

**Notice of a public meeting of
Executive**

To: Councillors Carr (Chair), Aspden (Vice-Chair), Ayre, Gillies, Lisle, Rawlings, Runciman and Waller

Date: Thursday, 31 August 2017

Time: 5.30 pm

Venue: The George Hudson Board Room - 1st Floor West Offices (F045)

A G E N D A

Notice to Members – Post Decision Calling In:

Members are reminded that, should they wish to call in any item* on this agenda, notice must be given to Democratic Services by **4:00pm on Monday 4 September 2017**.

*With the exception of matters that have been the subject of a previous call in, require Full Council approval or are urgent which are not subject to the call-in provisions. Any called in items will be considered by the Customer & Corporate Services Scrutiny Management Committee.

1. Declarations of Interest

At this point, Members are asked to declare:

- any personal interests not included on the Register of Interests
- any prejudicial interests or
- any disclosable pecuniary interests

which they may have in respect of business on this agenda.

2. **Exclusion of Press and Public**

To consider the exclusion of the press and public from the meeting during consideration of Annex B to Agenda Item 10 on the grounds that it contains information relating to the financial or business affairs of any particular person (including the authority holding that information). This information is classed as exempt under paragraph 3 of Schedule 12A to Section 100A of the Local Government Act 1972 (as revised by The Local Government (Access to Information) (Variation) Order 2006).

3. **Minutes** (Pages 1 - 24)

To approve and sign the minutes of the Executive meetings held on 13 and 27 July 2017.

4. **Public Participation**

At this point in the meeting members of the public who have registered to speak can do so. The deadline for registering is **5.00pm on Wednesday 30 August 2017**. Members of the public can speak on agenda items or matters within the remit of the committee. To register to speak please contact the Executive Support Officer responsible for the meeting, on the details at the foot of the agenda.

Filming, Recording or Webcasting Meetings

Please note this meeting will be filmed and webcast and that includes any registered public speakers, who have given their permission. This broadcast can be viewed at <http://www.york.gov.uk/webcasts>.

Residents are welcome to photograph, film or record Councillors and Officers at all meetings open to the press and public. This includes the use of social media reporting, i.e. tweeting. Anyone wishing to film, record or take photos at any public meeting should contact the Executive Support Officer (whose contact details are at the foot of this agenda) in advance of the meeting.

The Council's protocol on Webcasting, Filming & Recording of Meetings ensures that these practices are carried out in a manner both respectful to the conduct of the meeting and all those present. It can be viewed at http://www.york.gov.uk/download/downloads/id/11406/protocol_f_or_webcasting_filming_and_recording_of_council_meetings_20160809.pdf

5. **Forward Plan** (Pages 25 - 32)
To receive details of those items that are listed on the Forward Plan for the next two Executive meetings.

6. **Police & Crime Commissioner Proposal on Future Governance of North Yorkshire Fire & Rescue Service** (Pages 33 - 176)

The Chief Executive to present a report which outlines proposals for the future governance of North Yorkshire Fire & Rescue Services. The report includes a proposal from the Police & Crime Commissioner's (PCC) Local Business Case (LBC) see Annex A and an alternative proposal provided by North Yorkshire Fire & Rescue Authority – see Annex B.

The Leader has invited both the PCC and the Chair of the North Yorkshire Fire and Rescue Authority to speak on their proposals. The Vice Chair of the Police and Crime Panel will also be in attendance to provide comment.

7. **A Further Phase of the Older Persons' Accommodation Programme Deciding the Future of Woolnough House Older Persons' Home** (Pages 177 - 226)

The Programme Director, Older Persons' Accommodation to present a report providing the results of the consultation undertaken with the residents, relatives and staff of Woolnough House residential care home to explore the option to close the home with current residents moving to alternative accommodation and asking Members to make a decision about whether to close Woolnough House

8. **Investment in New Extra Care Accommodation for Older People at Marjorie Waite Court Following the Closure of Burton Stone Lane Community Centre** (Pages 227 - 276)

The Programme Director, Older Persons' Accommodation to present a report providing information on the outcome of public consultation concerning the future of Burton Stone Lane Community Centre and asking Members to confirm its closure and approve investment into the provision of a 33 home extension to Marjorie Waite Court Extra scheme to provide accommodation for older people and new community facilities.

9. Re-Commissioning a Short Break Service for Adults with a Learning Disability based at Flaxman Avenue, York

(Pages 277 - 300)

The Commissioning Manager to present a report which seeks consent to go out to the market in the form of a tender to procure a support provider to deliver a short breaks service for adults with a learning disability, who are eligible for care and support, to be based at Flaxman Avenue, York.

10. Commissioning a Day Base for Adults with a Learning Disability at Burnholme Health and Wellbeing Campus

(Pages 301 - 328)

The Commissioning Manager to present a report which seeks consent to go out to the market in the form of a tender to procure a support provider to deliver a base at Burnholme Health and Wellbeing Campus for Adults with a learning disability, who are eligible for care and support and will use the base at Burnholme (aligned with the principles of independence, choice and control as set out in the Care Act 2014).

11. Carers Support Services - Future Approach to Provision

(Pages 329 - 362)

The Corporate Director of Health, Housing & Adult Social Care to present a report which seeks the agreement of CYC Executive to re-commission the Carers Support Services for adults and young people. The service will be re-commissioned through an open tender exercise.

12. Consent for Establishment of Transport for the North

(Pages 363 - 380)

The Head of Transport to present a report asking Members to consent to the making of Regulations by the Secretary of State to establish Transport for the North as a Sub –National Transport Body under section 102E of the Local Transport Act 2008. The consent of each Constituent Authority is required to the making of Regulations by the Secretary of State.

13. Scarborough Bridge – Footbridge Replacement and Upgrade

(Pages 381 - 400)

The Head of Transport to present a report outlining the proposals to replace and upgrade the existing footbridge spanning the River Ouse adjacent to 'Scarborough (Railway) Bridge'.

14. Proposed Temporary Use of Part of Castle Car Park

(Pages 401 - 410)

The Assistant Director - Communities and Equalities to present a report which seeks approval for the temporary use of part of Castle Car Park between May and September 2018 for Shakespeare's Rose Theatre, a 'pop-up' restoration theatre.

15. Q1 Finance & Performance Monitor (Pages 411 - 438)

The Deputy Chief Executive & Director of Customer & Corporate Services to present a report which details the overall finance and performance position for the period covering 1 April 2017 to 30 June 2017, together with an overview of any emerging issues.

This is the first report of the financial year and assesses performance against budgets, including progress in delivering the Council's savings programme.

16. Q1 Capital Programme Monitor (Pages 439 - 454)

The Deputy Chief Executive & Director of Customer & Corporate Services to present a report which sets out the projected outturn position for 2017/18 including any under/over spends and adjustments, along with requests to re-profile budgets to/from current and future years.

17. Urgent Business

Any other business which the Chair considers urgent under the Local Government Act 1972.

Executive Support Officer:

Name: Carol Tague

Contact details:

- Telephone – (01904) 552094/551088
- E-mail – carol.tague@york.gov.uk

For more information about any of the following please contact the Democratic Services Officer responsible for servicing this meeting:

- Registering to speak
- Business of the meeting
- Any special arrangements
- Copies of reports and
- For receiving reports in other formats

Contact details are set out above.

This information can be provided in your own language.

我們也用您們的語言提供這個信息 (Cantonese)

এই তথ্য আপনার নিজের ভাষায় দেয়া যেতে পারে। (Bengali)

Ta informacja może być dostarczona w twoim (Polish)
własnym języku.

Bu bilgiyi kendi dilinizde almanız mümkündür. (Turkish)

یہ معلومات آپ کی اپنی زبان (بولی) میں بھی مہیا کی جاسکتی ہیں۔ (Urdu)

 **(01904) 551550**

City of York Council

Committee Minutes

Meeting	Executive
Date	13 July 2017
Present	Councillors Carr (Chair), Aspden (Vice-Chair), Ayre, Gillies, Lisle, Rawlings, Runciman and Waller
Other Members participating in the meeting	Councillors D'Agorne and Looker

PART A - MATTERS DEALT WITH UNDER DELEGATED POWERS

14. Declarations of Interest

Members were asked to declare, at this point in the meeting, any personal interests, not included on the Register of Interests, or any prejudicial or disclosable pecuniary interests they may have in respect of business on the agenda.

It was noted that Councillor Waller was a Trustee of Leeman Millenium Green at its inception, but had not been active for some time.

15. Exclusion of Press and Public

Resolved: That the press and public be excluded from the meeting during consideration of Annexes 1 and 2 to Agenda Item 9 (Award of Contract for Security Services) and Annexes 1a, 1b, 2 and 3 to Agenda Item 10 (Establishing an Investment Budget for a Strategic Commercial Acquisition) on the grounds that it contains information relating to the financial or business affairs of any particular person (including the authority holding that information). This information is classed as exempt under Paragraph 3 of Schedule 12A to Section 100A of the Local Government Act 1972 (as revised by the Local Government (Access to Information) (Variation) Order 2006).

16. Minutes

It was noted that the minutes of the last Executive meeting held on 29 June 2017 would be submitted to the meeting on 27 July 2017 for approval.

17. Public Participation

It was reported that there had been six registrations to speak at the meeting under the Council's Public Participation Scheme, one of which had subsequently withdrawn. The registrations were in respect of the following items:

York Central Update and Partnership Agreement

- Benjamin Hall, a resident and member of Friends of Holgate Community Garden, spoke of the community's concerns as to the proposed Chancery Rise link road (Option E within the report).

