adjacent to A645 (Drax Road) / A1041(T) (Snaith Road), Camblesforth	2.12	55	0	0	2	-
CAR/1	Land West of High Street, Carlton	2.40	38	0	0	2	-
EGG/2	Land East of High Eggborough Road, Eggborough	1.50	30	0	0	2	-
EGG/3	Land at A19 and Selby Road, Eggborough	6.76	67	0	0	2	-
HAM/1	Land East of Cherwell Croft, Hambleton	0.53	14	15	0	2	-
OSG/1	Land to North of Tindall's Farm,	1.47	48	0	0	2	-258

Osgodby							
SEL/1	Land between Cross Hills Lane and Leeds Road, Selby	21.90	450	0	0	2	-
SEL/2A	Land North of Garden House, off New Millgate, Selby	1.04	31	301	77	2	-
SHB/1B	Land off Low Street, Sherburn	39.30	282	718	0	2	-
STM/1B	Land between Low Street and Common Lane (South), South Milford	4.20	98	115	45	2	-
TAD/2	Land North of Station Road, Tadcaster	3.48	104	0	0	2	-
THW/2	Land South of Leeds Road, Thorpe Willoughby	4.96	133	149	0	2	-
<b>Totals</b>		85.14	2929	2914	1105		

### Key to table colours



Allocated Site Fully Built Out

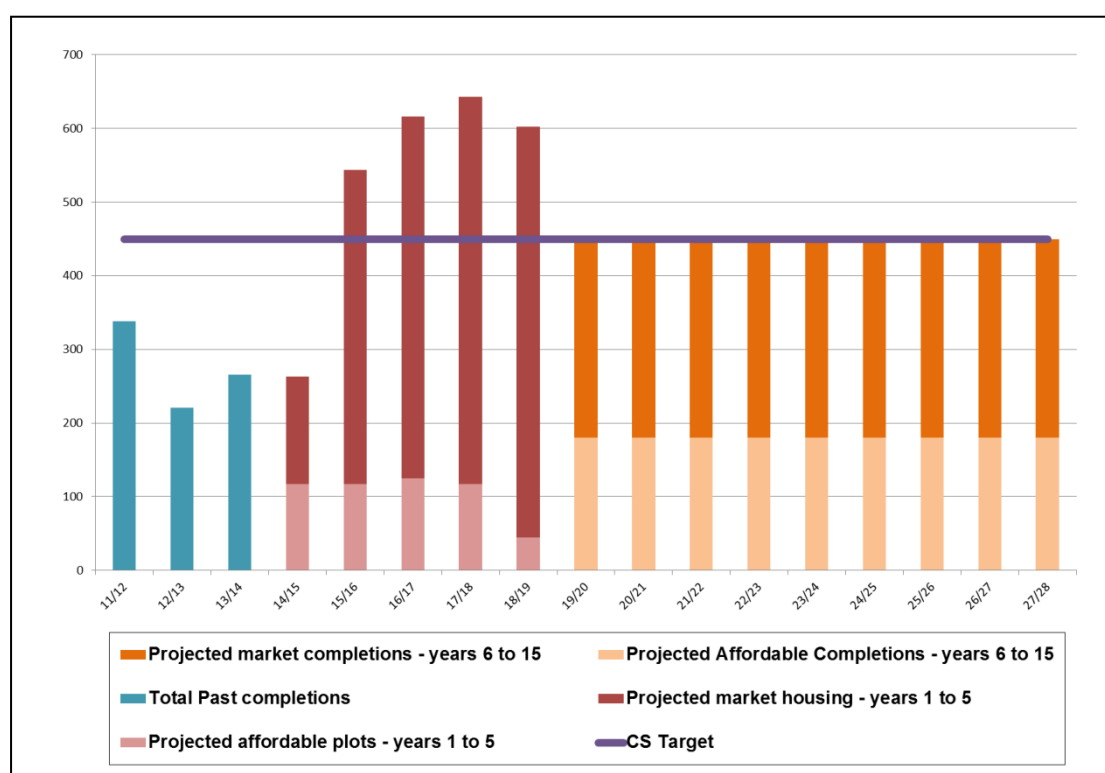
Allocated Site With Planning Permission

Allocated Site Without Planning Permission

## Housing Trajectory

- 3.15 Paragraph 47 of the National Planning Policy Framework (NPPF) states *‘for market and affordable housing, illustrate the expected rate of housing delivery through a housing trajectory for the plan period and set out a housing implementation strategy for the full range of housing describing how they will maintain delivery of a five-year supply of housing land to meet their housing target’.*
- 3.16 Graph 1 below sets out the housing trajectory. Further explanation is provided in the 5 Year Housing Land Supply Supplementary Paper alongside this AMR.

**Graph 1 – Housing Trajectory**



## Five Year Housing Land Supply

- 3.17 Paragraph 47 of the NPPF states that Local Authorities, on an annual basis, are required to demonstrate a sufficient supply of specific deliverable sites to provide five years' worth of housing against the Local Planning Authorities housing requirement.
- 3.18 The requirement should include an additional buffer of 20% where there has been a record of persistent under delivery of housing. The Council has applied the 20% buffer to its housing target, as it has not met its housing target for the past six financial years.
- 3.19 A Supplementary Paper to this AMR provides further details on the 5 Year Housing Land Supply and is available on the Council's website.
- 3.20 The 5 Year Housing Land Supply is set against the current housing

target of 450 dwellings per annum (dpa) for Selby District as set out in the adopted Core Strategy. However the target also includes a 20% buffer and any underprovision in the plan period.

- 3.21 The results provide an overall total of 2727 potential dwellings over the five years, indicating a 4.3 year supply against the target.
- 3.22 A summary of the 5 Year Housing Land Supply results is shown below in tables 9 and 10. Further details of the calculation method and sites included are provided in the 5 Year Housing Land Supply Supplementary Paper.

**Table 9 – 5 Year Housing Land Supply Results Summary**

Summary of sites contributing to 5 year supply		Potential Yield
A	Planning Applications (Gross) Dwellings on sites less than 15 units: 380 Dwellings on sites of 15 or more units: 1461	1841
B	Allocations SDLP Phase 2 sites: 301 Core Strategy Strategic Development Site: 225	526
C	Windfall	360
<b>Total plots considered to contribute to 2013/14 5 Year Supply</b>		<b>2727</b>

*Further detailed site assessments are provided in Appendix 1.*

**Table 10 - 5 Year Housing Land Supply Calculations 13/14**

A	Housing target for the plan period (2011-2027)	7,200
B	Annual housing target across plan period (A ÷ 16 years)	450
C	Five year target, no adjustment (B x 5)	2250
D	Buffer (5% or 20%)	2700 (20%)
E	Shortfall of housing provision from the plan period (requirement less completions)	501
F	<b>Five year target incorporating shortfall (D + E)</b>	<b>3201</b>
G	Annual target for next five years (F ÷ 5)	640

H	<b>Current expected deliverable supply 2013/14 – 2018/19</b>	<b>2727</b>
I	Gap (F - H)	-474
J	Council's Housing Land Supply equivalent to (H ÷ G)	4.3 year supply



## **4.0 Creating Sustainable Communities**

- 4.1 The Core Strategy Local Plan encourages the development of sustainable communities which are vital, healthy and prosperous. It aims to meet the current needs of local residents whilst recognising the importance of having regard as far as possible to future circumstances, and the legacy being created for future residents.
- 4.2 This section monitors the policies within the Sustainable Communities section of the Core Strategy Local Plan. It focuses on managing the future development within settlements to meet the aims and principles behind achieving sustainable development in line with the strategic aims of the plan.
- 4.3 Table 10 overleaf sets out the performance indicators for the 'Creating Sustainable Communities' section of the Core Strategy Local Plan.

**Table 11 – Core Strategy Performance Indicators for ‘Creating Sustainable Communities’**

<b>Core Strategy Policy</b>	<b>Core Strategy Objectives</b>	<b>Indicator</b>	<b>Target / Intended Outcome</b>	<b>Target met?</b>
SP8	5	(9) Completed new dwellings by number of bedrooms and dwelling type	To match housing mix requirements in SHMA or latest housing market assessment/needs survey.	39 affordable housing completions, of which; 22 were two bed properties 17 were three bed properties
SP9	2, 3 and 5	(10) Level of affordable housing approved and completed	Meet overall target for affordable housing provision of 40%, from all sources (unless viability case proven)	15% of total completions were affordable
		(11) Proportion of affordable homes by tenure	To broadly achieve a tenure mix of 30-50% for intermediate housing and 50-70% for social renting, through new affordable housing or in line with up to date evidence	39 completions comprising: 28 Intermediate (71%) 11 Social Rented (29%)
		(12) Range of dwelling types	To reflect the size and types of homes in the market housing scheme or reflect SHMA/local needs assessment for 100% AH schemes	New indicator – monitoring systems being set up to inform future AMRs.
		(13) Commuted sums collected and spent on providing affordable homes	That 100% of collected monies are spent on providing Affordable Housing	New indicator – monitoring systems being set up to inform future AMRs.

SP10	2, 3 and 5	(14) No. of dwellings in 100% affordable housing schemes or appropriate mixed Rural Exception Sites with planning permission / completed within or adjoining Development Limits in rural villages	To meet identified local needs in terms of numbers, sizes, types and tenure	No completions on rural exception sites in 2013-14.
SP11	3, 4, 5, 6, 8, 9 and 17	(15) No. of pitches with planning permission / completed for Gypsies / Travellers	To meet identified needs from an up-to-date local needs assessment	0 applications approved / with planning permission for Traveller sites in the District.
		(16) No. of new 'quarters' with planning permission / completed for Showpersons.	5 Year Supply of deliverable sites	The Council cannot demonstrate a 5 Year Supply of Deliverable Traveller Sites.
SP12	1, 2, 3, 8, 10, 12, 13, 14 and 17	(17) Access to community services / facilities including health care and ROS / green infrastructure within Parishes Facilities including health care.	Net gains in and improved access to community services / facilities and ROS / green infrastructure land area	New indicator – monitoring systems being set up to inform future AMRs.
		(18) Commuted sums collected for and spent to provide ROS and other Community	Improved quality of ROS / green infrastructure as evidenced through assessment and regular review	£140,737 collected for ROS.

		(19) No. of Travel Plans secured through the planning process	100% of new development requiring Travel Plans (by virtue of size threshold by type of development)	New indicator – monitoring systems being set up to inform future AMRs.
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## **Affordable Housing**

- 4.4 Consultants arc4 were commissioned in November 2008 to undertake a Strategic Housing Market Assessment (SHMA) to look at current housing provision and future requirements.
- 4.5 The SHMA forms a fundamental part of the evidence base for the progression and implementation of the Council's New Local Plan, the North Yorkshire sub-regional Housing Strategy, and local Action Plans. The report provides a detailed analysis of the current and future housing market and the types of housing requirements specific to the District and can be accessed via the Council's website.
- 4.6 Consultants GVA have undertaken a further North Yorkshire Strategic Housing Market Assessment (NYSHMA) published in November 2011. Appendix 8 of the NYSHMA deals with Selby utilising the SHMA 2009 dataset which was considered to represent an up-to-date and robust data source. The NYSHMA provides some further analysis to complement the findings of the 2009 Selby SHMA.
- 4.7 The evidence from the SHMA 2009 shows that there is a clear, strong need for affordable housing across Selby District. There is a gross annual shortfall of 409 affordable dwellings and a net shortfall of 378. A variety of affordable housing should be provided with particular emphasis on affordable housing for general needs (2 and 3 bed properties)
- 4.8 There is a requirement for both affordable homes for rent and intermediate housing options; analysis in the SHMA suggests a split in the 30-50% intermediate and 50-70% social rent across the District is appropriate.

## **Affordable Housing completions split by tenure**

- 4.9 There were 39 new build affordable housing completions between 1 April 2013 and 31 March 2014 split, as shown in Table 12.