He referred to the York North West Master Planning and Infrastructure Study 2011, which highlighted Option C which ran across a 5 acre site, as a more positive choice. However, the Council had subsequently sold the site to Network Rail.

He stated that 4 options had been rendered unviable ahead of consultation and asked for reassurance that access options were being given full and balanced consideration and that the potential impact on communities would have an equal voice as to those of the individual York Central partners.

- James Pitt spoke on behalf of York Central Action, a coalition of approximately 20 community organisations, businesses and educational establishments, which had formed as it was felt that consultations being carried out regarding York Central were not giving an opportunity for people to express their views.

The Group had facilitated a number of pop up events which in turn formed an agenda for a community conference in April 2017, which resulted in 42 positive recommendations to be considered in the development of York Central.

Mr Pitt referred to the importance of decisions being taken in the public domain and asked for a more active and imaginative approach to community engagement.

- Paul Scott spoke on behalf of Friends of Holgate Community Garden regarding the consultation on access options to York Central.

He referred to the discussion at the Executive meeting on 24 November 2016 regarding genuine and meaningful consultation and called on Members to consider the design of access route consultation carefully to ensure that residents had the opportunity to shape the exercise and not just participate.

He referred to Royal Town Planning Institute guidelines on consultations which included a balance of quantitative and qualitative methods and the fair interpretation of data. He added that the publication of raw output data would give confidence that it had been interpreted fairly and asked that the weighting the consultation would have on the overall decision process be disclosed.

Local Plan

Richard France, MD of the Oakgate Group, referred to the need for balance between housing numbers and the delivery of employment land, both in and out of town, as without this there would not be a credible or deliverable plan.

Mr France referred to the Naburn site, to the south side of the City, and its potential for office accommodation, employment opportunities and transport links. He stated that the site could be deliverable immediately as there was already substantial infrastructure in place and this would complement the City centre offer of the York Central site. He added that other nearby authorities were keen to attract quality employment at our expense.

In conclusion, Mr France stated that the Executive had a duty to provide a sound deliverable Local Plan and that the site at Naburn should be part of it.

(i) York Central Update and Partnership Agreement; (ii) Proposed Outer Ring Road Improvements; and (iii) Local Plan

(i) Dave Merrett welcomed the commitment to further consultation on access options but sought assurance that the consultation would be city wide, given that the scale of the development would have major implications for traffic, congestion and air quality across the City. He asked that the background transport modelling data and air quality implications be published so that the public could make an informed response.

(ii) Mr Merrett welcomed the progression of the outer ring road upgrade and the commitment to consult on specific proposals, but again sought assurance that the consultation would be city wide, to include cycle and pedestrian groups, given the potential of such schemes to sever walking and cycling movements. He added that consultation should also be carried out at an early stage so that alterations could be made without delaying the overall process.

(iii) Mr Merrett asked the Executive to re-consider the Local Plan Working Group's decision not to include the housing expert's recommended 10% uplift on housing numbers, referring to York's exceptionally high housing prices and the distress signals in the housing market.

18. Forward Plan

Members received and noted details of the items that were on the Forward Plan for the next two Executive meetings, at the time the agenda had been published.

19. Report on Work of the Financial Inclusion Steering Group 2016/17 and 2017/18 Update

Members considered a report which outlined the work of the Financial Inclusion Steering Group (FISG) in 2016/17 and 2017/17 to date and provided information about the Council Tax Support (CTS) Scheme, the delivery of the York Financial Assistance Scheme (YFAS) and an update on Discretionary Housing Payments (DHP).

The Group were thanked for their work and Members were urged to note the information as Ward Councillors were well placed to help communicate the advice and support available.

It was acknowledged that the roll out of Universal Credit would be a significant change and concerns had been raised as to the minimum 6 week delay for the first payment and the payment direct to the recipient rather than the landlord. It was noted that digital and budgeting support was available and work had been undertaken with Housing and the DWP locally to promote awareness. The work of the Tenancy Support Scheme with the South Yorkshire Credit Union was also highlighted.

Resolved: That the Executive notes the work of the Financial Inclusion Steering Group in 2016/17 and 2017/18 to date.

Reason: To ensure Members are aware of Financial Inclusion activity and how related financial support is administered through Council Tax Support and York Financial Assistance schemes to inform planning for future financial pressures relating to these schemes and to ensure that support continues to be effectively provided.

20. York Central Update and Partnership Agreement

[See also Part B Minutes]

Members considered a report which outlined progress to date on the York Central scheme and set out the Council's commitment to developing a formal partnership agreement and the programme of work to take the scheme through to the submission of Planning Applications.

It was noted that the York Central project was a partnership project, led largely by the major landowners, namely Network Rail, the Homes and Communities Agency and National Railway Museum in conjunction with City of York Council.

It was outlined that prior to finalising the partnership agreement and bringing forward a Masterplan for consultation, the York Central Partnership needed to conclude discussions around access options. A further study had been commissioned, which

had examined deliverability, ease of construction, transport implications and costs etc, but a detailed understanding of the community impact of the options available was still required as part of this work. Evidence around deliverability and funding had been considered and the consultation would be based on the 3 deliverable access options outlined. It was clarified that no decision had been made and the consultation was an essential part of determining the preferred route.

It was confirmed that the consultation would come from the Partnership, as the developing body for the scheme, not the Council.

With regards to the rejected access options, it was clarified that the decision taken to dispose of the 5 acre site to Network Rail was taken to enable them to clear York Central for the scheme to go ahead. Options B, C and D crossed the site at various points onto an area of land designated by Department of Transport for operational rail land until 2023. Other engineering challenges were also highlighted.

Referring to requests to publish the weighting behind officer judgements on access options, it was stated that it would not be possible to do this in an empirical way, but officers would look to provide a qualitative rather than a quantitative assessment, with an assurance that decisions would not be based solely on economic factors.

Resolved: That the Executive:

- i. Notes the plan for the York Central Partnership to undertake public consultation on access options and the master plan which will lead to the submission of outline and detailed planning applications; and
- ii. Agrees to receive a further report in October setting out the York Central Partnership proposed master plan including a recommended access option and presenting the formal YCP partnership agreement for Executive to consider.

Reason: To ensure the delivery of York Central and to ensure that a range of access options have been considered.

21. Proposed York Outer Ring Road Improvements – Approach to Delivery

[See also Part B Minutes)

Members considered a report which set out the proposed approach to the York Outer Ring Road improvements project and sought approval of the delivery methodology for the development and construction of the seven targeted improvements to junctions on the north York Outer Ring Road over the next 5 years.

Consideration was given as to how key issues and risks would be managed as well as the most effective way to make decisions over the coming months to develop the proposals.

The report recommended that future decisions on the programme of improvements were taken by the Executive Member for Transport and Planning, for example over matters concerning the purchase of land, consultation and phasing of works.

In response to earlier public questions, it was clarified that there would be detailed consultation carried out on individual roundabouts and that subway access for pedestrians and cyclists would be provided at various locations.

Resolved:

That the Executive accepts the proposed approach and methodology for future development activity on the YORR Improvement programme, and approves the following scheme of delegation to enable effective management of the project:

- a. To approve the acquisition of land by agreement as required for the upgrade schemes, and to delegate approval of acquisition of land interests by agreement of up to £200,000 for any one interest to the Executive Member for Transport and Planning.
- b. To delegate to the Assistant Director of Transport, Highways and Environment the negotiation of the terms of purchase for individual land interests by private agreement. By definition, this delegation will also include negotiation of easements and temporary rights where freehold ownership is not required e.g. for drainage purposes, or temporary occupation for the

construction works. This delegation will also include obtaining the release/extinguishment of, or variation of, any third part rights over affected land (for example a third party might have a right of way over land which needs to be acquired).

- c. To authorise the preparation of a draft Compulsory Purchase Order (CPO) in parallel to the purchase of land by private agreement in order to reduce the risk of the programme being prolonged if negotiations with some landowners become protracted. (Any decision to authorise the actual making of that CPO would be referred back to the Executive for determination in a subsequent further report).
- d. To delegate operational and detailed decision making to the Executive Member for Transport and Planning as the programme of design and delivery develops over the next 5 years. These decisions will include:
 - i. Approval of proposed consultation with residents, businesses and stakeholders.
 - ii. Approval of the final layout of each junction upgrade.
 - iii. Approval of phasing of the scheme.
 - iv. Approval of land acquisitions up to £200k (in any one interest as above)
 - v. Acceptance of tenders for construction.
- e. To receive further update reports on progress through the Council's monitoring regime. Further specific reports will be brought back to the Executive when decisions are needed on major changes to the scope of the project or if there are significant financial implications to be considered.

Reason: The proposals being made to Executive will ensure that the planning, preparation and construction of the York Outer Ring Road Improvements can be undertaken in the most efficient manner to meet the ambitions of the City Council and the West Yorkshire Combined Authority.

Action Required

1. Refer to Council

CT

22. Award of Contract for Security Services

Members considered a report which detailed the result of the evaluation of the tenders received for the provision of the Provision of Security Services and CCTV Operatives and Equipment (Corporate Security Services).

Resolved: That the Executive agree to delegate authority to the Corporate Director of Customer & Corporate Services to enter into contracts with the proposed supplier for the Provision of Security Services and CCTV Operatives and Equipment (Corporate Security Services).

Reason: To enable the Council to achieve Best Value by maximising the available budget; transfer risks and responsibilities for CCTV security to the appointed supplier so it resides with an experienced, accredited and skilled supplier; and ensure consistency of service provision across the Council.