**Table 12 – Affordable Housing completions split by tenure**

Tenure	1 Bed	2 Bed	3 Bed	4 Bed	Total
Shared Ownership	-	7	9	-	16
Social Rented	-	6	5	-	11
Affordable (intermediate) Rented	-	9	-	-	9
Discount for Sale/Homebuy	-	-	1	-	1
Mortgage Rescue	-	-	2	-	2
<b>TOTAL</b>	-	<b>22</b>	<b>17</b>	-	<b>39</b>

**‘Firstbuy’ completions**

- 4.10 ‘Firstbuy’ is a Government initiative designed to help first time buyers, administered by the Homes and Communities Agency (HCA), and run by a national network of HomeBuy agents (further details are available at [www.homesandcommunities.co.uk](http://www.homesandcommunities.co.uk)).
- 4.11 It aims to help households with an annual income of £60,000 per annum or less, by providing an equity loan of up to 20% of the value of the home they want to buy.
- 4.12 With mortgage lenders typically requiring deposits in the region of 25%, the scheme effectively provides access to a deposit that might otherwise have taken years to save. The equity loan is co-funded by the house builder, offering greater value for public money.
- 4.13 In addition to the 39 affordable housing completions there were 52 ‘Firstbuy’ completions:

**Table 13 - ‘Firstbuy/Help to buy’ completions 2013-14**

Site Name	No. of completions
Holmes Meadow (Selby)	7
Southfield park (South Milford)	18
Staynor Hall (Selby)	27
<b>TOTAL</b>	<b>52</b>

- 4.14 Of the 263 net total completions in the district in the 2013-14 financial year, 39 were affordable. This means that 15% of all completions in the authority were affordable. Of these 39 completions, 28 were intermediate schemes (71% of the total) and 11 were social rented schemes (29% of the total).

#### **Rural Exception Sites**

- 4.15 The Council has a rural housing exceptions site policy within the adopted Core Strategy Local Plan (Policy SP10 – Rural Housing Exceptions Sites) which has replaced the Selby District Local Plan 2005 ‘saved’ policy H11 (Rural Affordable Housing).
- 4.16 In this financial year, there have been no approvals or completions on rural exceptions sites.

#### **Travelling Community**

- 4.18 There are currently 24 Local Authority managed pitches (Carlton and Burn), as well as a number of pitches on privately owned and managed sites.
- 4.19 During this monitoring period (1 April 2013 – 31 March 2014) there have been no applications approved for permanent Traveller sites within the District.

#### **Traveller Needs**

- 4.20 Planning Policy for Traveller Sites (PFTS - March 2012) introduces the need for Local Authorities to provide five years’ worth of sites. In August 2013 the Council adopted the Traveller Needs Assessment (TNA), written by Peter Brett Associates. The TNA estimated that the extra pitch provision that is required for Gypsies and Travellers in the next 15 years in Selby is 33 pitches. This represents 19 pitches in the period 2013-2018 and 7 pitches each in the periods 2018-2023 and 2023-2028.
- 4.21 There have been no permanent approvals for Traveller plots which would contribute towards the identified need of 19 pitches (5 years’ worth of supply). As such the Council cannot demonstrate five years’ worth of deliverable pitches.

#### **Showman’s Needs**

- 4.23 The TNA stated that there are no sources of need for the provision of Travelling Showperson yards in Selby. Nonetheless, Selby District Council will ensure that criteria based policies are in place in order that any applications for sites received from Travelling Showpeople

in the future can be evaluated effectively.

### **Access to Services, community facilities and infrastructure**

#### **Open Space – New Open Space Provision/Contributions**

- 4.24 Policy RT2 of the Selby District Local Plan (SDLP) 2005 requires developers to provide recreation open space (ROS) for schemes comprising 5 dwellings or more. The policy allows for the provision of ROS in a variety of ways depending on the proposal. This could be on-site, within the locality, or through a commuted sum administered in accordance with the Council's Developer Contribution Supplementary Planning Document (2007).
- 4.25 Periodic Parish Services Surveys will provide the data to identify where there are losses and gains of ROS and green infrastructure.
- 4.26 Work is currently underway to identify and implement monitoring procedures for contributed sums across all relevant Council departments.
- 4.27 Contributions to the value of £140,737 have been received from schemes during the 2013/14 monitoring period. Table 14 overleaf sets out the contributions at Parish level for ROS contributions.



**Table 14 – ROS commuted sum contributions (1 April 2013 – 31 March 2014)**

<b>Parish</b>	<b>Contributions rec'd from schemes for ROS (£'s)</b>	<b>Contributions paid to Parish Council's for ROS schemes (£'s)</b>	<b>ROS commuted sum balance (£'s)</b>
Appleton Roebuck	7,665	500	11,117
Barlby & Osgoody	5,946	2,973	0
Brayton	-	-	7,225
Brotherton	-	1,336	92
Camblesforth		1,095	102
Carlton	-	30,755	30,755
Cawood	-	-	13,623
Church Fenton	-	-3,811	-3,811
Cliffe	13,062	-	13,062
Eggborough	-	-	2,449
Escrick	-	-	604
Fairburn	-	-	9,378
Heck	6,570	-	0
Hambleton	-	223	39,145
Riccall	41,802	34,860	3,471
Selby	7,665	9,591	235,634
Sherburn In Elmet	45,635	342	93,512.00
South Milford	45,635	42,215	78,848
Wistow	-	8,760	1,617
Womersley	-	7,665	7,665
<b>Total</b>	<b>£140,737</b>	<b>£103,656</b>	<b>£544,488</b>

## **5.0 Promoting Economic Prosperity**

- 5.1 The Government is committed to achieving sustainable economic growth, building prosperous communities and promoting the vitality and viability of town and other centres.
- 5.2 Achieving the right quantity, quality and spatial distribution of employment land is vital in terms of maximising an area's economic potential.
- 5.3 It is important to ensure that there is sufficient land available for inward investment and expansion of firms in the District to provide jobs and promote economic prosperity and to understand market activity. In order to do this, the Council has undertaken Employment Land Reviews in 2007 and 2010 and intends to update these during 2014.
- 5.4 This section will focus on the policies within the 'Promoting Economic Prosperity' section of the Core Strategy Local Plan which sets out the general approach to planning for a stronger economy, which is inevitably focussed on Selby, Sherburn In Elmet and Tadcaster. It also outlines the policy for continued economic diversification within the extensive rural areas of the District as well as focusing on the economy of town and village centres which are essential elements of the economic and service infrastructure of the District.
- 5.5 Table 15 overleaf sets out the performance indicators for the 'Promoting Economic Prosperity' section of the Core Strategy Local Plan.

**Table 15 – Core Strategy Performance Indicators for ‘Promoting Economic Prosperity’**

<b>Core Strategy Policy</b>	<b>Core Strategy Objectives</b>	<b>Indicator</b>	<b>Target / Intended Outcome</b>	<b>Target met?</b>
SP13	1, 2, 3, 4, 6, 7, 8, 9, 10, 13 and 15	(20) Supply of land developed for employment by use class and by location.	Planning permissions granted / completion of 37-52 ha of employment land uses.	7 approvals involving B uses. 36.43ha of employment land approved in 2013-14
		(21) Net losses and gains of employment floor space on existing employment sites / SLP allocations.	No net loss of existing employment floor space.	1,112,800m2 (111ha) net gain in B use floorspace as a result of planning approvals
		(22) Additional recreation and leisure uses.	Net gains in recreation and leisure.	Net gain of 5 Sports Pitches
		(23) Achieve growth in number of jobs within District by Location.	Net gains in number of jobs per year and in total by 2027 by location.  Reduced outward commuting levels by 2021 Census.	41,700 (1,600 net loss from previous year) 6% Unemployment Rate. 76% Employment Rate.
		(24) New / extended recreation and tourism activity in rural areas.	Net gain in recreation and tourism activity in rural areas	New indicator – monitoring systems being set up to inform future AMRs.
		(25) Results of the SHMA updated on a 3 yearly basis.	Net gains in rural diversification floor space by use. Net gains in rural jobs.	New indicator – monitoring systems being set up to inform future AMRs.
SP14	1, 2, 3, 7, 8, 9, 10	(26) Planning permissions / completions of floor space for	Net gains in retail floor space and town centre uses in	183m2 gain in approved A class floorspace in the defined town centre

	and 13	town centre uses, broken down by use-class within the 3 town centres by location.	defined town centres.	of Selby.
		(27) Regular town centre health checks in line with Government guidance.	Improved performance on health check assessment.	New indicator – monitoring systems being set up to inform future AMRs.
		(28) Parish Services Survey.	Improved retail performance of town centres over a five year period within regional hierarchy using Ranking in MHE UK Shopping Index (or equivalent recognised measure).	New indicator – monitoring systems being set up to inform future AMRs.
		(29) Gains and losses in services and facilities in villages.	No net loss in viable retail floor space and other existing facilities within villages.	New indicator – monitoring systems being set up to inform future AMRs.

**Amount of additional completed floorspace (m<sup>2</sup>) by use class and location**

5.6 Below is a list of approvals in 2013-14 involving gains and losses in floorspace for B1 (Business), B2 (General Industrial) and B8 (Storage and Distribution) uses. The greatest addition to the total amount of B use floorspace comes from the Former Airfield on Lennerton Lane, Sherburn in Elmet.

**Table 16: Applications approved involving B uses in 2013/14**

<b>Application</b>	<b>Location</b>	<b>Description</b>	<b>Net gain in Floorspace (m<sup>2</sup>)</b>	<b>Total Area (ha)</b>
2013/1052/COU	Unit 1 The Maltings Industrial Estate Selby Road Eggborough	Change of use from B1 business to B2 general industrial for car repairs and MOT centre	253	0.9
2013/1019/COU	Unit 2, Union Lane, Selby	Change of use from B2 to A1 discount frozen food outlet	-110	-0.2
2013/0777/COU	Jandrem Hirst Road, Carlton	Change of use of industrial land (B2) to use for the storage of caravans	-5,400	-0.57
2013/0467/OUT	Land at Former Airfield Lennerton Lane, Sherburn in Elmet	B2/B8 use with ancillary offices	1116,129	34.91
2013/0248/FUL	Land at Selby Business Park Oakney Wood Road, Brayton	9 industrial units for B1, B2 and B8 uses	1103	0.77
2014/0034/FUL	Pumping Station Wand Lane, Hensall	Erection of an industrial building for use B8	178	0.10
2013/1245/FUL	Industrial Chemicals Group Ltd Canal View, Selby	Storage Building for B8 Purposes	900	0.52
<b>Net Totals</b>			<b>1,112,800</b>	<b>36.43</b>

- 5.7 Table 16 identifies that the net gain in B1 floorspace has been very small, due in part to the loss of some floorspace at the Maltings industrial estate in Selby. There have been large net gains in B2 and B8 floorspace, due to the permission at the former airfield on Lennerton Lane, Sherburn in Elmet.

**Table 17 – Gains and losses of B1/B2/B8 floorspace (m<sup>2</sup>) as a result of approved applications in 2013/14\***

	<b>B1 (Business)</b>	<b>B2 (General Industrial)</b>	<b>B8 (Storage and Distribution)</b>	<b>Totals</b>
<b>Gain</b>	368	558,774	559,421	1,118,563
<b>Loss</b>	253	5,510	0	5,763
<b>Net Total</b>	115	553,264	559,421	1,112,800

*\*Approvals for multiple use classes have had the total floor space split evenly between the use classes.*

**Total amount of approved floorspace for town centre uses (m<sup>2</sup>)**

- 5.8 During the monitoring period 2013/14 there were 4 applications involving A class uses in the Selby defined town centre. This resulted in a net increase of 183 square metres of A class retail floorspace.

**Table 18 - Total amount of approved floorspace for town centre uses (m<sup>2</sup>)**

<b>Location</b>	<b>Application Reference</b>	<b>Change</b>	<b>Net gain/loss in A use floorspace</b>
58A Gowthorpe	2014/0041/COU	B1 to A2	775m2 gain
1B Market Cross Shopping Centre, Selby	2013/0097/COU	A1 to A2	no loss/gain
8 Brook Street, Selby	2013/0821/COU	A1 to A3	no loss/gain
38B Gowthorpe	2014/0023/COU	A1 to Suis Generis	592m2 loss
<b>Total net gain in A class use floorspace</b>			<b>183m2 gain</b>

## **Net gains in recreation and leisure.**

- 5.9 During the financial year 2013-14, the following schemes for recreation and leisure were approved in the authority.
- 4 sports pitches at Queen Margaret School, Escrick. (2013/0235/COU)
  - Change of use of agricultural land to a sports fields and the replacement of the existing changing facilities with new, South Milford (2013/0662/FUL)

## **5.10 Net gains in number of jobs**

According to Nomis official labour market statistics, the number of people employed in Selby at the end of March 2014 was 41,700, or 76.3% of those who are economically active. This is a decline of 1,600, or 3.7%, from the 43,400 figure seen at end of the previous financial year. Unemployment fell slightly from 2,500 to 2,400 and accounts for 5.4% of the population who are economically active.

## **6.0 Improving the Quality of Life**

- 6.1 The planning system has an important role to play in managing the quality of both the built and natural environment. Selby District contains a range of important environmental assets including listed buildings, conservation areas, wildlife habitats and a range of landscapes. It is equally important to promote the health and wellbeing of communities.
- 6.2 This section considers the policies within the 'Improving the Quality of Life' section of the Core Strategy which, in order to deliver the Council's vision for the area in a sustainable manner, seek to enable the District and its residents to both mitigate and adapt to the future impacts of climate change. The Core Strategy policies aim to reduce greenhouse gas emissions and protect resources, whilst providing opportunities to exploit realistic alternatives to 'fossil fuels' by promoting renewable energy, to combat fuel poverty and improve energy security in the longer term.
- 6.3 Table 18 overleaf sets out the performance indicators for the 'Improving the Quality of Life' section of the Core Strategy.

**Table 19 - Core Strategy Performance Indicators for 'Improving the Quality of Life'**

Core Strategy Policy	Core Strategy Objectives	Indicator	Target / Intended Outcome	Target met?
SP15	3, 6, 7, 8, 14, 15 and 16	<i>NB This is an over-arching climate change policy. The following are additional indicators not covered elsewhere:</i>		
		(30) Reducing travel by private car.	Rate of traffic growth is reduced and commuting distances reduced.	Journeys by private car decreased by 1.6% from 2011
		(31) Increasing walking, cycling and use of public transport.	Travel Assessment and Green Travel Plans submitted for all developments that warrant them. Higher patronage of walking, cycling, bus by end of plan period.	New indicator – monitoring systems being set up to inform future AMRs.  Journeys by buses and bicycles decreased by 6.8% from 2011
		(32) Permission granted contrary to outstanding Environment Agency flood risk objection.	No applications granted contrary to an Environment Agency Objection  No net loss of flood storage capacity.	Information unavailable this year  New indicator – monitoring systems being set up to inform future AMRs.
		(33) % of development incorporating SuDs	100% of all new development incorporating SuDs where feasible and practicable.	New indicator – monitoring systems being set up to inform future AMRs.
SP16	12, 15, 16 and 17	(34) % of residential and non-residential schemes meeting	100% of schemes unless unviable or not feasible	New indicator – monitoring systems being set up to inform



		threshold and achieving the minimum 10% requirement for energy use from decentralised, renewable or low carbon sources.		future AMRs.
		(35) No. of strategic development sites and other designated allocations using the following technologies for the majority of their needs : <ul style="list-style-type: none"> <li>• Local biomass technologies,</li> <li>• Energy from waste,</li> <li>• Combined Heat and Power schemes, and</li> <li>• Community Heating Projects.</li> </ul>	100%.	New indicator – monitoring systems being set up to inform future AMRs.
		(36) No. of houses built to 'Code for Sustainable Homes' standards.	Increase year on year.	New indicator – monitoring systems being set up to inform future AMRs.
		(37) No. of non-residential developments built to BREEAM standards.	Increase year on year.	New indicator – monitoring systems being set up to inform future AMRs.
SP17	12, 15, 16 and 17	(38) Permitted stand alone renewable schemes (MW) that are installed and grid connected.	At least 32MW by 2021.	327MW of approved renewable energy schemes.
		(39) Permitted 'micro-generation' schemes – not grid connected.	Increase year on year.	New indicator – monitoring systems being set up to inform future AMRs
SP18	2, 3, 11,	(40) Safeguarding protected	No net losses in designated	Reduction of 241 hectares of land

	12, 14, 15, 16 and 17	historic and natural sites.	nature conservation or heritage assets.	with biodiversity importance since the 2008/09 baseline.
		(41) Amount of Green Infrastructure.	Net gain in biodiversity.	New indicator – monitoring systems being set up to inform future AMRs.
		(42) Numbers of heritage assets and assets at risk as recorded in 'Heritage Counts' and 'Heritage at Risk Register'.	Reduction in the numbers of heritage assets on the 'Heritage at Risk Register'.	29 heritage assets at risk, an increase of 1 from last year's total of 28
		(43) Supporting the creation and restoration of habitats	Meeting habitats targets in the National strategies and the local Biodiversity Action Plan.  Net gains in green infrastructure	New indicator – monitoring systems being set up to inform future AMRs.  New indicator – monitoring systems being set up to inform future AMRs.
SP19	8, 11, 12, 14 and 15	(44) No. of homes built to nationally recognised design benchmarks.	Increase year on year.	New indicator – monitoring systems being set up to inform future AMRs.

## Climate Change

- 6.4 Indicators 30 (Reducing travel by private car), & 31 (Increasing walking, cycling and use of public transport) measure the effects of Policy SP15 in minimising traffic growth and providing sustainable travel options. Progress will be judged by a percentage decrease or increase against the figures from the 2011 base date of the Core Strategy.
- 6.5 Table 19 shows the number of journeys taken on the District's roads by method of transport according to national traffic data from the Department for Transport. It can be seen that over the last year there has been a reduction in journeys by sustainable methods, including buses, coaches and cycling, and an increase in travel by car. However since the base date of the plan there has been a decrease in car journeys, as well as a decrease in travel by sustainable methods.

**Table 20- Journey's in Selby by methods of transport 2011-13.**

<b>Year</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>
Heavy Goods Vehicles	108390	108338	113145
Light Goods Vehicles	141573	144113	143505
Buses/Coaches	6523	6157	6115
Motorcycles	7656	6597	6236
Cars	809130	795406	796366
Bicycles	1643	1629	1496
All Motor Vehicles	1073272	1060605	1065367

Data taken from the department for transport's annual traffic counts

## Renewable Energy

### Grid Connected Renewable Energy Generation

- 6.6 The now-revoked Regional Strategy (RS) provided indicative local targets for Selby District for installed grid-connected renewable energy of 14 MW (megawatts) by 2010 and 32 MW by 2021. The adopted Core Strategy incorporates these figures using evidence from studies at sub-regional level (2004 and 2005)<sup>10</sup> to establish a local target for indicative potential, installed, grid-connected renewable energy within Selby District of 32 MW by 2021.

<sup>10</sup> For STREATS see Core Strategy Background Paper No. 8 (Climate Change and Sustainable Development) for website link to reports and further information.

- 6.7 A further sub-regional study<sup>11</sup> assessed the potential for the full range of renewable energy technologies in the District as well as looking at the possible constraints to implementation, as a basis for further local studies and ultimately potentially identifying local targets. The range of renewable technologies includes: Solar thermal, Photovoltaics, Wind, Biomass, Fuel cells, Energy from waste (Biological and Thermal), Hydro, Heat pumps, Wave and Tidal, and CHP or CCHP<sup>12</sup>
- 6.8 Recent changes to the Town and Country Planning general Permitted Development order has meant that the installation of small scale domestic renewable energy, in most cases, no longer requires planning permission. Therefore, there may be more small scale domestic renewable energy installations within the District than reported annually.

**Table 21 – Wind turbine applications granted permission**

Monitoring Year	Address	No. of turbines	Kw/MW
2011/12	2011/0153/FUL - Mount Pleasant Farm, Kelfield	2 x 11Kw	22Kw
	2011/0830/MAN - Whitemoor Farm, Cliffe Common	1	50Kw
	2011/1010/FUL - Commonsides Farm, Barlow	1	275Kw
	2011/1025/FUL - Grange Farm, Womersley	1	225Kw
	2011/1030/FUL - Northfield Farm, Birkin	1	330Kw
	2011/1044/FUL - Manor Farm, Beal	1	330Kw
	2011/1051/FUL - Apple Blossom Farm, Camblesforth	1	11Kw
	2011/1087/FUL - Lockgate Farm, Balne	1	80Kw
<b>Total (up to 31/03/12): 1,323 Kw</b>			
2012/13	2012/0128/FUL - Lockgate Farm, Balne	1	55Kw
	2012/0282/FUL - Dutch Pig Farm, Barlby	1	50Kw
	2012/0282/FUL - Lara Bridge, South Duffield	1	225Kw

<sup>11</sup> 'Renewable and Low Carbon Energy Capacity Study for Yorkshire and Humber Part B: Opportunities and Constraints Mapping – Draft Report', April 2010, AECOM for Local Government Yorkshire and Humber.

<sup>12</sup> Core Strategy Background Paper No. 8 (Climate Change and Sustainable Development) provides further details.

	2012/0413/FUL - Osgodby Grange, Osgodby	1	50Kw
	2012/0128/FUL - West Grange, Thorganby	1	55Kw
	2012/0434/FUL - Northfield Farm, Birkin	1	500Kw
	2012/0690/FUL - Wood End Farm, Cliffe	1	80Kw
	2009/0744/EIA (Wind Farm) - Cleek Hall, Cliffe	5 X 2 - 2.5MW	12.5MW
<b>Previous Total (up to 31/03/13): 13,515 Kw</b>			
<b>2013/14</b>	2013/0810/FUL Beckfield Farm, Newton Lane Fairburn	1	100kw
<b>Total (up to 31/03/14): 13,615 Kw</b>			

**Table 22 – Other renewable energy proposals given permission 2013-14**

<b>Site</b>	<b>Proposal</b>	<b>Energy generation</b>
<b>Previous Total (from 01/04/2011 to 31/03/13)</b>	183,368 Kw	
2013/1173/FUL Kingspan Insulation Ltd Enterprise Way Sherburn In Elmet	Installation of a solar PV system on a cladded roof	3MW
2014/0003/FUL Babthorpe Farm Hull Road Hemingbroug	Installation of 436 ground Mounted photovoltaic panels	100MW
2011/1214/FUL Cliffe Common, Cliffe	Installation of 216 ground mounted photovoltaic array	50Kw
<b>Total (up to 31/03/14)</b>	<b>313,418 Kw</b>	

6.9 When the total energy from approved wind energy schemes is added to the total energy from other approved schemes renewable since the base date of the plan (01/04/2011), a total of 327,033 Kw, or 327MW is reached.

## Protecting and Enhancing the Environment

### Changes in areas of Biodiversity importance

- 6.10 At the baseline figure for 2008/09 there were 1973 hectares of land with biodiversity importance in Selby District (based on Sites of Importance for Nature Conservation). The survey is currently undertaken by North Yorkshire County Council and updated SINC information was provided to the Council in November 2013. The current SINC list (July 2013) shows there is a total of 1732 hectares of land with biodiversity importance within the District, identifying a reduction on 241 hectares in land with biodiversity importance in the District since the base date of the plan. However there has been an increase in 307 hectares since last year's data.

### Heritage assets at risk as recorded in the 'Heritage at Risk Register'

- 6.11 'Heritage at Risk' is an English Heritage campaign to save listed buildings and important historic sites and landmarks from neglect or decay. The Heritage at Risk Register is an online database containing details of each site known to be at risk, and is analysed and updated annually. At risk evidence tells communities about the condition of their local neighbourhood; it encourages them to become actively involved in restoring what is precious to them and it reassures them that any public funding goes to the most needy and urgent cases
- 6.12 The most recent register was published in October 2014 and showed that there were 29 Heritage assets at risk in the Selby District, an increase in one from the previous year's register. There was a reduction of one archaeological asset at risk, but an increase of two places of worship at risk. More detailed information can be found on the English Heritage website.
- 6.13 Table 24 serves no indicator directly but is included for information purposes. It shows the quantities of heritage assets in the District from the start of the 2014 financial year. Please note there has been no change in the figures above since the last monitoring period (2012/13).

**Table 23 – Entries on the 'Heritage at Risk' Register for Selby District\***

Building and structure entries	Place of worship entries	Archaeology entries	Other Assets
4	4	21	0

**Table 24 – Conservation Assets as of 01/04/2014**

**Conservation**

Number of Listed Buildings	619
Number of Conservation Areas (April 2008)	23
Size of Conservation Areas (April 2008)	449 hectares
Area of designated Green Belt Land (March 2009) hectares	19,240
Sites of Importance to Nature Conservation hectares	1,973

There has been no change in the figures above since the last monitoring period (2012/13).

### Appendix A: Revised Local Development Scheme relating to PLAN Selby

2014		2015											2016											2017									
N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A
IC													FC						P					S		PH	E			R			A

**Key:**

- Preparation / Research / Analysis
- IC Initial Consultation
- FC Further Consultation
- P Publication of Submission Draft
- S Submission to Secretary of State
- PH Pre-Hearing Meeting
- E Examination in Public
- R Inspector's Report
- A Adoption



# **Selby District Council**

**5 Year Housing Land Supply April 2013 to March 2014.**

## **Methodology Update**

**February 2015**



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## 1. Introduction & Background

1.1 The purpose of this paper is to:

- set out the methodology used in assessing the 5 year housing land supply (5YHLS);
- provide the basis for a 5 year housing land supply calculation.