23. Establishing an Investment Budget for a Strategic Commercial Property Acquisition

[See also Part B Minutes]

Members considered a report which outlined an opportunity that had arisen for the council to acquire the freehold interest in a portfolio of properties in the city centre that would ensure the ongoing maintenance of the buildings, support the economic vibrancy of the city centre and generate significant additional income to contribute to the increased budget income target set for the council's commercial portfolio.

It was noted that if the proposed recommendations were agreed and the subsequent bid successful, a due diligence report would be brought back to the Executive for consideration.

The long term opportunity to influence activity and ensure a vibrant, thriving city centre with a mixed economy was welcomed.

Resolved: That a due diligence report be brought back to Executive prior to completion of the acquisition.

Reason: To ensure the ongoing economic vibrancy of the city centre and increase the income from the council's commercial property portfolio in order to achieve budget targets.

24. City of York Local Plan

Members considered a report which provided an update on the work undertaken on the MOD sites highlighted in previous reports to Local Plan Working Group (LPWG) and Executive.

The recommendations from the meeting of the LPWG on 10 July 2017 were circulated and the following points of clarification were noted:-

Recommendation No. 3 Housing

Table 4: Includes housing sites with minor changes, no changes, small scale deletions (Page 143)

All proposals recommended for approval by LPWG

Table 5: Includes significant changes to boundaries, new sites and significant deletions (Page 144)

All proposals recommended for rejection by LPWG except the inclusions and amendments relating to;

- Queen Elizabeth Barracks (934/ 935 / 936)
- Imphal Barracks (624 / 937 / 939)
- Nestle South (ST17)
- Grove House (H23)
- Former Clifton Without School

the deletions of:

- Heworth Green North (H25)
- Whiteland Field Haxby (H54)

and the change of Poppleton Garden Centre from a housing site at PSC (2016) to an employment site. (H57 becomes E16)

Recommendation No. 3 Employment

Table 6: Employment Sites with minor or no suggested changes and small deletions. (Page 147)

All proposals recommended for approval by LPWG

Site E5, should have been included as a deletion in this table. It is a small 0.2 hectare site included within Annex 4 table 2 as deletion. This due to a lack of a willing landowner for an employment use.

Table 7: Employment sites including significant change (including new sites).

All proposals recommended for rejection by LPWG except the inclusions and amendments relating to;

- Towthorpe Lines (925)
- York Central (ST 5)
- Whitehall Grange (246)
- The deletion of Land North of Grimston Bar (ST 6)

The position taken by LPWG was that Northminster (ST19), land at Elvington Airfield Business Park (ST 26) and the University of York Expansion Site (ST27) all to remain at their Preferred Sites Consultation 2016 position.

Recommendation (v) of the LPWG gave delegated authority to the Assistant Director in consultation with Members to approve non site related modifications. This should refer to non housing and employment site related policy modifications.

Annexes 5 & 7 include sites relevant to proposed policy changes:

- Allocation of Heworth Croft for Student Housing (SH1);
- Site 139 (bio-rad) as a potential mental health facility;
- The deletion of the CNG site at Askham Bryan; and
- Changes to open space designations.

With regards to the potential loss of employment land at the Barracks site, and the rationale for the site being recommended for residential use, it was noted that all potential sites had been rigorously tested against a range of criteria. The annexes attached to the report demonstrated a number of sites that had been rejected and accepted against that methodology.

In response to concerns as to the recommendations put forward by the LPWG, Councillor Ayre, Chair of the LPWG, clarified that the Group had not amended any recommendations, they had been asked to consider and put forward their own recommendations.

In conclusion, Councillor Ayre referred to York's population, housing and affordability challenges and stated that the housing figure of 867 would lock in a higher growth level and deliver on the City's needs.

Resolved: That the Executive agrees:

- (i) That on the basis of the housing analysis set out in paragraphs 82 - 92 of the report, the increased figure of 867 dwellings per annum, based on the latest revised sub national population and household projections published by the Office for National Statistics and the Department of Communities and Local Government, be accepted.

That the recommendation prepared by GL Hearn in the draft Strategic Housing Market Assessment, to apply a further 10% to the above figure for market signals (to 953 dwellings per annum), is not accepted on the basis that Hearn's conclusions were speculative and arbitrary, rely too heavily on recent short-term unrepresentative trends and attach little or no weight to the special character and setting of York and other environmental considerations.

- (ii) That the employment land requirement included, arising from the draft ELR Addendum (Annex 2), be considered and agreed as the evidence base upon which the Local Plan should be progressed.
- (iii) That the increased figure to 867 dwellings per annum, be met by the changes to sites within Table 4 (page 21 of the report) and by the following changes to sites from Table 5 (page 22 of the report), the inclusion of Queen Elizabeth Barracks, Imphal Barracks, Nestle South, Grove House and the former Clifton Without Primary School, the deletion of Heworth Green North (H25) and Whiteland Field, Haxby (H54) and the change from a housing site to an employment site of Poppleton Garden Centre. The rest of the changes included in table 5 should not be included.

That the changes to employment sites highlighted in Table 6 (page 25 of the report) be accepted and to accept the following changes to sites listed in Table 7 (page 25 of the report) – the changes to York Central, the inclusion of Towthorpe Lines and Whitehall Grange, the inclusion of ST19 Land at Northminster Business Park, Elvington Airfield Business Park (ST26) and University of York Expansion (ST27) based on the Preferred Sites Consultation (2016) position and the deletion of site ST6 – Land at Grimston Bar. The rest of the changes included in table 7 should not be included (this includes potential extensions at ST19, ST26 and ST27 and two new sites listed).

- (iv) That the revised policy approach to Gypsy and Traveller provision highlighted within the report and Annex 9 be agreed.

- (v) That authority be delegated to the Assistant Director of Planning and Public Protection in consultation with the Leader and Deputy Leader to approve all housing and employment growth related policies (including site specific planning principles) and the non housing and employment site related policy modifications at schedule (Annex 7) in accordance with the approved evidence base.

That the Leader and Deputy Leader keep Group Leaders informed through Group Leaders meetings.

- (vi) That the Assistant Director of Planning and Public Protection in consultation with the Leader and Deputy Leader, be delegated to approve changes to the non-site related policy modifications schedule (Annex 7) following the completion of viability work.

That the Leader and Deputy Leader keep Group Leaders informed through Group Leaders meetings.

- (vii) That following the approval of the evidence base and policy in relation to housing and employment, authority be given to the Assistant Director of Planning and Public Protection in consultation with the Leader and Deputy Leader to produce a composite draft Local Plan for the purposes of consultation.

That the Leader and Deputy Leader keep Group Leaders informed through Group Leaders meetings.

- (viii) That the Assistant Director of Planning and Public Protection in consultation with the Leader and Deputy Leader be delegated the signing-off of further technical reports and assessments to support the draft Local Plan including, but not limited to the SA/ SEA, Viability Study and Transport Assessment.

- (ix) That the Leader and Deputy Leader keep Group Leaders informed through Group Leaders meetings
- (x) That the Assistant Director of Planning and Public Protection in consultation with the Leader and Deputy Leader be delegated authority to approve a consultation strategy and associated material for the purposes of a city wide consultation starting in September 2017 and to undertake consultation on a composite plan in accordance with that agreed strategy.

That the Leader and Deputy Leader keep Group Leaders informed through Group Leaders meetings

- (xi) That the Assistant Director of Planning and Public Protection in consultation with the Leader and Deputy Leader be delegated authority to approve a revised Local Development Scheme as per the timetable highlighted in paragraphs 98 to 101 of the report.

That the Leader and Deputy Leader keep Group Leaders informed through Group Leaders meetings.

Reason: So that an NPPF compliant Local Plan can be progressed.

PART B - MATTERS REFERRED TO COUNCIL

25. York Central Update and Partnership Agreement

[See also Part A Minutes]

Members considered a report which outlined progress to date on the York Central scheme and set out the Council's commitment to developing a formal partnership agreement and the programme of work to take the scheme through to the submission of Planning Applications.

Resolved: That the Executive recommends to Council that a budget of £37.4m be approved for the York Central Transport improvements funded from the West Yorkshire Plus Transport Fund grant.

Reason: To ensure the delivery of York Central and to ensure that a range of access options have been considered.

Action Required

1. Refer to Council

CT

26. Proposed York Outer Ring Road Improvements - Approach to Delivery

[See also Part A Minutes)

Members considered a report which set out the proposed approach to the York Outer Ring Road improvements project and sought approval of the delivery methodology for the development and construction of the seven targeted improvements to junctions on the north York Outer Ring Road over the next 5 years.

Consideration was given as to how key issues and risks would be managed as well as the most effective way to make decisions over the coming months to develop the proposals.

The report recommended that future decisions on the programme of improvements were taken by the Executive Member for Transport and Planning, for example over matters concerning the purchase of land, consultation and phasing of works.

Resolved: That the Executive proposes to Full Council that a budget of £34.2m be approved for the York Outer Ring Road improvements funded from the West Yorkshire Plus Transport Fund grant.

Reason: To confirm the detailed allocation within the budget for the delivery of the Outer Ring Road Upgrade scheme in accordance with the previous Council Decision taken in December 2016.

Action Required

1. Refer to Council

CT

27. Establishing an Investment Budget for a Strategic Commercial Property Acquisition

[See also Part A Minutes]

Members considered a report which outlined an opportunity that had arisen for the council to acquire the freehold interest in a portfolio of properties in the city centre that would ensure the ongoing maintenance of the buildings, support the economic vibrancy of the city centre and generate significant additional income to contribute to the increased budget income target set for the council's commercial portfolio.

It was noted that if the proposed recommendations were agreed and the subsequent bid successful, a due diligence report would be brought back to the Executive for consideration.

The long term opportunity to influence activity and ensure a vibrant, thriving city centre with a mixed economy was welcomed.