1.2 The Council has had an established 5YHLS methodology since 2010 which has been annually updated to ensure consistency with policy and guidance. This year, in order to respond to recent planning appeals for housing, the adoption of the Core Strategy in October 2013, the publication of national Planning Practice Guidance (PPG) in March 2014 and subsequent Planning Advisory Service (PAS) Guidance; there is now the need to review the Council's approach to the 5YHLS in light of a changing national planning policy landscape.

1.3 The National Planning Policy Framework (NPPF, March 2012) paragraph 47 requires Local Planning Authorities to:

*'identify and update annually a supply of specific deliverable<sup>1</sup> sites sufficient to provide five years' worth of housing against their housing requirements with an additional buffer of 5% (moved forward from later in the plan period) to ensure choice and competition in the market for land. Where there has been a record of persistent under delivery of housing, local planning authorities should increase the buffer to 20% (moved forward from later in the plan period) to provide a realistic prospect of achieving the planned supply and to ensure choice and competition in the market for land;*

Footnote: <sup>1</sup> *To be considered deliverable, sites should be available now, offer a suitable location for development now, and be achievable with a realistic prospect that housing will be delivered on the site within five years and in particular that development of the site is viable. Sites with planning permission should be considered deliverable until permission expires, unless there is clear evidence that schemes will not be implemented within five years, for example they will not be viable, there is no longer a demand for the type of units or sites have long term phasing plans.*

1.4 The Planning practice Guidance (PPG) states that: "Deliverable sites for housing could include those that are allocated for housing in the development plan and sites with planning permission (outline or full that have not been implemented) unless there is clear evidence that schemes will not be implemented within five years. However, planning permission or allocation in a development plan is not a prerequisite for a site being deliverable in terms of the five-year supply. Local planning authorities will need to provide robust, up to date evidence to support the deliverability of sites, ensuring that their judgements on deliverability are clearly and transparently set out".

1.5 The National Planning Policy Framework requires local planning authorities to identify and update annually a supply of specific deliverable

sites sufficient to provide five years' worth of housing. As part of this, local planning authorities should consider both the delivery of sites against the forecast trajectory and also the deliverability of all the sites in the five year supply. The housing trajectory will be updated in due course as part of the AMR and is not covered in this note.

#### *Undersupply*

- 1.6 Local planning authorities should aim to deal with any undersupply within the first 5 years of the plan period where possible.

#### *Buffer*

- 1.7 As part of the NPPF there is also the requirement to provide a buffer of 5% (or 20% where there has been a record of persistent under delivery of housing) in land supply to offer greater choice and flexibility in the market.
- 1.8 Last year (2012/13) the Council assessed the local requirements for a buffer based on past completion rates. The 10 year average compared the annual housing requirement against housing completions and concluded that there was evidence of persistent undersupply; as such a 20% buffer is demonstrated in the calculations. See Table 3 for further information.

#### *Definition of Previously Developed Land (PDL), Windfalls and Garden Land*

- 1.9 Paragraph 48 of the NPPF states; *'Local Planning Authorities may make an allowance for windfall sites in the five year supply if they have compelling evidence that such sites have consistently become available in the local area and will continue to provide a reliable source of supply. Any allowance should be realistic having regard to the Strategic Housing Land Availability Assessment, historic windfall delivery rates and expected future trends, and should not include residential gardens'*
- 1.10 Windfalls are expected to continue to be a reliable source of supply, therefore the Council is making an allowance for windfalls in the 5 year housing land supply. This is in line with the Core Strategy Policy SP4 (Management of Residential Development in Settlements)<sup>1</sup>.
- 1.11 In order to quantify the allowance, the Council has:
- considered evidence from historic supply that shows windfalls have consistently made a substantial contribution to the supply; and
  - projected the average number of these past windfall plots forward as completions, at a similar rate to which they were being completed in recent years.
  - deducted the average number of windfall plots completed on residential garden land, reflecting policy in the NPPF and Core

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<sup>1</sup> See Core Strategy Section 5 and Appendix C for further details

Strategy.

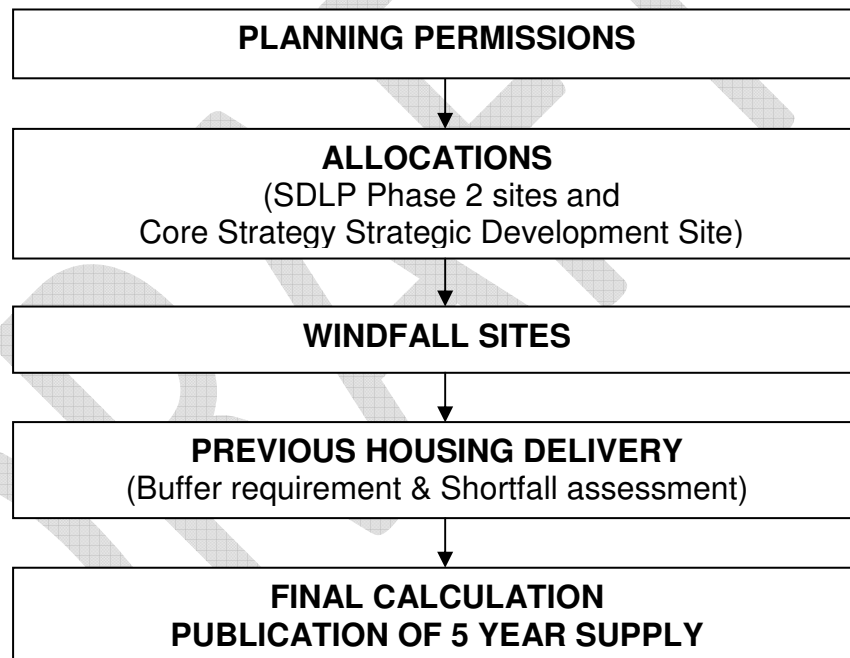
## 2. Methodology for calculating the 5 year supply June 2014 update.

2.1 This methodology for the 5 year housing land supply sets out all the data sources and criteria which are applied in the calculations, consistent with NPPF paragraph 47 (and footnotes 11 and 12).

*Data collection for 5 year housing land supply*

2.2 The flowchart below identifies the process involved in undertaking the annual update and which data sources are used. Further explanation of each stage is outlined in detail later in this section.

**Figure 1. The 5 Year Housing Land Supply Assessment Process**



*How sites are selected for current expected deliverable supply*

2.3 The Council undertakes an annual survey of sites with planning permission within the District to ascertain the status of each site to determine what is built and what remains outstanding for future development.

2.4 A list of planning permissions which are yet to be implemented is produced annually as at the 1st April to be included as part of the 5 year housing land supply calculations.

2.5 This list of permissions also includes outline planning permissions as the principle of development has been established, subject to reserved matters.

- 2.6 The footnote to paragraph 47 of the NPPF states that sites with planning permission should be considered deliverable until permission expires, unless there is clear evidence that schemes will not be implemented within five years. In undertaking the site assessments, small sites and large sites are treated differently for practical reasons.

***Smaller sites with planning permission (less than 15 dwellings)***

- 2.7 Small sites are not individually assessed when predicting the extent to which they will be implemented; instead a non-implementation discount of 10% is applied to the total number of dwellings on sites of less than 15 dwellings (in line with Policy SP5 of the Core Strategy (The Scale and Distribution of Housing)). As of the 1<sup>st</sup> of April 2014 there were 422 dwellings with planning permission (gross) on sites with less than 15 units. After applying the 10% discount for non-implementation, there are **380** dwellings to add to the 5 year supply.

***Larger sites with planning permission (15 dwellings or more)***

- 2.8 As part of the 5 year housing land supply, commitments have been examined critically in accordance with the methodology below, in order to ascertain the likely rate of deliverability on large sites.
- 2.9 All landowners or developers of larger sites (15 dwellings or more) are contacted directly to obtain a record of their expected delivery on sites over the next 5 years. The response from the forms is summarised in the assessment of sites in Appendix 1.
- 2.10 As long as there is clear evidence provided by the landowner/developer of the expected delivery, this 'actual' figure is used and it is assumed that these sites with permission can realistically be delivered within the 5 year period.
- 2.11 In some cases a site with an extant planning permission could be given a nil rate of delivery where there is evidence that the site is unlikely to deliver any dwellings within the 5 year period. Such sites are retained in the sites list for re-assessment in light of any new evidence in the next year (e.g. Mill Lane, Tadcaster).
- 2.12 On very large sites which have the potential to supply housing throughout and beyond the 0-5 year time period, an assumption has been made on a site by site basis and a range of annual delivery rates have been used which vary from 50 dwellings per annum to 100 dwellings per annum, information undertaken by BNP Paribas indicates that delivery rates are provided through the analysis of individual sites, taking account of the number of sales outputs on sites and lead in times. This figure has been corroborated by evidence of recent rates of delivery and local market assessment involving developers and agents. Appendix 1 provides the site by site figures and an overview of the information received.

- 2.13 As of the 1<sup>st</sup> of April 2014 there were 1987 dwellings with planning permission (gross) on sites with 15 units or more. The number that is projected to be delivered in the next 5 financial years is **1461**, with the remainder beyond the 5 year period still to be built out at Staynor Hall in Selby and Low Street in Sherburn in Elmet.

### ***Existing Allocations (Phase 2 sites)***

- 2.14 Phase 2 allocations from the Selby District Local Plan (SDLP, 2005) have also been analysed. Whilst most of the allocations will already have been included where they have planning permission, the land owners (or agents/developers) of all allocated sites are also contacted directly to ascertain when the site will be coming forward. This identifies whether there are plans to submit a planning application (where there is none) and in what timescale, how viable a site is and when they expect to be on site. This information is then used to determine which sites to be included within the 5 year housing land supply calculations; the anticipated lead times and expected delivery.
- 2.15 However, only sites which are 'oven ready' (i.e. have already had a planning application submitted or there is clear evidence provided that the landowner/developer will submit within the next 18 months), and only those considered deliverable, would be included within the 5 year housing land supply calculations.
- 2.16 Once sites have been selected for inclusion and an expected start date has been received from the developer, the delivery rate and lead in times are assessed on a site by site basis to calculate the number of plots to be included within the calculations.
- 2.17 Where no information has been provided by the landowners it is assumed that the site is not available for development and it is therefore not included within the 5 year housing land supply calculations.

### ***Olympia Park - Core Strategy Strategic Development Site***

- 2.18 The Core Strategy Strategic Development Site at Olympia Park is included in this year's 5 year housing land supply. The Core Strategy has been adopted and the Council has resolved to grant outline planning permission subject to a section 106 agreement. Information regarding the future delivery of the site has also been received from the agent. It is therefore considered prudent to include in this year's assessment. Further assessment is provided in Appendix 1.

### ***Windfall Allowance***

- 2.19 Table 1 provides the historic data for gross completions on non-allocated sites (windfalls) in the District since 2005. This shows that there has

been a high level of completions on windfall sites.

**Table 1 – Gross Completions on Windfalls**

Period	Gross Completions	Gross Completions on Windfalls	% Windfall Completions
2005-06	633	580	91.6
2006-07	874	687	78.6
2007-08	583	343	58.8
2008-09	222	163	73.1
2009-10	270	163	60.4
2010-11	366	211	57.7
2011-12	317	176	55.5
2012-13	248	162	65.3
2013-14	268	186	69.4
<b>Total 2005-2014</b>	<b>3781</b>	<b>2652</b>	-
<b>Average 2005-2014</b>	<b>420</b>	<b>295</b>	<b>68%</b>
<b>Average 2009-2014</b>	<b>294</b>	<b>180</b>	<b>61%</b>

2.20

In order to project the Windfalls completions over the next 5 years, the average number of windfall plots completed over the last 5 years (180) was taken as a starting point as this reflects recent trends in the local housing market. The expected completion figure over the next 5 years was reduced from this figure (and rounded) to 160, to take account of the number of dwellings completed on garden land (shown to be 10%), which the NPPF states should not be accounted for.



- 2.21 Table 2 shows the lowered average of 160 completions is projected forward cumulatively over the next 5 years using the average rates of completion of these plots over the last 5 years. These averages being;
- 10% by the first year
  - 25% by the second year
  - 40% by the third year
  - 65% by the fourth year, and
  - 85% by the fifth year,

This method prevents any double counting of windfall plots with existing permissions, as windfall plots are only projected as if they were first given planning permission in the financial year 2014-15. The total cumulative completions from windfalls over the first 5 years is **360**.

**Table 2 – Windfall Completion Projection**

Number of anticipated permitted dwellings on windfall sites	Dwellings complete by (cumulative):					Total
	14/15 (10%)	15/16 (25%)	16/17 (40%)	17/18 (65%)	18/19 (85%)	
160	16	40	64	104	136	<b>360</b>

***Previous Housing Delivery Buffer assessment and applying shortfall.***

***Buffer***

- 2.22 The NPPF (paragraph 47) requires that Local Planning Authorities should have a 5 year housing land supply *“with an additional buffer of 5% (moved forward from later in the plan period) to ensure choice and competition in the market for land. Where there has been a record of persistent under delivery of housing, Local Planning Authorities should increase the buffer to 20% (moved forward from later in the plan period) to provide a realistic prospect of achieving the planned supply and to ensure choice and competition in the market for land”*
- 2.23 The PPG does not provide any further practice guidance with respect to the buffer. However through working with the Planning Advisory Service and using best practice guidance, the buffer is added to the calculation. See Table 5.
- Previous completions and the ‘buffer’ for the 5 year supply*
- 2.24 Table 3 illustrates the completions for the past nine years within the District.

**Table 3. Housing Requirement and Annual Completions**

Year	Plan Period	Net Completions	Target	Gap
05-06	SDLP Plan Period	638	620	18
06-07		874	575*	299
07-08		583	440	143
08-09		226	440	-214
09-10		270	440	-170
10-11		366	440	-74
SDLP Total Net provision		<b>2957</b>	<b>2955</b>	<b>2</b>
11-12	Core Strategy Plan Period	338	450	-112
12-13		248	450	-202
13-14		263	450	-187
CS Total Net Provision		<b>849</b>	<b>1350</b>	<b>-501</b>

\* Total annual dwelling requirement up to 31 December 2006 is 620 and 440 from 1 January 2007, providing a requirement of 575 dwellings between 1 April 2006 and 31 March 2007.

- 2.25 The average annual completion is 423 over the last 9 years. The average number of completions over the Core Strategy Plan Period is 283. It can be seen that there was over-delivery in the years before the financial crash in 2008 and under-delivery after it, as a result of the slowdown in the housing market.
- 2.26 Table 3 shows there was under-delivery in 6 out of the previous 9 years, demonstrating a record of *persistent under delivery*, meaning that a 20% buffer should be applied.
- 2.27 The Council therefore considers that it is appropriate to demonstrate an additional buffer of 20% within the 5 year housing land supply calculation for 2013/14.

**B. Under-performance is defined as:**

1. Delivery which falls short of the quantum expected in the annual target over a continuous 3 year period; or
2. Where there is less than a 5 year housing land supply.

### ***Dealing with Shortfall***

- 2.28 The Core Strategy has recently been adopted (22 October 2013) following rigorous testing of legal compliance, soundness and compliance with national policy (the NPPF) at examination. The Council therefore has a housing target of 450 dwellings per annum. The AMR monitors the delivery of this housing target since the Core Strategy adoption. Whilst the Core Strategy was adopted in 2013, the start of the plan period is 2011.

**A. The Council will ensure the provision of housing is broadly in line with the annual housing target and distribution under Policy SP5 by:**

- 1. Monitoring the delivery of housing across the District**
- 2. Identifying land supply issues which are causing or which may result in significant under-delivery of performance and/or which threaten the achievement of the Vision, Aims and Objectives of the Core Strategy**
- 3. Investigating necessary remedial action to tackle under-performance of housing delivery.**

- 2.29 Within the adopted Core Strategy Strategic Policy 6 (SP6) puts in place a mechanism for managing housing land supply. Policy SP6 states that where the Core Strategy annual housing target of 450 per annum has not been met for a 3 year continuous period, action is required to ensure the housing target and delivery is met. The precise policy wording is reproduced below:
- 2.30 Table 3 sets out the completion figures for the 2013/14 monitoring year which identifies that housing delivery has fallen short of the annual target between 2011 and 2014 by 501 dwellings, which now triggers the investigation of remedial measures (Part C of Policy SP6) and has also meant that the Council has been reviewing the approach to the 5YHLS accordingly.
- 2.31 Furthermore, the Council has identified the need to review the 5YHLS methodology and the approach to shortfall in the light of the release of the National Planning Policy Guidance in March 2014 and updated guidance / publications from the Planning Advisory Service.
- 2.32 In dealing with under supply paragraph: 035Reference ID: 3-035-20140306 of NPPG states that;  
*'Local planning authorities should aim to deal with any undersupply within the first 5 years of the plan period where possible'*

In considering the above the methodology has therefore been revised accordingly to reflect the further guidance provided by NPPG.

- 2.33 In addition to NPPG, there is still no exact method nationally for determining how both the buffer and shortfall should be applied in the calculation. However a recent decision by the secretary of state (APP/R0660/A/13/2209335) stated that in order to avoid double counting, the plan requirement should be calculated first, then the buffer should be applied and then finally the shortfall should be added.
- 2.34 Therefore to ensure the methodology is in line with best practice, table 4 set out below (provided by PAS in a presentation to officers 'Planning for Housing' in Leeds on the 26th February 2014), has been used as the basis for the 2013/14 calculation.

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### 3. 5 Year Housing Land Supply results 2013/14

**Table 4 - 5 Year Housing Updated figures 13/14**

<b>Summary of sites contributing to 5 year supply</b>		<b>Potential Yield (Dwellings)</b>
A	Planning Applications (Gross) Dwellings on sites less than 15 units: 380 Dwellings on sites of 15 or more units: 1461	1841
B	Allocations SDLP Phase 2 sites: 301 Core Strategy Strategic Development Site: 225	526
C	Windfall	360
<b>Total plots considered to contribute to 2013/14 5 Year Supply</b>		<b>2727</b>

*Further detailed site assessments are provided in Appendix 1.*

**Table 5 - 5 Year Housing Land Supply Calculations 13/14**

A	Housing target for the plan period (2011-2027)	7,200
B	Annual housing target across plan period (A ÷ 16 years)	450
C	Five year target, no adjustment (B x 5)	2250
D	Buffer (5% or 20%)	2700 (20%)
E	Shortfall of housing provision from the plan period (requirement less completions)	501
F	<b>Five year target incorporating shortfall (D + E)</b>	<b>3201</b>
G	Annual target for next five years (F ÷ 5)	640
H	<b>Current expected deliverable supply 2013/14 – 2018/19</b>	<b>2727</b>
I	Gap (F - H)	-474
J	Council's Housing Land Supply equivalent to (H ÷ G)	4.3 year supply

3.1 The Council has a 4.3 year supply of housing. This now means that in line with paragraph 49 of the NPPF policies in relation to the supply of housing are now considered out of date and that applications should be considered against the presumption in favour of sustainable

development, in the case of Selby District Council Core Strategy Policy SP1.

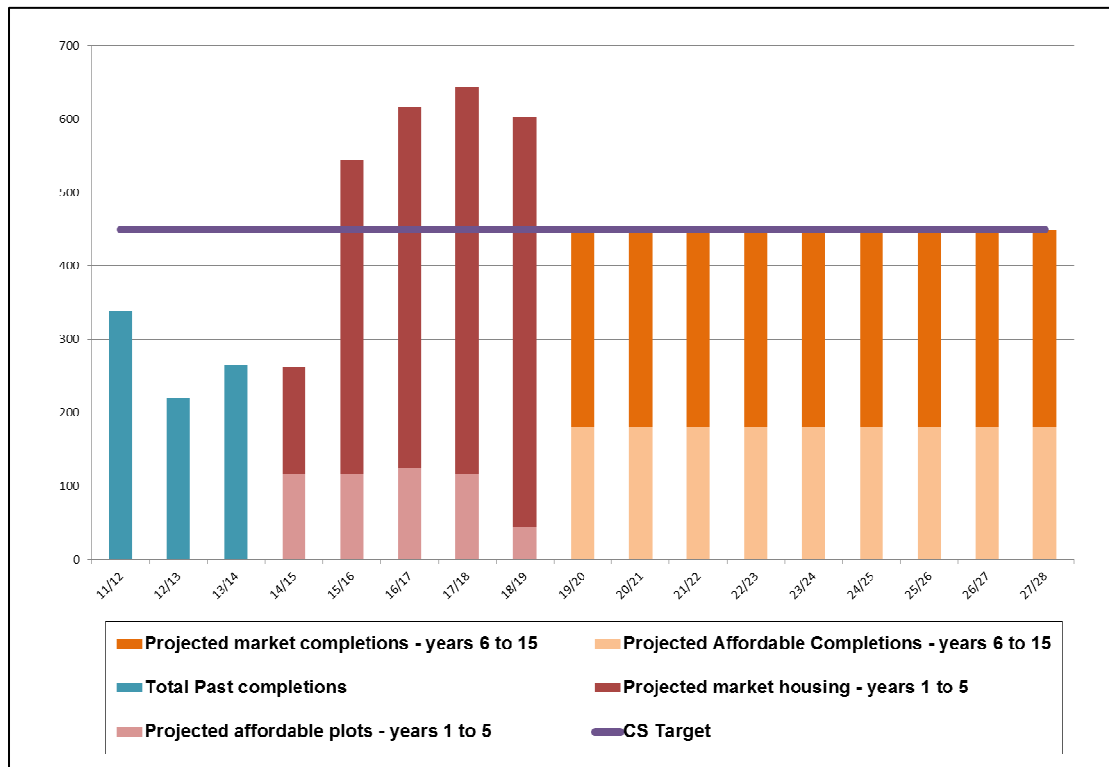
#### 4.0 **Housing Trajectory**

- 4.1 *Paragraph 47 of the NPPF sets out the requirements for producing a housing trajectory; 'for market and affordable housing, illustrate the expected rate of housing delivery through a housing trajectory for the plan period and set out a housing implementation strategy for the full range of housing describing how they will maintain delivery of a five year supply of housing land to meet their housing target'.*
- 4.2 The NPPF requires the inclusion of affordable housing in the trajectory. The Council will therefore include expected affordable housing delivery throughout the plan period.
- 4.3 Overall the trajectory comprises an initial prediction of housing delivery for the first five years (based on the 5 year housing land supply), together with a longer term illustration of expected delivery which will arise through the implementation of the Local Plan (Core Strategy and emerging Sites and Policies Plan).
- 4.4 The trajectory is set against future housing requirements. As at the 1<sup>st</sup> April 2014 the housing target for the District is set by the Core Strategy which is 450 dwellings per annum until 2027.
- 4.5 As with previous years, market housing will be presented in the housing trajectory based on the 5 year supply figures for the first 5 years, and the housing target of 450 per annum for the remainder of the plan period (years 6 to 15).
- 4.6 As part of the survey of current sites being developed within the District, landowners and developers are asked for an indication of their expected delivery of market and affordable housing over the next 5 years (see Appendix 1).
- 4.7 In addition, local Registered Providers (RPs) have been contacted to ascertain their delivery programme to inform what units they are expecting to manage over the next 5 years.
- 4.8 The information received from developers and RPs is considered alongside policy expectations which together inform the 5 year supply element of the trajectory.
- 4.9 On SHLAA sites and Local Plan allocations that have not yet been granted planning permission, a target of 40% affordable housing units of the expected site yield will be used in ascertaining the amount of affordable housing expected to be delivered within the first 5 years of

the plan period. This reflects the Core Strategy policy SP9 (*formerly draft Policy CP5*) position.

4.10 For the remainder of the plan period (years 6 to 15) of the trajectory a 40% delivery rate of affordable housing will be used in the housing trajectory.