Resolved: That the Executive recommends to full Council:-

- (i) the establishment of a capital budget of £15m, to be financed initially from borrowing, to fund the acquisition of freehold interest in a portfolio of city centre commercial property assets; and
- (ii) to agree that any future capital receipts not currently assumed in the Capital strategy, be allocated to fund the purchase, thereby reducing in time the associated borrowing related to the investment. This will be updated in capital monitor reports in the future.

Reason: To ensure the ongoing economic vibrancy of the city centre and increase the income from the council's commercial property portfolio in order to achieve budget targets.

Action Required

1. Refer to Council
2. Distribute required financial information to all Council Members

CT
TC

Cllr D Carr, Chair

[The meeting started at 5.30 pm and finished at 7.15 pm].

Meeting	Executive
Date	27 July 2017
Present	Councillors Carr (Chair), Aspden (Vice-Chair), Ayre, Gillies, Lisle, Rawlings, Runciman and Waller
Other Members participating in the meeting	Councillors Craghill and Looker

28. Declarations of Interest

Members were asked to declare, at this point in the meeting, any personal interests, not included on the Register of Interests, or any prejudicial or disclosable pecuniary interests they may have in respect of business on the agenda.

Councillor Waller declared a personal interest in Item 6 (Community Stadium and Leisure Facilities) as he was Chair of Energise Sports Centre.

29. Exclusion of Press and Public

Resolved: That the press and public be excluded from the meeting during consideration of:-

Annex B to Agenda Item 6 on the grounds that it contains information in respect of which a claim to legal professional privilege could be maintained in legal proceedings. This information is classed as exempt under paragraph 5 of Schedule 12A to Section 100A of the Local Government Act 1972 (as revised by The Local Government (Access to Information) (Variation) Order 2006).

Annex 3 to Agenda Item 7 on the grounds that it contains information relating to the financial or business affairs of any particular person (including the authority holding that information). This information is classed as exempt under paragraph 3 of Schedule 12A to Section 100A of the Local

Government Act 1972 (as revised by The Local Government (Access to Information) (Variation) Order 2006).

30. Public Participation

It was reported that there had been 1 registration to speak at the meeting under the Council's Public Participation Scheme, in respect of the following item:

Community Stadium & Leisure Facilities Report

Fiona Evans spoke as the Leader of the Yearsley Pool Action Group. She welcomed the report and thanked officers and the Executive for their work and support. She added that whilst the proposed arrangements would have to be reviewed in 7 years, they were the best mechanism to secure the long term future of the pool, which was a unique facility that had served York for over a century.

31. Minutes

Resolved: That the minutes of the Executive meeting held on 29 June 2017 be approved and then signed by the Chair as a correct record.

32. Forward Plan

Members received and noted details of the items that were on the Forward Plan for the next two Executive meetings, at the time the agenda had been published.

33. Community Stadium & Leisure Facilities Report

Members considered a report which provided an update on the progress of the Community Stadium and Leisure Facilities Project since the last report brought to Executive in March 2017 and set out proposals to move forward with construction.

The Executive Member for Culture, Leisure & Tourism thanked offices, partners, the Yearsley Pool Action Group as well as the football and rugby clubs for their work in moving the project forward. He highlighted the scheme's leisure, sport and health offer which would include a range of facilities, such as a county

standard athletics track and purpose built NHS facility and stated that it would be a valuable asset to the City.

In response to Member questions, it was noted that that GLL had carried out the tender exercise and that whilst market forces and competition, in conjunction with the prestige of the scheme, had driven down costs, there was no reduction in quality and the builders shortlisted were reputable and had delivered similar projects.

With regards to Yearsley Swimming Pool, it was noted that funding to meet the costs of continuing to operate the pool from 2024/25 would be subject to further approval. The potential for a revenue surplus in later years was highlighted and the overall budget position would be reviewed after the 7 year period, with a decision taken at that time.

It was noted that whilst the NHS were still to formally sign and confirm the facilities they wished to operate, they had committed to enter into the lease arrangements.

An additional recommendation requesting approval of the pension arrangements as set out in Paragraphs 78-79 of the report was proposed and agreed.

Resolved: That the Executive:

- a. Approves that the operation of Yearsley Swimming Pool (“YSP”) by GLL under the Design, Build, Operate and Maintain Contract (“DBOM Contract”) be included for the full Contract Period, as per the details set out at paragraphs 26 – 30 of this report;
- b. Agrees that the Project proceeds to Financial Close to enable construction of the NSLC scheme to commence and operation by GLL of the NSLC and the city’s wider leisure facilities;
- c. Agrees that the Deputy Chief Executive, in conjunction with the Leader and Executive Member for Culture, Leisure & Tourism be authorised to complete all final negotiations and arrange execution of all legal documents relating to the Project at Financial Close, providing the

Project remains within the overall budget;

- d. Agrees that the Deputy Chief Executive, in consultation with the Leader and the Executive Member for Culture, Leisure & Tourism be authorised to agree to underwrite the cost of required Building Contractor early construction design work and sub-contractor orders ahead of Financial Close to achieve the Project timetable, estimated at a value of £0.5m. These costs form part of the NSLC Construction Cost and are payable post Financial Close already but would be payable should Financial Close not be achieved, as per the details set out under table 5 of this report;
- e. Notes the financial position of the Project and that the Project can proceed within the approved capital budget parameters that Council agreed in March 2016;
- f. Notes as set out at paragraphs 55 – 58 of this report that the project is forecast to be within approved revenue budget set out in the March 2016 Executive Report;
- g. Notes the latest position of the Project Community Partners, as set out at paragraphs 31 – 39 of this report;
- h. Notes the current indicative Project timetable for delivery of the NSLC, as set out at table 5 of this report;
- i. Notes the updated areas of Project risk at paragraphs 70 to 76 of this report, alongside the update on the legal implications since the March 2016 Executive Report that are detailed at confidential Annex B to this report.
- j. Approves the pension arrangements as set out in Paragraphs 78-79 of the report.

Reason: To progress with the Project and enter into all necessary legal agreements at Financial Close to

deliver the NSLC and operation by GLL of the NSLC and the city's wider leisure facilities.

34. Acquisition of Freehold Interest of Swinegate Court

Members considered a report which presented the due diligence undertaken to support the strategic acquisition of a city centre property portfolio as agreed by Executive on 13 July 2017, and to confirm the location of the asset and the final business case. The budget for the acquisition was recommended to full council on 20 July 2017.

The opportunity for the Council to set policy in respect of leaseholder requirements and influence the balance and diversity of offer was highlighted.

Resolved: Following full Council approval on 20 July 2017 of a capital budget of £15 million to make a strategic acquisition of a mixed commercial portfolio in York city centre, the Executive agree to:-

- (i) Delegate to the Director of Customer and Corporate Services authority to complete the acquisition of the freehold of Swinegate Court provided that the findings of the due diligence process do not undermine the purpose of the acquisition; and
- (ii) Authorise the funding of the acquisition of the asset referred to in (i) above and all related costs from the capital budget of £15 million, as agreed by full Council on 20 July 2017.

Reason: To ensure the ongoing economic vibrancy of the city centre and increase the income from the council's commercial property portfolio in order to achieve budget targets.

Cllr D Carr, Chair

[The meeting started at 5.30 pm and finished at 6.20 pm].

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Forward Plan: Executive Meeting: 31 August 2017

Table 1: Items scheduled on the Forward Plan for the Executive Meeting on 28 September 2017

Title and Description	Author	Portfolio Holder
<p>Enforcement Policy</p> <p>Purpose of Report: To update Members on enforcement activity over 2015-16 and seek approval of an updated policy.</p> <p>Members will be asked to approve the new policy.</p>	Matthew Boxall	Executive Member for Culture, Leisure & Tourism
<p>Tour De France Scrutiny Review Final Report</p> <p>To present the Executive with the final report arising from the Tour de France Scrutiny Review.</p> <p>Members are asked to approve the recommendations arising from the review.</p>	Melanie Carr	
<p>Community Safety Plan 2017/2020</p> <p>Purpose of Report: To present the Community Safety Strategy 2017 – 2020</p> <p>The Executive Member is asked to commit to City of York Council contributing to the delivery of this multi-agency (i) Safer York Partnership Plan and; (ii) Partnership Plan.</p>	Jane Mowatt	Executive Member for Housing & Safer Neighbourhoods

Table 1: Items scheduled on the Forward Plan for the Executive Meeting on 28 September 2017 (continued)

Title and Description	Author	Portfolio Holder
<p>Demonstrating Delivery of the Older Persons' Accommodation Programme</p> <p>This report will demonstrate progress of the Older Person's Accommodation Programme and seek consent to undertake consultation on the option to close two further older persons' homes.</p> <p>The Executive will be asked to: note the progress made with the Older Persons' Accommodation Programme and give consent to undertake consultation on the option to close two older persons' homes.</p>	Roy Wallington	Executive Member for Adult Social Care & Health
<p>Sale of Land at Bootham Row Car Park</p> <p>Purpose of report: To obtain Executive approval to the sale of a strip of land at Bootham Row Car Park to the owner of 27 Bootham Row in order to enable the site to be redeveloped in a manner that will improve the environment for surrounding properties and the Council's retained land.</p> <p>The Executive will be asked to approve or reject the proposed sale.</p>	Tim Bradley	Executive Member for Transport and Planning

Table 1: Items scheduled on the Forward Plan for the Executive Meeting on 28 September 2017 (continued)

Title and Description	Author	Portfolio Holder
<p>Strategic Asset Management Programme and Housing Delivery</p> <p>Purpose of Report: To establish a programme for the use of Council property assets including commercial housing delivery, letting and or sale of property. To determine the financial budget and assets to be included in the programme and the objectives to be achieved.</p> <p>The Executive will be asked to consider options in respect of asset budget and objectives for the proposed commercial programme.</p>	Tracey Carter	Executive Leader (incorporating Finance & Performance)

Table 2: Items scheduled on the Forward Plan for the Executive Meeting on 19 October 2017

Title and Description	Author	Portfolio Holder
<p>CYC Adults Transport Policy / Roll-out of a Personalised Approach</p> <p>Purpose of report: The report builds on decisions taken by CYC Executive on 27th April 2017 which set the direction of travel for adults transport i.e. a personalised approach. This report sets out specific options around the roll-out of the personalised approach, which will be captured in an Adults Transport Policy 2017- 2020.</p> <p>The Executive will be asked to consider specific options around the roll-out of the personalised approach, which will be captured in an Adults Transport Policy 2017- 2020.</p>	Adam Gray	Executive Member for Adult Social Care & Health
<p>Delivering Health & Wellbeing Facilities for York: Sports Pitches at the Askham Estate and a Health Hub at Burnholme</p> <p>Purpose of Report: This report will seek consent for investment in and preparation and submission of the planning applications to deliver sports pitches and related facilities on land at the Askham Estate and Chesney Fields and seek agreement to dispose of land at Burnholme to facilitate the provision of a health hub on the site.</p> <p>Executive will be asked to: Give consent for investment in and preparation and submission of the planning applications to deliver sports pitches and related facilities on land at the Askham Estate and Chesney Fields and seek agreement to dispose of land at Burnholme to facilitate the provision of a health hub on the site.</p>	Roy Wallington	Executive Member for Adult Social Care & Health

Table 2: Items scheduled on the Forward Plan for the Executive Meeting on 19 October 2017 (continued)

Title and Description	Author	Portfolio Holder
<p>Future Management of Allotments</p> <p>Purpose of Report: Report on the future management of allotments by way of a Charitable Incorporated Organisation, which will take on the letting and management of 1,250 allotment plots spread over 18 sites.</p> <p>Executive is asked to: Approve the letting of 18 allotment sites to the Trustees of the Charitable Incorporated Organisation.</p> <p>This item has been called in and will be considered at a meeting of the Economy & Place Scrutiny Committee on 11 September 2017.</p>	<p>Tim Bradley / Dave Meigh</p>	<p>Executive Member for Culture, Leisure & Tourism</p>

Table 3: Items Slipped on the Forward Plan

Title & Description	Author	Portfolio Holder	Original Date	Revised Date	Reason for Slippage
<p>CYC Adults Transport Policy / Roll-out of a Personalised Approach</p> <p>To present an update on the Community Stadium Project and seek Member approval to move forward to financial close.</p>	Adam Gray	Executive Member for Adult Social Care & Health	31/08/17	28/09/17	To take into account additional financial and legal input into the report.
<p>Enforcement Policy</p> <p>Purpose of Report: To update Members on enforcement activity over 2015-16 and seek approval of an updated policy.</p> <p>Members will be asked to approve the new policy.</p>	Matthew Boxall	Executive Member for Culture, Leisure & Tourism	31/08/17	28/09/17	Deferred from the meeting of the Executive on 31 August 2017, due to the amount of business for that meeting.

Title & Description	Author	Portfolio Holder	Original Date	Revised Date	Reason for Slippage
<p>Community Safety Plan 2017/2020</p> <p>Purpose of Report: To present the Community Safety Strategy 2017 – 2020</p> <p>The Executive Member is asked to commit to City of York Council contributing to the delivery of this multi-agency (i) Safer York Partnership Plan and; (ii) Partnership Plan.</p>	Jane Mowatt	Executive Member for Housing & Safer Neighbourhoods	31/08/17	28/09/17	The item has been deferred to accommodate further work on the Plan by a number of partners.
<p>Future Management of Allotments</p> <p>Purpose of Report: Report on the future management of allotments by way of a Charitable Incorporated Organisation, which will take on the letting and management of 1,250 allotment plots spread over 18 sites.</p> <p>Executive will be asked to approve the letting of 18 allotment sites to the Trustees of the Charitable Incorporated Organisation.</p>	Tim Bradley / Dave Meigh	Executive Member for Culture, Leisure & Tourism	29/06/17 13/07/17 31/08/17	19/10/17	The proposed charitable incorporated organisation is awaiting approval from the Charity Commissioners

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**Executive**

31 August 2017

Report of the Chief Executive (Portfolio of the Executive Leader)

Police & Crime Commissioner Proposal on Future Governance of North Yorkshire Fire & Rescue Service – Cover Report**Summary**

1. This report presents the Police & Crime Commissioner's (PCC) Local Business Case (LBC) on her proposal for the future governance of North Yorkshire Fire & Rescue – see Annex A. It also provides an alternative proposal provided by North Yorkshire Fire & Rescue Authority – see Annex B
2. The report suggests a number of issues arising from the PCC's consultation document that the Executive may wish to consider in greater depth, and provides feedback from a consultation meeting of the Customer & Corporate Services Scrutiny Management Committee held in late July 2017.
3. The Executive are asked to indicate whether they accept the recommendation of the Corporate and Scrutiny Management Committee that the Council support the representation model put forward by North Yorkshire Fire & Rescue Authority for the reasons set out in paragraph 48 of the report or whether the Executive would wish to put forward an alternative response on behalf of the Council.

Background

3. The Policing and Crime Act 2017 enacted by Parliament in January 2017 placed a statutory obligation to collaborate on the three emergency services – Fire, Ambulance and Police. Unlike similar initiatives previously, this duty includes a specific opportunity for Police and Crime Commissioners to apply to the Secretary of State to allow them to take on responsibility for the governance of their local Fire and Rescue Service, if it appears that it is in the interests of effectiveness, efficiency, economy or public safety to do so. It is important to note that this is an enabler rather than a requirement.

4. In response, the PCC for North Yorkshire has undertaken a review of the governance of the Fire and Rescue Service and proposed changes that are aimed at promoting improved collaboration between the Police and the Fire and Rescue Service, suggesting this will lead to greater efficiencies, improved outcomes and increased investment in front-line services.
5. Across the 40 force areas in England and Wales that have a Police and Crime Commissioner, there are 10 Police and Crime Commissioners who are looking into options for changes to the governance to enable greater collaboration between the Police and the Fire and Rescue Service in their area. The drivers for this, range from responding to the Policing and Crime Act 2017, to seeking to address specific local issues with governance and service provision.
6. The pace at which the reviews are being undertaken also varies. North Yorkshire is one of the front runners and will be, subject to the outcome of the consultation and the assessment of the Home Office, an early adopter of a new governance model.
7. Assessment Process
The Home Office states that any changes in governance proposed by a Police and Crime Commissioner must meet the tests laid down in the Policing and Crime Act 2017. These are that any changes are in the interests of:
 - Economy
 - Efficiency
 - Effectiveness
 - Public safety.
8. The Association of Police and Crime Chief Executives (APACE) guidance states that as a minimum, a LBC will need to demonstrate that there is no adverse impact on public safety.
9. The criteria used as part of the assessment of the options for a revised governance model, do not use the four tests in the Policing and Crime Act 2017 (of which public safety is one) as they stand. Instead, the four tests are translated into a series of design principles, none of which explicitly refer to public safety (see Annex 1, page 58).

10. Please note that if one or both of the County Council and the City of York Council object to what is proposed, as the upper tier authorities in the area covered by the PCC, Police and Fire and Rescue Service, then the Home Secretary must obtain and publish an independent assessment of the proposal, and must have regard to that assessment and to the representations from relevant local authorities and others in deciding whether to make an order.

Consultation

11. Council debated a motion in October last year and confirmed its support for more efficient and cost effective fire and police services but sought clarification of the claims put forward by proponents of proposals being developed by the PCC and by the Fire and Rescue Service. Council indicated that it expected the final decision to be based on firm economic and management principles displaying clear financial and operational benefits and paying full regard to the safety of the residents of York.
12. The Local Business Case (LBC) prepared by the PCC for formal public consultation in North Yorkshire, has been developed in consultation with a strategic reference group based on information provided by North Yorkshire Police, North Yorkshire Fire and Rescue Authority, North Yorkshire Fire and Rescue Service and information in the public domain. The LBC attached at Annex A details the organisations that have been engaged during its development, but does not necessarily reflect their views. – see Annex 1 pages 8/9.
13. The LBC has been published for public consultation. The consultation runs from 17 July – 22 September 2017. Response forms and information leaflets have been made available at local libraries, police stations, fire stations and council offices across the region. Consultees can also respond online at www.telljulia.com.
14. In late July 2017, The Customer & Corporate Services Scrutiny Management Committee (CSMC) met to consider the PCC's Local Business Case.

15. County Councillor Andrew Backhouse, Chair of North Yorkshire Fire and Rescue Authority, attended the meeting to offer the Authority's perspective on improved collaboration with the Police and how best to achieve it. The Vice Chair of North Yorkshire Police & Crime Panel (PCP) also attended to give an overview of the role of the PCP and the impact the PCC's proposal would have on that work. Feedback from the CSMC meeting is shown below at paragraph 48.
16. Depending upon the view taken by the PCC after consultation, further versions of the business case may be developed, or the current version may form the Local Business Case submission to the Home Secretary for consideration.