**Figure 3: Housing Trajectory**



## **5 Year Housing Land Supply Methodology Update 2013/14**

### **Appendices**

#### **Appendix 1 – 5 Year Housing Land Supply Figures & Assessment**

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**Permissions as at 31 March 2014 on sites with less than 15 dwellings**

<b>Location</b>	<b>Core Strategy Settlement Hierarchy</b>	<b>Application No.</b>	<b>Number of Dwellings</b>
Conifer Drive, The Green, Stillingfleet	Secondary Village	8/09/12B/PA	3
Park House, Moreby, Stillingfleet	Secondary Village	8/09/134/PA	3
land adj Wild Acre 19 Wenlock Drive Escrick	Designated Service Village	8/10/102C/PA	1
Queen Margarets School, Main Street, Escrick	Designated Service Village	8/10/24CP/PA	1
48 Main Street, Escrick	Designated Service Village	8/10/267/PA	3
1 Wenlock Drive, Escrick	Designated Service Village	8/10/269/PA	1
Chapmans Cottage, 29 Main Street, Escrick	Designated Service Village	8/10/37B/PA	2
Main Street, Skipwith	Secondary Village	8/11/81/PA	1
Ings View Farm, Main Street Thorganby	Secondary Village	8/12/47F/PA	1
Newbridge Farm, Market Weighton Road, North Duffield	Designated Service Village	8/13/180H/PA	1
The Lodge, blackwood Hall, Cornelius Causeway	Designated Service Village	8/13/37AD/PA	1
W A Hare & Son, Offices, Main Street , Kelfield , York	Secondary Village	8/14/71B/PA	9
20 Main Street, Riccall	Designated Service Village	8/15/100K/PA	5
Drover House, 88 Main St, Riccall	Designated Service Village	8/15/194E/PA	1
Garden House, Manor Garth, Riccall	Designated Service Village	8/15/281C/PA	1

Location	Core Strategy Settlement Hierarchy	Application No.	Number of Dwellings
43 Main Street Riccall	Designated Service Village	8/15/292F/PA	1
White Villa, Sand Lane, Osgodby	Designated Service Village	8/16/27F/PA	1
Laburnum House, South Duffield Road, Osgodby	Designated Service Village	8/16/462F/PA	1
The Cottage, York Road, Cliffe	Secondary Village	8/17/199H/PA	2
Westfield, York Road, Cliffe	Secondary Village	8/17/313B/PA	1
Viola Gardens, York Rd, Cliffe	Secondary Village	8/17/314G/PA	1
Top End House, Hull Road, Cliffe	Secondary Village	8/17/32Q/PA	5
Ivyhill, Hull Road, Cliffe Selby	Secondary Village	8/17/342/PA	1
Greta Cottage, Green Lane, Cliffe	Secondary Village	8/17/349/PA	1
New Inn, York Road, Cliffe	Secondary Village	8/17/68E/PA	1
West Side of Main Road, South Duffield	Secondary Village	8/17/80A/PA	4
The Old Hall, Main Street, Hemingbrough	Designated Service Village	8/18/151F/PA	1
Lambert Lodge, Garthends Lane, Hemingbrough	Designated Service Village	8/18/152R/PA	1
The Shambles, 5 Water Lane, Hemingbrough	Designated Service Village	8/18/164G/PA	2
77 Water Lane, Hemingbrough, Selby	Designated Service Village	8/18/27F/PA	1
The Bungalow, Finkle Street, Hemingbrough	Designated Service Village	8/18/375C/PA	1

Location	Core Strategy Settlement Hierarchy	Application No.	Number of Dwellings
6 Main Street, Hemingbrough	Designated Service Village	8/18/436/PA	1
Gdn of Rowan Trees House, Hull Rd, Hemingbrough	Designated Service Village	8/18/65F/PA	1
12 Brook Street, Selby	Selby	8/19/1010J/PA	3
Rear of Chadcotes, Leeds Rd, Selby	Selby	8/19/1238E/PA	3
Milton Place, Gowthorpe, Selby	Selby	8/19/1291F/PA	4
Friendship Inn, 58 Millgate Selby	Selby	8/19/1292C/PA	6
Land between 45 Wistow Rd & Fairview, Wistow Road	Selby	8/19/1336A/PA	1
Former R C School & Outbdgs ,Gowthorpe/Brook St, Selby	Selby	8/19/1506/PA	10
The Three Lakes, Bawtry Rd, Selby	Selby	8/19/1525/PA	1
Rear of Mount Pleasant Cottage, 1A Wistow Rd, Selby	Selby	8/19/1662B/PA	1
Thorpe Hall Farm, Dam Lane, Thorpe Willoughby	Selby	8/19/1668N/PA	6
St Patrick's R C Church, Petre Ave, Selby	Selby	8/19/1691A/PA	5
Shipyard Road Pump Station Shipyard Road Selby	Selby	8/19/1841/PA	14
20 Millgate, Selby	Selby	8/19/1846A/PA	2
Park Row Selby	Selby	8/19/215D/PA	4
29-31 Brook Street, Selby	Selby	8/19/307H/PA	2

Location	Core Strategy Settlement Hierarchy	Application No.	Number of Dwellings
23 Finkle Street, Selby	Selby	8/19/309G/PA	1
Land at Bridge Wharf, Shipyard Rd, Selby	Selby	8/19/435E/PA	14
2A St James Terrace, Selby	Selby	8/19/709D/PA	1
Derwent House, 14 Park Street, Selby	Selby	8/19/94H/PA	6
Adj to Beech Tree House, Main Rd, Burn	Secondary Village	8/21/1J/PA	3
Land adj to 49 Park Rd, Barlow	Secondary Village	8/22/134J/PA	1
Commonside Farm, Barlow Common Road, Barlow	Secondary Village	8/22/14E/PA	1
Barlow Grange, East Common La, Selby	Secondary Village	8/22/177G/PA	4
Land adjacent to Pear Tree House, Brigg Lane, Camblesforth	Secondary Village	8/23/121AG/PA	1
Land adjacent to Pear Tree House Brigg Lane Camblesforth	Secondary Village	8/23/121AH/PA	1
Land Adjacent To Pear Tree House, Brigg Lane, Camblesforth, Selby	Secondary Village	8/23/121T/PA	1
Land adjacent to Southview, Mill Lane	Secondary Village	8/23/162A/PA	2
Low Farm Stables, Camela Lane, Camblesforth, Selby	Secondary Village	8/23/262/PA	1
Adamson House, 8 Main Road, Drax	Secondary Village	8/25/2D/PA	14
Duddings Farm, High Street, Carlton	Secondary Village	8/26/136A/PA	9
Corner Farm, Riverside	Secondary Village	8/26/35C/PA	1

Location	Core Strategy Settlement Hierarchy	Application No.	Number of Dwellings
Manor Cottage, Low St, Carlton	Designated Service Village	8/29/294E/PA	2
land adjacent to 2 Riverside Close, West Haddlesey, Selby	Secondary Village	8/31/50B/PA	1
Main Road Farm, 10 Main Road, Hambleton	Designated Service Village	8/33/23G/PA	5
Gateforth Court, Gateforth Lane Hambleton Selby	Designated Service Village	8/33/332/PA	1
Hambleton House, 10 St Marys Approach, Hambleton	Designated Service Village	8/33/36H/PA	1
18 Sandway Drive, Thorpe Willoughby	Designated Service Village	8/34/387/PA	1
Land at 27 Wistowgate, Cawood	Designated Service Village	8/35/168H/PA	1
5 High Street, Cawood, Selby	Designated Service Village	8/35/83B/PA	3
Kirkham, Selby Rd, Wistow	Secondary Village	8/36/173D/PA	1
Brooks Farm, Wistow Lordship, Wistow	Secondary Village	8/36/249B/PA	1
Northfield Villa, Field Lane, Wistow	Secondary Village	8/36/273D/PA	1
Laburnum Farm, Wistow Lordship, Wistow Selby	Secondary Village	8/36/304A/PA	3
Wistow House, Long Lane, Wistow	Secondary Village	8/36/310A/PA	1
Meadow View, Eggborough	Designated Service Village	8/37/133K/PA	2
Hut Green Farmhouse, Selby Rd, Eggborough	Designated Service Village	8/37/164A/PA	1
Rose Cottage, Water Lane, Eggborough, Goole	Designated Service Village	8/37/18A/PA	1

Location	Core Strategy Settlement Hierarchy	Application No.	Number of Dwellings
Unit 2 Aysgarth Place, Selby Road	Designated Service Village	8/37/317/PA	1
Headland Electrics, Water Lane, Eggborough	Designated Service Village	8/37/7P/PA	7
The Chestnuts, Selby Road, Eggborough, Goole	Designated Service Village	8/37/9K/PA	1
Dovecote Farmhouse, Main Street, Hensall	Secondary Village	8/38/110F/PA	1
Clovelly, Station Rd, Hensall	Secondary Village	8/38/213A/PA	1
Weeland House, Station Road, Hensall	Secondary Village	8/38/224A/PA	3
Land surrounding Manor Fm Bungalow, Wrights La, Cridling Stubbs	Secondary Village	8/40/61K/PA	1
Far Park Farm, Cridling Park, Cridling Park	Secondary Village	8/40/76/PA	1
Low Fm, Main St, Womersley	Secondary Village	8/41/54S PA	3
Spring Lodge Farm, Northfield Lane, Cridling Stubbs	Secondary Village	8/41/81C/PA	2
Womersley C of E Primary School Cow Lane Womersley	Secondary Village	8/41/97G/PA	4
Fairwinds, Selby Road, Whitley	Designated Service Village	8/42/112D/PA	1
Whitley Garage, Selby Rd, Whitley	Designated Service Village	8/42/12L/PA	1
Land adjacent to either side of "Park Nook", Doncaster Road, Whitley	Designated Service Village	8/42/158B/PA	2
Land adjacent to Larth House, Selby Road Whitley	Designated Service Village	8/42/177A/PA	4
Poplar Farm, Selby Road, Whitley	Designated Service Village	8/42/196C/PA	9

Location	Core Strategy Settlement Hierarchy	Application No.	Number of Dwellings
Carron Cottage, Silver St, Whitley	Designated Service Village	8/42/60H/PA	1
Quarryside Poultry Farm, Heck and Pollington Lane, Heck	Secondary Village	8/43/23D/PA	0
New Inn, Main St, Great Heck	Secondary Village	8/43/5P/PA	5
Land Adj to Ivy Cottage, Main Street, Great Heck	Secondary Village	8/43/61G/PA	1
Haigh End Farm, Selby Road, Whitley	Countryside	8/44/70F/PA	1
Land adj to The Shoulder Of Mutton Inn, Main St, Kirk Smeaton	Secondary Village	8/45/15F/PA	2
Holly Tree House, Went Edge Road, Kirk Smeaton	Secondary Village	8/45/86K/PA	2
Lambourne, Main St, Little Smeaton	Secondary Village	8/46/94C/PA	1
Disused Chapel, Common La, Walden Stubbs	Countryside	8/47/7J/PA	1
Kepplegate, Silver Street, Fairburn	Secondary Village	8/48/102G/PA	1
Second Pinfold Farm, Caudle Hill, Fairburn	Secondary Village	8/48/117A/PA	4
Cross Farm, Cross Hill, Fairburn, Knottingley	Secondary Village	8/48/151F/PA	9
The Haven, Rawfield Lane, Fairburn	Secondary Village	8/48/201/PA	1
Woodcote, Rawfield La, Fairburn	Secondary Village	8/48/29B/PA	1
Butt Hill House, Silver Street, Fairburn	Secondary Village	8/48/31B/PA	1
land adjacent (plot 2) Butt Hill House, Silver Street, Fairburn	Secondary Village	8/48/31C/PA	1

<b>Location</b>	<b>Core Strategy Settlement Hierarchy</b>	<b>Application No.</b>	<b>Number of Dwellings</b>
4 Lakeside Gardens, Fairburn Knottingley	Secondary Village	8/48/35H/PA	2
Land at The Mount, High Street, Brotherton	Designated Service Village	8/49/118E/PA	1
Land off Old Great North Road, Brotherton	Designated Service Village	8/49/120E/PA	3
Old Great North Road, High Street, Brotherton	Designated Service Village	8/49/152/PA	3
School House, School Croft, Brotherton	Designated Service Village	8/49/50R/PA	1
The Old School, School Croft, Brotherton Knottingley	Designated Service Village	8/49/50S/PA	9
Main Street, Birkin	Secondary Village	8/51/63/PA	2
13 Glebelands, Weeland Road, Kellingley	Secondary Village	8/52/153C/PA	1
Land at 211 Weeland Road, Kellingley	Secondary Village	8/52/155/PA	3
8 Glebelands, Weeland Road, Kellingley	Secondary Village	8/52/165/PA	1
Red Lion, 1 Ings Lane, Kellington	Countryside	8/53/108F/PA	1
The Firs, Whales Lane, Kellington	Countryside	8/53/164U/PA	1
Land to rear of 2 Ashfield Villas, Hillam	Designated Service Village	8/55/186D/PA	1
1 Ashfield Villas, Hillam La, Hillam	Designated Service Village	8/55/220C/PA	1
Cliff Lodge, 124 Main Street, Monk Fryston	Designated Service Village	8/56/118D/PA	1
Barkers Of Oakwood Ltd, Low Street, South Milford Leeds	Designated Service Village	8/57/17S/PA	12