Timeline

17. Following the consultation period, the timeline for analysis, submission and consideration of the preferred option for governance is as follows:
 - Analysis of findings – 22 September 2017 to 2 October 2017
 - Consultation report published – around 16 October 2017
 - Submission to Home Office dependent on PCC final decision – before the end of October 2017
 - Consideration by Home Secretary – 4 weeks where agreed by local tier 1 authorities
 - Consideration by Home Secretary – 12 (8+4) weeks where no agreement and an independent assessment is required
 - Secondary legislation – 8 to 12 weeks
 - Earliest transfer date – April 2018.

Governance Options

18. To enable greater collaboration between blue light services the Policing and Crime Act 2017 proposes three alternative options to the status quo (the 'Do Nothing' model). These are:
 - Representation model
The PCC is represented on a Fire and Rescue Authority (and its committees) in their police area with full voting rights, subject to the consent of the Fire and Rescue Authority. In North Yorkshire, this would see the PCC join NYFRA and become one of 17 voting members.

- Governance model
The PCC takes on legal and overarching responsibility for the provision of the fire and rescue service(s) in their area. Individual services retain their operational independence, budgets, their Chief Fire Officer or Chief Constable, and their own staff. In North Yorkshire, this would see the PCC becoming the North Yorkshire Fire & Rescue Authority.
- Single Employer model
The PCC would become the North Yorkshire Fire & Rescue Authority but, in addition, fire and rescue functions are delegated to a single Chief Officer for policing and fire. Within this model, the services remain distinct front line services with separate budgets, albeit with increasingly integrated management and support services.

Analysis

19. The LBC contains the PCC's assessment of:
 - i. The strategic, operational and financial benefits that closer collaboration and shared governance could deliver for the police and the fire and rescue services in North Yorkshire.
 - ii. The governance options available under the Policing and Crime Act 2017 (see paragraph 10 above), and her assessment of which of those options would be more likely to deliver those benefits at greater pace and scale, and support the improvement of emergency services in North Yorkshire.
20. The assessment has been undertaken based on the HM Treasury Five Case Model, using the following assessment criteria:
 - Strategic - legislative and strategic context
 - Economic – the key criteria for determining the preferred option
 - Commercial - commercial, HR and resourcing implications
 - Financial - affordability and accounting implications
 - Management – delivery of the preferred option.

21. The arguments that have been put forward for a change in governance and not keeping with the status quo are as summarised below. The detailed analysis is contained in the consultation document.
- Inevitability – the argument that closer working between the Police and the Fire and Rescue Service is inevitable as the way of improving services and saving money
 - Pace – whilst there has been collaboration to date the pace has been slow and the scope limited, with the emphasis upon the tactical rather than the strategic
 - Research – the findings of national and international research and reviews suggests that joined up governance between emergency services accelerates collaboration
 - Protecting the front line – increased collaboration results in increased efficiency, which in turn means that during a period of tight budgets there is greater protection of front line services
 - Outcomes – a strategic view of collaboration between the Police and the Fire and Rescue Service will lead to improved outcomes.
22. Preferred Option of the Police and Crime Commissioner
The preferred option that has been identified is that of the Governance Model, whereby the PCC takes on legal and overarching responsibility for the Fire and Rescue Service.
23. The arguments put forward for the Governance Model, are summarised below:
- Decision making – simplified and aligned decision-making structures will increase the scope and pace of collaboration
 - Joint strategic planning – there would be greater scope for joint planning of services, creating opportunities for more effective use of funding and resources across both services. The combined budget under the influence of the Police and Crime Commissioner would be £169m, with assets £80m
 - Front line services – savings achieved through enhanced collaboration, estimated as being £6.6m per annum, could be re-invested in front line staff
 - Scrutiny – improved oversight of the Fire and Rescue Service

- Public safety – improvements in public safety arising from collaborative approaches.

24. The tangible benefits that could be achieved by accelerated collaboration between the Police and the Fire and Rescue Service, should the Governance Model be adopted, include the following:

- Systematic data sharing of intelligence to enable commissioning of targeted services
- A single approach to community safety across Police and Fire and Rescue
- Roll out of community safety hubs
- Joint control rooms
- Implementation of the fire responder role, particularly in rural areas
- Joint management of estates, linked to One Public Estate
- Integrated specialist training
- Single ICT strategy and systems
- Rationalisation of the back office.

25. The arguments put forward against the other options, are as summarised below:

- Do nothing option – this will not bring about an acceleration in strategic collaboration between emergency services, perpetuating the existing culture of tactical and localised joint working. Estimated savings of £0.1m per annum.
- Representation model – this will promote greater tie in at a strategic level between the Police and Fire and Rescue Service but will suffer from the constraints of multiple decision-making mechanisms and the joint agreement of objectives and priorities. Estimated savings of £1.3m per annum.
- Single Employer model – is likely to bring greater benefits than the Governance model but presents significant delivery and strategic risks. Estimated savings of £7.5m per annum.

26. Irrespective of the option that is finally adopted:

- Separate fire and police funds would have to be maintained.
- The roles and powers of police and fire officers could not be changed or merged.

- The operational independence of the Chief Constable would be maintained.

27. The Local Business Case is a very detailed document that runs to 119 pages. There is a concern that there may not be sufficient time for the public, City of York, district and county councillors, and other key stakeholders to undertake the necessary detailed examination of the evidence that has been provided. In particular, to be able to determine what the consequences may be, intended or otherwise, over the short, medium and long term. Also, if the Governance Model is adopted, there will be no easy way to reverse the decision should experience dictate that other solutions may be preferred in the longer term.

Lines of Enquiry

28. In considering the local business case and the preferred option of the Governance Model, members may wish to consider a number of lines of enquiry. Each of the queries raised below is referenced to the relevant section of the consultation document attached at Annex A:

Is a revised model of governance really the answer or are there other ways of promoting increased collaboration between the Police and the Fire and Rescue Service?

29. The LBC suggests that the only way in which significant financial benefits can be readily realised from accelerated collaboration is through addressing "*the issues around sovereignty that have formed one barrier to greater pace and scale of collaboration in the past*" (page 14). Is this really the case? Whilst a stronger central grip of governance across both services may help increase collaborative approaches, it is likely that the real challenge will be cultural.

Are we leaping to solutions without fully understanding what the issues are across all of those organisations that work in promoting community safety and wellbeing?

30. The Policing and Crime Act 2017 places a duty on police, fire and ambulance services to work together and enables police and crime commissioners to take on responsibility for fire and rescue services where a local case is made. It is reasonable to question why further work is not being done to promote collaboration across all three blue light

services in the county, before reverting to the changes in governance for the Fire and Rescue Service.

31. A whole sector approach is referred to in the local business case a number of times but not fully explored, “*service delivery needs to be increasingly focussed on preventing need than responding to it, with local public service delivery focussed on working holistically with the same communities that they serve*” (page 40) and “*whilst reliable quantitative data does not exist, we know that there is a high degree of overlap between police, fire, ambulance and local authorities in providing services to the same vulnerable communities. Further collaboration between agencies around joint priorities would support a joined-up approach that will provide greater efficiency and effectiveness, allow reinvestment in emergency services and improve public safety and outcomes for residents*” (page 47).

Are the big wins for the PCC associated with further collaboration, integration and mergers of Police forces?

32. The local business case refers to the relatively low level of spend on collaborative arrangement by North Yorkshire Police with other Police forces: “*Spend on collaboration by North Yorkshire Police is, however, below the national average. North Yorkshire Police forecast that it would spend £4.2m in 2016/17 on collaboration with other police forces. This is 2.9% of its net revenue expenditure (NRE), which is lower than the England and Wales average of 11.9 %*” (page 29). There remains a question as to whether further work could be done on regional collaboration between Police forces before pursuing changes to governance for the Fire and Rescue Service.
33. Equally, there may be opportunities for greater collaboration between the Fire and Rescue Service and the Ambulance Service prior to more in-depth and formal collaborative arrangements with the Police Service.

The LBC suggests that the current attempts at collaboration between the Police and the Fire and Rescue Service have not delivered at the level that was expected. If this is the case, then do we really understand why and will changes in governance be the solution?

34. In December 2013, the Police and the Fire and Rescue Service issued a Statement of Intent for Improving Public Safety. This listed a number of areas in which there were opportunities for collaboration. The LBC

(page 26) acknowledges the progress that has been made but suggests that more could have been done: *“Back in 2013, the fire service and police in North Yorkshire recognised that opportunities existed to improve public outcomes and signed a 'statement of intent' to collaborate. We set out a wide range of activities which we felt could be done better together. But if we're frank, success has been slow to come, and limited in scale”* (page 7).

What will the Office of the Police & Crime Commissioner (OPCC), Police and Fire and Rescue Service look like in the county in five years' time?

35. The LBC argues that collaborative working with emergency services and others is essential in order to meet the many various challenges that these services face. It is reasonable to suggest that the proposed governance changes are only the starting point for more ambitious changes to service delivery over time. As such, is the end goal the adoption of the single employer model, whereby the functions of the Fire and Rescue Service would be transferred to a single Chief Officer for policing and fire and rescue? As stated in the local business case, *“The Single Employer model could bring greater benefits than the Governance model, through providing the means to achieve deeper integration of fire and police assets while maintaining operational separation”* (page 15).

What has been the role of the Fire and Rescue Service and the Fire and Rescue Authority in the development of the LBC and the identification of a preferred option?

36. The LBC appears to be heavily weighted towards the priorities of the Police and the Police and Crime Commissioner. References are made to a number of stakeholder groups (the Strategic Reference Group, the Check and Challenge Panel and the Business Case Development Group). It is unclear how these groups have worked and influenced the development of the LBC.

What is the vision for the Fire and Rescue Service over the next 5 years?

37. There is a clear articulation of the PCC's vision for local policing (page 30) but little about the vision for the Fire and Rescue Service or what their strategic and operational intentions are over the next 5 years. This then suggest that there has been little consideration of the impact of the proposed changes upon the Fire and Rescue Service.

Will the PCC and OPCC have the skills, experience, knowledge and capacity to take on responsibility for an additional complex and high risk area of work?

38. The proposed change to governance would see the PCC take on legal and overarching responsibility for the Fire and Rescue Service. Both the Police and the Fire and Rescue Service are working in an increasingly challenging environment, with greater demands being made upon their front line staff. They also have increasingly sophisticated, technical and specialised services and regional and national collaborative and inter-operability arrangements in place.

Has the public safety case been made for the proposed changes to governance?

39. The Association of Police and Crime Chief Executives (APACE) guidance states that as a minimum, the Local Business Case will need to demonstrate that there is no adverse impact on public safety. The criteria used as part of the assessment of the options for a revised governance model, do not use the four tests in the Policing and Crime Act 2017 (of which public safety is one). Instead, the four tests are translated into a series of design principles, none of which explicitly refer to public safety (page 58).

It appears that a full Equalities Impact Assessment not been undertaken as part of the preparation of the LBC. Why? If it is the case, then this is a serious omission.

40. It is good practice for a comprehensive Equalities Impact Assessment to be included as part of the consultation document. This then enables those people who are being consulted with to have a better understanding of what the impacts may be as well as being given an opportunity to respond directly. The section on page 105 suggests that this will only be done as part of the submission to the Home Office.
41. Preferred Option of the North Yorkshire Fire and Rescue Authority
In summary, the Fire and Rescue Authority have made the following key points:
- There is already a commitment to collaboration and joint working across both services

- There is potentially more to gain from collaboration with the Ambulance Service, Public Health and the local NHS than with the Police
 - Despite the detailed nature of the business case that has been presented as part of the consultation, there is a lack of evidence to support the assertion that a change of governance will make collaboration easier
 - There is no imperative to pursue this now.
42. The preferred approach of the North Yorkshire Fire and Rescue Authority is to adopt the representation model (the PCC is represented on the Fire Authority and its committees for 12 months) and revitalise the existing collaboration committee. The progress made through this approach can then be reviewed and options for change considered at that point. This is then a progressive stepping up on arrangements, informed by experience.
43. A copy of the North Yorkshire Fire and Rescue Authority response and their alternative proposal is attached at Annex B.
44. North Yorkshire Police and Crime Panel
The North Yorkshire Police and Crime Panel met on 20 July 2017 to review the LBC as presented in the consultation documents. They will then meet again on 14 September 2017 to provide detailed feedback to the Police and Crime Commissioner and clarify any further points before submitting a formal response.

Accountability

45. If the preferred option of the PCC is implemented i.e. the adoption of the governance model, then the PCC will take on legal and overarching responsibility for the Fire and Rescue Service.
46. The Police and Crime Panel will have to expand its remit to cover matters relating to Fire and Rescue as the Fire and Rescue Authority would cease to exist as a governing body.
47. The Health, Housing & Adult Social Care Policy & Scrutiny Committee would continue to have oversight of the work of the responsible authorities of their crime and disorder functions, as the Crime and Disorder Committee for City of York Council.

Implications for City of York Council (CYC)

48. The direct implications of the preferred option of the Police and Crime Commissioner for the adoption of the governance model are likely to include:

- A significantly reduced input from CYC Councillors into the planning and delivery of fire and rescue services in York and across North Yorkshire, as the Fire and Rescue Authority ceases as a governing body (currently 4 CYC Councillors are members)
- An increased burden upon the Police and Crime Panel (currently 2 CYC Councillors are members), with no clarity around appropriate additional resources, as it expands its remit to cover matters relating to the planning and delivery of fire and rescue services.

49. **Feedback from the Customer & Corporate Services Scrutiny Management Committee**

Having considered the information provided at their meeting, the Customer & Corporate Services Scrutiny Management Committee agreed that:

- A direct move to the governance model would prevent any future return to the representation model.
- There was insufficient evidence to support the financial savings stated as a result of a move to the Governance Model (as identified within the LBC).
- There was no evidence to suggest that the improvements in frontline services suggested in the LBC could not be achieved through greater collaboration, as a result of a formal move to the Representation Model.
- The Governance Model would reduce the opportunity for local elected Members to influence and monitor the delivery of Fire & Rescue Services across North Yorkshire
- A move to the Representation Model now would not rule out a move to the Governance Model in the future, should it prove appropriate based on evidence and good practice.

50. CSMC therefore agreed to recommend to the Executive, the Representation Model proposed by North Yorkshire Fire & Rescue Authority.

Recommendations

51. The Executive are asked to:

- i) Consider and comment on the PCC’s LBC at Annex A and the North Yorkshire Fire & Rescue Authority response and alternative proposal at Annex B
- ii) Consider the feedback from CSMC shown at paragraph 48 above.
- iii) Agree their preferred model for the future governance of North Yorkshire Fire & Rescue Services
- iv) Instruct the Chief Executive, in consultation with the Leader, to submit a formal response on behalf of the Council.

Reason: To facilitate the effective consideration of the Police & Crime Commissioner’s LBC

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Report Approved **Date** 4August 2017

Specialist Implications Officer(s) N/A

Wards Affected: All

For further information please contact the author of the report

Background Papers: N/A

Annexes:

Annex A – Police & Crime Commissioner’s Local Business Case on Options for Future Governance of North Yorkshire Fire & Rescue Service

Annex B – North Yorkshire Fire & Rescue Authority Response & Alternative Proposal

Abbreviations:

APACE – Association of Police and Crime Chief Executives

CSMC – Customer & Corporate Services Scrutiny Management Committee

CYC – City of York Council

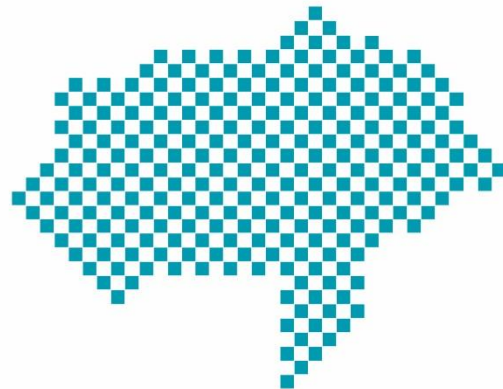
LBC – Local Business Case

OPCC – Office of the Police & Crime Commissioner

PCC – Police & Crime Commissioner

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**Police and Crime
Commissioner
North Yorkshire**



WORKING BETTER TOGETHER

Options to improve collaboration between Fire and
Police services in North Yorkshire

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FOREWORD

Dear Friends, Residents and Colleagues,

Over the past five years or so, at my advice surgeries, events and in correspondence, I have on very many occasions heard the public say that they would like to see more joint working between different 'authorities' in their local area, and that it makes common sense to do so. Indeed, all of us involved in providing services to the public know the value of working with a wide range of partners because it leads to a better service for individuals and improved outcomes for all involved.



Across North Yorkshire, we have a good track record of working together, and there are some excellent examples. We have mental health nurses in the police control room and out on the beat with officers, and fire fighters providing 'safe and well' checks for elderly people in their homes in support of social and health care providers. We are increasingly sharing premises and business administration with one another. Our joint community safety teams and projects, such as 'No Wrong Door', supporting very vulnerable children are winning national awards.

Whilst some good work is already underway, in January this year a new legal duty to collaborate between the three emergency services – Fire, Ambulance and Police – was enacted by Parliament. But unlike similar initiatives previously, this goes further. It provides an opportunity to assess whether collaboration can be made simpler and done faster in the public interest, specifically by joining up how policing and fire and rescue services are overseen.

Back in 2013, the fire service and police in North Yorkshire recognised that opportunities existed to improve public outcomes and signed a 'statement of intent' to collaborate. We set out a wide range of activities which we felt could be done better together. But if we're frank, success has been slow to come, and limited in scale. I see this new duty to collaborate as a catalyst for change. Now is the time to reinvigorate that spirit of co-operation and collaboration, in the interest of the public of North Yorkshire. This business case has been prepared with that purpose.

Much work has been done in drawing up my proposals. We have looked across the country at best practice and emerging innovation. We have contrasted that with the progress made here in North Yorkshire, and while we have some note-worthy successes, this work has shown that we could be moving faster and achieving better outcomes for the public.

The assessment shows that by joining up governance we can accelerate the pace and scale of collaboration. By working better together, not only can services improve and be better targeted, but significant opportunities remain to save money that can be reinvested in frontline services. This would allow us to do even more to protect those who are vulnerable and make us all and our communities, rural and urban, safer and stronger.

Let's be clear, firefighters would remain as firefighters, and police officers as police officers. The two services would continue to have distinct roles, identities and finances – one service's savings would not fund the other. But by sharing oversight, barriers can be overcome that have stifled progress to date and the two services can work much better together, achieving much more for the public.

For example, rather than each service having its own buildings, often within a mile or two of each other, we could bring them together creating 'Community Safety Stations', possibly with the ambulance service as well. We could also bring together our back-office support teams to provide a more efficient service with greater ability to share data, knowledge and understanding. By doing these things, which has been impossible to date, we could release money to create better community-based frontline services, thereby preventing harm and crime, and boosting community support structures and resilience.

All public services are facing financial pressures, so it is incumbent on us to pull together, put the politics to one side, pool our sovereignty and put the public first, who, quite rightly, expect us to seek out every opportunity to protect frontline services. This business case suggests that bringing the two services under one Commissioner would be most likely to achieve this at the greatest pace, the greatest scale, and with a minimum of risks. I believe that this is possible, but before applying to the Home Secretary to ask her to take this decision, I would like to hear what you think, and seek your support to help make it so.