Location	Core Strategy Settlement Hierarchy	Application No.	Number of Dwellings
120 High Street, South Milford	Designated Service Village	8/57/200K/PA	2
115 High St, South Milford	Designated Service Village	8/57/206J/PA	3
Land at Low St, South Milford	Designated Service Village	8/57/267E/PA	6
Land Adj Southlands House, Southlands Close, South Milford	Designated Service Village	8/57/267V/PA	1
Mulberry Farm, Butts Lane, Lumby	Designated Service Village	8/57/313M/PA	3
land south of, Southlands Close, South Milford, Leeds	Designated Service Village	8/57/48AW/PA	4
The Nook, High Street, South Milford	Designated Service Village	8/57/4B/PA	1
land between 29/29a Common Lane South Milford	Designated Service Village	8/57/503A/PA	1
49 Westfield Lane, South Milford, Leeds	Designated Service Village	8/57/512/PA	1
Lumby Court, Butts La, Lumby	Designated Service Village	8/57/98W/PA	1
4 Finkle Hill, Sherburn in Elmet	Sherburn in Elmet	8/58/192G/PA	4
42 New Lane Sherburn in Elmet	Sherburn in Elmet	8/58/303B/PA	1
2 Duffield Crescent, Sherburn in Elmet	Sherburn in Elmet	8/58/520B/PA	1
"Hillside", 23 Milford Rd, S. Milford	Sherburn in Elmet	8/58/708C/PA	1
26 Low Street Sherburn in Elmet	Sherburn in Elmet	8/58/982/PA	2
West of Willow Garth, Station Rd, Church Fenton	Designated Service Village	8/62/106C/PA	1

Location	Core Strategy Settlement Hierarchy	Application No.	Number of Dwellings
Land at Church Fenton Station, Station Road, Church Fenton	Designated Service Village	8/62/163G/PA	2
Lavorrick, Church St, Church Fenton	Designated Service Village	8/62/223/PA	2
Hall Farm, Hall Lane, Church Fenton	Designated Service Village	8/62/247F/PA	2
Ossendyke House Farm, Boggart Lane, Ozendyke	Secondary Village	8/65/6D/PA	2
Adj to Manor Fm, Back La, Barkston Ash	Secondary Village	8/66/44R/PA	1
Headwell Farm, Headwell Lane, Saxton	Secondary Village	8/67/147/PA	1
Orchard House, Scarthingwell Park, Barkston Ash, Tadcaster	Secondary Village	8/67/42D/PA	1
Station House, Weedling Gate, Stutton	Secondary Village	8/70/81D/PA	1
Lordswood Cricket School, Leeds Road, Tadcaster	Tadcaster	8/73/158R/PA	1
Tadcaster Post Office , 19 Westgate, Tadcaster	Tadcaster	8/73/263J/PA	1
Wharfe Bank Mews, 4 - 6 Bridge Street Tadcaster	Tadcaster	8/73/297C/PA	1
Stonecroft, 17 Garnet La, Tadcaster	Tadcaster	8/73/530H/PA	4
Tadcaster Town Centre Regeneration (Kirkgate/High Street/St Joseph's St/Central Area Car Park	Tadcaster	8/73/585/PA	7
46 Wighill Lane, Tadcaster	Tadcaster	8/73/653B/PA	7
Car Park, St Josephs Street, Tadcaster	Tadcaster	8/73/743/PA	3
Parsons Yard, Westfield Terrace, Tadcaster	Tadcaster	8/73/746A/PA	6

<b>Location</b>	<b>Core Strategy Settlement Hierarchy</b>	<b>Application No.</b>	<b>Number of Dwellings</b>
43 Kirkgate, Tadcaster	Tadcaster	8/74/385/PA	3
Lodge Farmhouse, Main St, Colton	Secondary Village	8/77/17E/PA	1
11 Orchard Close, Appleton Roebuck	Designated Service Village	8/79/198B/PA	3
Lynwade, Church Lane, Appleton Roebuck	Designated Service Village	8/79/41B/PA	1
18 Malt Kiln Lane, Appleton Roebuck, York	Designated Service Village	8/79/4E/PA	8
Ravenscroft, 15 Back Lane, Bilbrough	Secondary Village	8/84/117F/PA	3
<b>Total</b>			<b>422</b>
<b>Total after 10% deduction for non-implementation</b>			<b>380</b>

**Planning Permissions as at 31 March 2014 on sites 15+ dwellings**

Location	Application Reference	Planning Permissions	2014/15	2015/16	2016/17	2017/18	2018/19	Total in 5YHLS	Comments
Staynor Hall, Bawtry Rd, Selby	8/19/1011AJ/PA	633	75	100	100	100	100	475	BNP - 2 sales outlets and continued increase in sales, as well as historic completions over 100 dpa
Land at Holme La/Coupland Rd, Selby	8/19/1573E	221	35	40	50	50	46	221	BNP - continued market improvements is likely to see completions increase to 35-50 dpa
Autoserv, Shipyard Road, Selby	8/19/1649A/PA	0	0	0	0	0	0	0	Expires April 2014
Roose House Union Lane Selby	8/19/571V/PA	0	0	0	0	0	0	0	Complete
Street Record, Cherwell Croft, Hambleton, Selby	8/33/214C/PA	15	0	15	0	0	0	15	HAM/1 - New pending application
land to the south Leeds Road, Thorpe Willoughby	8/34/146A	149	9	62	52	26	0	149	On site - Intentions rec'd from developer
Land Adj to the east of Southlands House Southlands Close South Milford	8/57/267L/PA	43	43	0	0	0	0	43	STM/1B Phase 2. BNP - Established res. Dev., expected to achieve an improved rate of completions

Location	Application Reference	Planning Permissions	2014/15	2015/16	2016/17	2017/18	2018/19	Total in 5YHLS	Comments
RAF Church Fenton, Busk Lane, Church Fenton	8/64/19BC	65	0	20	20	20	5	65	BNP Outline planning permission approved
Highfield Nursery Home, Scarthingwell Park, Barkston Ash	8/67/1AB/PA	15	0	15	0	0	0	15	Expires Oct 2015 - reasonable to assume site will begin in near future
Papyrus Works, Papyrus Villas, Newton Kyme	8/72/2R/PA	128	10	50	50	18	0	128	Intentions received - new application approved May 2014. BNP - Discussions with Redrow suggest completion rate of 50 dpa, in line with evidence of 2012/13 completions at Linden Homes Southfields dev.
Mill lane / Wighill Lane, Tadcaster	8/74/3P/PA	0	0	0	0	0	0	0	No intention provided - new pending application
Low Street, Sherburn in Elmet	8/58/675Z/PA 8/58/675Y/PA 8/58/523B/PA	718	0	75	100	100	75	350	Two developers working on 3 different permissions.
<b>TOTAL for 5YHLS</b>		<b>1987</b>	<b>172</b>	<b>377</b>	<b>372</b>	<b>314</b>	<b>226</b>	<b>1461</b>	

**SDLP Phase 2 Allocations**

Phase 2 Allocation	Site Area (ha)	SDLP Site Capacity	Site commentary from landowners	5 Year supply figures based on information provided						Comments
				2014/15	2015/16	2016/17	2017/18	2018/19	Total	
BYR/1	0.7	21	response received planned to be on site in 14/15	0	23	0	0	0	23	
CAM/1	2.12	55	1 Form submitted - no specific activity on site. Submission confirming development of 17 dwellings in 2015/16 and 18 dwellings in 2016/17.	0	0	0	0	0	0	
CAR/1	2.4	79	Intentions submitted and application refused - whole site to be developed within 5 years (75 dwellings by end of 2019) application subject to inquiry	0	0	10	28	37	75	
CAR/2	2.6	12	No intentions provided.	0	0	0	0	0	0	
EGG/2	1.5	23	submitted form obo 2 owners identifying activity on site from 2012/13	0	0	23	0	0	23	

Phase 2 Allocation	Site Area (ha)	SDLP Site Capacity	Site commentary from landowners	5 Year supply figures based on information provided						Comments
				2014/15	2015/16	2016/17	2017/18	2018/19	Total	
EGG/3	6.76	210	Submitted details confirming activity for 2013/14.	0	30	50	50	50	180	BNP assessment based on a single sales outlet with completion rate at 50 dpa in line with recent completions at the Linden Homes Southfields dev. See appendix 2.
HAM/1	0.53	0	Planning permission approved - included within permissions	0	0	0	0	0	0	Planning permission approved - included within permissions
OSG/1	1.47	45		0	0	0	0	0	0	Landowners intentions unknown
SEL/1	21.9	450	Form received Email received confirming intentions to develop is within 5 years.	0	0	0	0	0	0	Discounted due to Flood risk

Phase 2 Allocation	Site Area (ha)	SDLP Site Capacity	Site commentary from landowners	5 Year supply figures based on information provided						Comments
				2014/15	2015/16	2016/17	2017/18	2018/19	Total	
SEL/2	56	0	Details submitted delivery of a total of 73 dwellings per year to be developed over next 5 years. Included within planning permissions to avoid double counting.	0	0	0	0	0	0	Site included within permissions. Add ref to BNP work
SEL/2A	1.04	0	Included within outstanding planning permissions to avoid double counting.	0	0	0	0	0	0	Site included within permissions. Add ref to BNP work Appendix 2
SHB/1B	39.3	900	Included within outstanding planning permissions to avoid double counting.	0	0	0	0	0	0	BNP - 2 sales outlets. In line with recent evidence of increased sales and completions on site to the north and over 100 dpa at Staynor Hall, expect 350 over next 5 years.
STM/1B	4.23	0	Planning permission agreed included within outstandings	0	0	0	0	0	0	Planning permission agreed included within outstandings



Phase 2 Allocation	Site Area (ha)	SDLP Site Capacity	Site commentary from landowners	5 Year supply figures based on information provided						Comments
				2014/15	2015/16	2016/17	2017/18	2018/19	Total	
TAD/2	3.48	105	Form submitted - no expected activity on site within next 5 years.	0	0	0	0	0	0	Land owner does not intend to develop
THW/2	4.96	148		0	0	0	0	0	0	Site included within permissions BNP - Expect recent market improvement is likely to see completions of 50 dpa, with whole site delivered within 5 years. See PP and Appendix 2
<b>Totals</b>	148.99	2048		<b>0</b>	<b>53</b>	<b>83</b>	<b>78</b>	<b>87</b>	<b>301</b>	

**Core Strategy Strategic Development Site – Olympia Park**

5YHLS Figures	14/15	15/16	16/17	17/18	18/19	Total in 5YHLS	Comments
Core Strategy Strategic Development Site - Olympia Park	0	0	25	100	100	225	BNP - In line with other strategic residential land across Yorkshire, anticipate that the site will be sold in phases to more than 1 developer with multiple sales outlets providing a total of 100 dpa in an improving market. See Appendix 2.

**Appendix 2: BNP Paribas Report on Deliverability**

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## **ASSESSMENT OF DELIVERY OF HOUSING SITES**

Prepared for  
Selby Council

July 2014

**5 Year Land Supply Assessment for Larger Sites**

Ref	Detail	14/15	15/16	16/17	17/18	18/19	Total	Commentary
103 / 8/19/1573E	Land at Holme Ln / Coupland Rd, Selby	35	40	50	50	46	221	<p><b>Planning Position</b> Planning permission granted in 2011 for the erection of 301 dwellings (ref. 2009/0805/REM) with development now commenced and 221 dwellings remaining accordingly to SDC records. This permission requires that 51 of the 301 dwellings are to be developed as affordable housing.</p> <p><b>Market Delivery Position</b> A now established scheme located on the northern edge of Selby town, adjacent to the canal, but relatively isolated from the main arterial route through Selby (A19) and accessed through existing housing to the south. Currently being developed and actively marketed by Bovis Homes (Holmes Meadows), with a predominance of 2 and 3 bedroom homes. Over half of the affordable housing has been completed to date.</p> <p>SDC records advise that 22 dwellings were completed in 2012/13. However, the sales advisor at the site confirmed in July 2014 that sales had increased over Q2 2014, achieving circa 4 per month (excluding affordable housing), with a further 4 reservations awaiting completion.</p> <p>Assuming the site continues to develop with a single sales outlet, I consider that continued market improvement is likely to see completions increase to circa 35-50 per annum (including private sales and affordable disposals), with the remaining 221 dwellings delivered within next 5 years.</p>
229 / 8/19/1011AJ/PA	Staynor Hall, Bawtry Rd, Selby	75	100	100	100	100	475	<p><b>Planning Position</b> Outline planning permission granted in 2002 for the erection of 1,200 dwellings (ref. CO/2002/1185), with numerous reserved matters permissions subsequently granted, development commenced and 663 dwellings remaining accordingly to SDC records. The S106 is understood to restrict development to a maximum of 100 units per annum, with any previous year's shortfall able to be provided in the</p>



Ref	Detail	14/15	15/16	16/17	17/18	18/19	Total	Commentary
								<p>following year as an addition.</p> <p><b>Market Delivery Position</b>            A long established major residential development in an attractive and accessible location to the south of Selby Town Centre, immediately adjacent to the A1041. Currently being developed and actively marketed by Persimmon Homes (Staynor Hall) as a development of 2, 3 and 4 bedroom houses and Charles Church (The Plantation @ Staynor Manor) as an exclusive development of 4 &amp; 5 bedroom homes. On site affordable housing has and will continue to be delivered as part of this development in accordance with the outcome of a viability assessment.</p> <p>SDC records advise that 79 dwellings were completed in 2012/13, with over 100 dwellings completed in 2006/07 (141) and in 2007/2008 (115) before a sharp decrease in sales.</p> <p>I understand that the site will continue to develop with 2 sales outlets (Persimmon Homes and Charles Church) and in line with recent evidence of increasing sales and historic completions of over 100 units per annum, I consider completions between 75 and 100 dwellings per annum are likely to be achieved, (including private and affordable), or 475 dwellings over the next 5 years.</p>
114/ 8/57/267L/PA	Land Adj to the east of Southlands House Southlands Close South Milford	43	0	0	0	0	43	<p><b>Planning Position</b>            Full planning permission granted in 2012 for the development of 115 dwellings (ref. 2011/0563/FUL) with development now commenced and 43 dwellings remaining accordingly to SDC records. The S106 for this permission requires the delivery of 34 affordable housing units on site (30%).</p> <p><b>Market Delivery Position</b>            An established residential development located in an attractive semi-rural location with good access to the A1 via the A162 and A63. Phase 2 of the development currently being developed and actively marketed by Linden Homes (Southfield Park), comprising a mix of 2, 3, 4 and 5 bedroom homes.</p>

Ref	Detail	14/15	15/16	16/17	17/18	18/19	Total	Commentary
								<p>SDC records advise that 45 dwellings were completed in 2012/13.</p> <p>This is an established and attractive development which I consider will continue to achieve an improved rate of completions, with the remaining 43 units completed within the next 5 years.</p>
0 / 8/72/2R/PA	Papyrus Works, Papyrus Villas, Newton Kyme	10	50	50	18	0	128	<p><b>Planning Position</b> Full planning permission granted in May 2014 for the erection of 128 dwellings (ref. 2012/1053/FUL), including 30% on site affordable housing (39 dwellings). No dwellings yet completed.</p> <p><b>Market Delivery Position</b> A new development of 2, 3, 4 and 5 bedroom homes in an attractive rural location close to Boston Spa with good access to the A1 via the A659. Currently being marketed online by Redrow Homes (St. Andrew's Place), with development expected to commence during 2014.</p> <p>Based on discussion with Redrow, I understand that this site will be developed with a single sales outlet and that a completion rate in the order of 50 units per annum is achievable (private and affordable), in line with evidence of 2012/13 completions at the Linden Homes Southfields development (see above), being an attractive scheme in an improving market.</p>
EGG/3	Selby Road, Eggborough	0	30	50	50	50	180	<p><b>Planning Position</b> Local Plan allocation for residential development to provide approximately 210 new houses on circa 6.76 hectares (16.7 acres) of land. No existing planning permission but an application has been submitted by Harron Homes for 103 dwellings on circa half of the site as the first phase of development, following public consultation in March 2014.</p> <p><b>Market Delivery Position</b> Relatively flat, greenfield site, with principle of residential development established by the Local Plan allocation, no major development</p>



Ref	Detail	14/15	15/16	16/17	17/18	18/19	Total	Commentary
								<p>constraints (overhead power lines to be relocated under the ground) and developer looking to progress residential development. Planning permission still to be secured which will delay delivery of residential units until 2015/16.</p> <p>Proposed layout shown for phase 1 shows vehicular access through to the remainder of the site covered by the residential allocation. Anticipated that Harron Homes or another developer will develop out the remainder of the site pursuant to the first phase of development. On site affordable housing likely to be required as part of any planning permission granted.</p> <p>It is expected that development of this site will commence with a single sales outlet (Harron) and I consider that a completion rate in the order of 50 units per annum is achievable (private and affordable) in line with recent completions at the Linden Homes Southfields development (see above) and the anticipated continued market improvement, or 180 dwellings over the next 5 years.</p>
<b>SHB/1B</b>	<b>Low Street, Sherburn in Elmet</b>	<b>0</b>	<b>75</b>	<b>100</b>	<b>100</b>	<b>75</b>	<b>350</b>	<p><b>Planning Position</b> Substantial Local Plan allocation for residential development to provide in the region of 1000 dwellings on circa 39.3 hectares (97.1 acres). Part of this site was granted outline planning permission in March 2014 for a total of 598 dwellings (ref.'s 2012/0399/EIA - 100 dwellings Redrow and 2012/0400/EIA – 498 dwellings Persimmon) following the first phase of development of this site. The S106 agreement for these permissions requires the provision affordable housing on-site.</p> <p><b>Market Delivery Position</b> Also a relatively flat, greenfield site, with planning permission for residential development, no major development constraints and developers looking to progress residential development. Reserved matters planning permissions are still to be secured for the whole development which will delay completion of residential units until 2015/16.</p> <p>SDC records advise that 65 dwellings were completed in 2010/11 and</p>



Ref	Detail	14/15	15/16	16/17	17/18	18/19	Total	Commentary
								<p>68 dwellings in 2011/12 on the land to the north forming part of the wider allocation (SHB/1A).</p> <p>I understand that the site will be developed with 2 sales outlets (Persimmon Homes and Redrow Homes) initially, reducing to one when the Redrow development is completed. In line with recent evidence of increasing sales and recent completions on the site to the north as set out above and of over 100 units per annum historically on the Staynor Hall / Manor development, I consider completions between 75 and 100 dwellings per annum commencing 2015/16 are likely to be achieved (private and affordable), or 350 dwellings over the next 5 years.</p>
THW/2	Leeds Road, Thorpe Willoughby	40	50	50	9	0	149	<p><b>Planning Position</b> Local Plan allocation for residential development of approximately 148 dwellings on circa 4.96 hectares (12.3 acres). Planning permission was granted in May 2013 for the development of 149 dwellings (ref. 2012/0852/FUL) and development has commenced. The S106 for this permission requires the provision of 40% affordable housing (60 dwellings).</p> <p><b>Market Delivery Position</b> A new development of 2, 3 and 4 bedroom homes currently being developed and actively marketed by Linden Homes (Willeby Heights). Attractive semi-rural village location to the west of Selby with easy access to the A63.</p> <p>Assuming the site continues to develop with a single sales outlet (Linden Homes), I consider that the recent market improvement is likely to see completions of circa 50 per annum (including private sales and affordable), with all 149 dwellings delivered within the next 5 years.</p>
SP7	Olympia Park, Selby	0	0	25	100	100	225	<p><b>Planning Position</b> Core Strategy allocation as a Strategic Mixed Use development site, including up to 1000 new homes. Pursuant to this, the Council has resolved to grant outline planning permission for a residential led mixed use development including 863 dwellings (2012/0541/EIA), subject to</p>



Ref	Detail	14/15	15/16	16/17	17/18	18/19	Total	Commentary
								<p>the signing of a S106 agreement which is expected to be completed in July 2014. The trajectory submitted as part of the application identifying when the development is proposed to take place estimates the construction of 72 dwellings per annum, with first occupation of the dwellings expected from January 2016, although it is expected that there has been some slippage on this.</p> <p><b>Market Delivery Position</b></p> <p>Strategic development site currently being marketed for sale by Savills as a residential led mixed use development site and likely to be sold in phases to maximise land value. Principle of residential development established by the allocation, but reserved matters planning permission is still to be secured. There is a requirement for the delivery of the link road to A63 to be constructed prior to the occupation of the first dwelling and it is understood that funding from Leeds City Region has been agreed to support the delivery of this.</p> <p>Given the size of the site and the current proposed land sale, it is anticipated that the residential development will be brought forward by more than one residential developer as part of a phased land sale. It is understood that a number of residential developers are seriously looking at acquiring the site in phases, with a single purchase of the whole site considered unlikely due to its size.</p> <p>There will, however, be a lead in period associated with infrastructure delivery, residential developer selection and securing the necessary consents. Accordingly and based on discussions with a colleague who has been involved in the negotiations with Network Rail regarding the bridge over the railway line to be provided as part of this development, I anticipate that the first dwellings will not be completed until January 2017.</p> <p>In line with other strategic residential land sales across Yorkshire, I anticipate that the site will be sold in phases to more than one residential developer, meaning the site will be developed with multiple sales outlets (and at least two). Assuming two sales outlets I consider that as an attractive residential development opportunity in an</p>



Ref	Detail	14/15	15/16	16/17	17/18	18/19	Total	Commentary
								improving market, completions of circa 100 dwellings per annum (including private and affordable) from January 2017 are achievable, with 225 dwellings delivered within the next 5 years.

## Equality, Diversity, and Community Impact Screening



As a public authority we need to ensure that all our strategies, policies, service and functions, both current and proposed have given proper consideration to equality, diversity and community impact.

A **screening** process can help judge the potential impact of the proposal and provides a record of both the **process** and **decision**. Screening should be a short, sharp exercise that determines relevance for all new and revised strategies, policies, services and functions. Completed at the earliest opportunity it will help to determine:

- that equality, diversity and community impact has been considered, and
- determine whether or not it is necessary to carry out a full impact assessment.

**Project Name/Service Area: 2013-14 Annual Monitoring Report & 5 Year Housing Land Supply / Policy and Strategy**

**Lead person:**  
Richard Welch

**Contact number:**  
42117

### 1. Title:

Is this a:

**Strategy / Policy**       **Service / Function**       **Other**

**If other, please specify**

### 2. Please provide a brief description of what you are screening

The evidence in these reports may have a material impact on planning application decisions and on the formation of planning policies in the District Local Plan. Therefore it is important that the guidance and evidence in the reports is available to everyone and is understandable to those that will use it.

### 3. Relevance to equality, diversity, and community impact

All the council's strategies/policies, services/functions affect service users and the wider community – district wide or more local.

The effects may have a greater/lesser relevance to equality, diversity, cohesion and integration.

The following questions will help you to identify how relevant EDCI is to your proposals.

When considering these questions think about age, carers, disability, gender reassignment, race, religion or belief, sex, sexual orientation and any other relevant characteristics (for example socio-economic status, social class, income, unemployment, residential location or family background and education or skills levels).

Questions	Yes	No
Does the proposal have (or could it have) a different impact for people with protected equality characteristics?		x
Have there been or is there likely to be any public concern about the policy or proposal?		x
Could the proposal affect how our services, commissioning or procurement activities are organised, provided, located and by whom?		x
Does the proposal involve or will it have an impact on <ul style="list-style-type: none"> <li>• Eliminating unlawful discrimination, victimisation and harassment</li> <li>• Advancing equality of opportunity</li> <li>• Fostering good relations</li> </ul>		x

If you have answered **no** to the questions above please complete **sections 6 and 7**

If you have answered **yes** to any of the above and;

- Believe you have already considered the impact on equality, diversity and community impact within your proposal please go to **section 4**.
- Are not already considering the impact on equality, diversity and community impact within your proposal please go to **section 5**.

#### 4. Considering the impact on equality, diversity and community impact

**5.** If you are **not** already considering the impact on equality, diversity, cohesion and integration you **will need to carry out an impact assessment**.

Date to scope and plan your impact assessment:

Date to complete your impact assessment

Lead person for your impact assessment  
(Include name and job title)

#### 6. Governance, ownership and approval

Please state here who has approved the actions and outcomes of the screening

Name	Job title	Date
Richard Welch	Policy Officer	22/01/2015

## 7. Publishing

This screening document will act as evidence that due regard to equality and diversity has been given. If you are not carrying out an independent impact assessment the screening document will need to be published.

If this screening relates to a **Key Delegated Decision** a copy should be emailed to Democratic Services and will be published along with the relevant report.

A copy of **all other** screening's should be retained with the project documents as a background papers.

<b>Date screening completed</b>	22/01/2015
If relates to a Key Decision - <b>date sent to Corporate Governance</b>	
Any other decision – <b>date sent to Equality Team (equalityteam@leeds.gov.uk)</b>	