Thank you.

A handwritten signature in black ink, appearing to read 'Julia Mulligan', with a long, sweeping horizontal stroke extending to the right.

Julia Mulligan
Police and Crime Commissioner for North Yorkshire

1 INTRODUCTION

The Policing and Crime Act 2017 places a statutory obligation on emergency services to collaborate and enables Police and Crime Commissioners (PCCs) to take on responsibilities for fire and rescue services in their area.¹ In describing the measures, Brandon Lewis, former Police and Fire Minister, said that *“by overseeing both police and fire services, I am clear that PCCs can drive the pace of reform, maximise the benefits of collaboration and ensure best practice is shared.”*²

This Local Business Case (LBC) assesses the scale of opportunity for closer working between police and fire in North Yorkshire, and then considers which of the joint governance options would be most likely to deliver the greatest range of opportunities at the greatest pace and with least risk, in the interest of public safety. This LBC has been prepared by the Office of the Police and Crime Commissioner for North Yorkshire.

1.1 Status of this document

This LBC has been prepared for consideration by the PCC and for formal public consultation in North Yorkshire. It has been developed in consultation with the Strategic Reference Group which was appointed to ensure that the Local Business Case is fully informed, adequately resourced and can make the very best recommendation in the interests of economy, efficiency and effectiveness, or public safety. It has been prepared by the Office of the Police and Crime Commissioner and their external advisers, based on information provided by North Yorkshire Police (NYP), North Yorkshire Fire and Rescue Authority (NYFRA), North Yorkshire Fire and Rescue Service (NYFRS) and information in the public domain.

Depending upon the view taken by the PCC after consultation, further versions may be developed, or this version may also form the LBC submission to the Home Secretary for consideration.

The Policing and Crime Act places a duty on the local Fire and Rescue Authority and Service to cooperate with PCCs in the development of the LBC. The OPCC would like to thank NYFRA and NYFRS for their assistance in providing data, information and feedback for the development of this LBC.

Representatives from the following organisations have been engaged with during the development of the LBC:

- North Yorkshire Fire and Rescue Authority
- North Yorkshire Fire and Rescue Service
- North Yorkshire Police
- North Yorkshire County Council (CYCC)
- City of York Council (CYC)
- Yorkshire Ambulance Service
- Fire Officers Association
- Fire Brigades Union

¹ HM Parliament, [Policing and Crime Act 2017](#)

² Brandon Lewis (2017), [Fire Minister's speech to Reform](#)

- Police Superintendents Association of England and Wales
- Police Federation of England and Wales
- UNISON

For avoidance of doubt, this business case is for the PCC and does not necessarily reflect the views of those engaged with at this stage.

1.2 New governance options

To facilitate better collaboration and improve emergency services, the Policing and Crime Act 2017 proposes three alternative options to the status quo (the 'Do Nothing' model) that are now available to PCCs. These are:

1. Representation model

The PCC is represented on a Fire and Rescue Authority (and its committees) in their police area with full voting rights, subject to the consent of the Fire and Rescue Authority. In North Yorkshire, this would see the PCC join NYFRA and become one of 17 voting members.

2. Governance model

The PCC takes on legal and overarching responsibility for the provision of the fire and rescue service(s) in their area. Individual services retain their operational independence, budgets, their Chief fire Officer or Chief Constable, and their own staff. In North Yorkshire, this would see the PCC becoming the NYFRA.

3. Single Employer model

The PCC would become the NYFRA but, in addition, fire and rescue functions are delegated to a single Chief Officer for policing and fire. Within this model, the services remain distinct front line services with separate budgets, albeit with increasingly integrated management and support services.

This LBC, therefore, assesses the strategic, operational and financial benefits that closer collaboration and shared governance could deliver for the police and the fire and rescue services in North Yorkshire.

It then considers each of the governance options available under the Policing and Crime Act 2017 and assesses whether one of these options would be more likely to deliver these benefits at greater pace and scale and support the improvement of emergency services in North Yorkshire. It also considers whether the potential benefits are sufficient to warrant such a change, given the cost of change.

1.3 Assessment of governance options

This LBC uses the HM Treasury 'five case model'³ for business cases. This approved methodology underpins all major government business decisions helps to ensure that key, relevant criteria and options are considered. It also permits criteria such as ease and speed of implementation and existing collaborative arrangements to be considered and factored in to the option appraisal and consultation process. This LBC also uses the recent Association of Police and Crime Chief Executives (APACE) guidance, which has used the HMT standard to develop some tailored guidelines for PCCs who are producing business cases concerning the Policing and Crime Act.⁴

³ <https://www.gov.uk/government/publications/the-green-book-appraisal-and-evaluation-in-central-government>

⁴ http://apace.org.uk/documents/APACE_Police_Fire_Business_Case_Guidance.pdf

The purpose of this business case is to assess which governance option would be most likely to deliver a greater pace and scale of collaboration between the two services to improve their effectiveness, efficiency and economy to the benefit of public safety. It is not to provide a detailed case for progressing each opportunity. Each would require a further assessment to detail the financial and non-financial benefits and costs, and set out their implementation.

The five cases are:

- **Strategic Case** – sets out the legislative and strategic context for NYP and NYFRS collaboration and governance, summarises the case for change and sets out the opportunities and strategic risks. This provides the context, and critical success factors, for appraising the options. The Strategic Case does not recommend a particular option.
- **Economic Case** – appraises the governance options (including the 'Do Nothing' model), against the critical success factors that will help the PCC to decide and the Office of Police and Crime Commissioner (OPCC) to inform the Home Secretary's appraisal of a proposal if and when submitted. The Economic Case identifies the 'preferred option'.

The implications of implementing the preferred option are then set out in the remaining three cases:

- **Commercial Case** – sets out the commercial, HR and resourcing implications of the preferred option.
- **Financial Case** – sets out the affordability and accounting implications of the preferred option. The Financial Case reflects the benefits and costs to the organisations.
- **Management Case** – outlines how the preferred option can be delivered, including more detailed planning, consultation requirements and communications approach.

These final cases will be developed further before submission of the final Local Business Case to the Home Office, but their substantive points relevant to public consultation are set out here.

2 EXECUTIVE SUMMARY

This summary brings together the main analysis and findings, which are explored in more detail in the rest of the document.

2.1 Strategic Case

The strategic case sets out the context and drivers for change. It does not assess the governance options, but provides information that is material to that assessment set out in the Economic Case.

1. The strategic case for a change to the current model of governance of police and fire and rescue services in North Yorkshire is clear. Given the structure, size and budgets of the two organisations, and the shared challenges in demand and finances that they face, closer working is inevitable.

Covering over 3,000 square miles, the county of North Yorkshire consists of seven districts and boroughs and the City of York, and ranges from isolated rural settlements and farms to market towns and larger urban areas such as York, Harrogate and Scarborough. Overall it is sparsely populated, but the population is increasing steadily. In particular, the number of people in the older age groups is increasing at a higher rate than the average in England. This has significant implications for vulnerability and for pressures on services.

The City of York is a university city and therefore has a different demographic make-up to North Yorkshire; the highest proportion of people in York is within the 20-24 bracket, followed by the 25-29 group.⁵ Population growth in York has been even stronger than across the county.

The county has two tier-one authorities, with North Yorkshire County Council covering the seven districts and boroughs, and the City of York Council covering the City of York.

North Yorkshire Fire and Rescue Service (NYFRS) and North Yorkshire Police (NYP) cover all seven districts and the City within their combined boundaries. They are conterminous and service the needs of over 813,000 residents, as well as considerable numbers of seasonal visitors.⁶

The large and rural nature of the county brings significant challenges for public services, including policing and fire and rescue services. Pressures come from providing services to isolated and/or sparsely populated areas as well as densely populated urban areas, addressing both rural and urban poverty, particularly as public demand and expectation remains high.

Requirements on our police and fire and rescue services are changing, with increasing time spent on non-crime and non-fire incidents. More resource is required to support vulnerable people, in a place-based approach, regardless of who is the service provider. Ensuring that the right community services are available to protect vulnerable people, and retain community resilience to support them, is a particular challenge with which police and fire and rescue services are increasingly being asked to deal.

These challenges are set in the context of increasing strains on public finances. Budgets continue to fall, both in fire and rescue and policing, as well as for health, social care and local government. Other agencies, and the public, increasingly look to policing and fire and rescue services to provide extra support and plug gaps.

⁵ <http://www.healthyyork.org/the-population-of-york/specific-population-profiles/frail-elderly.aspx>

⁶ <http://www.justiceinspectorates.gov.uk/hmic/peel-assessments/peel-2016/north-yorkshire/key-facts/>

Nationally, there is a continued drive for efficiencies, and, to avoid cuts to frontline services and respond effectively to the changing needs of the public, police and fire and rescue services will have to increasingly work together.

2. However, while there has been some collaboration to date, this has been limited in ambition, has progressed slowly, and has been led tactically rather than having been strategically developed.

In 2013, NYFRA and NYP signed a Statement of Intent to collaborate, recognising the need to work better together. While this has been a long-standing commitment to collaborate, and set an ambitious strategy and programme, progress has been slow and limited to date. Previous programmes of work have not developed momentum and pace, in part due to fragmented governance (although NYFRA have established a Collaboration Committee since the beginning of work on this business case).

Collaboration that has occurred is largely tactical in nature and has predominantly focussed on support services, i.e. transport and logistics, estates and procurement, and some particular frontline initiatives around community safety and road safety (see Table 1, 'current state'). However, this has been relatively small-scale and is fragmented in nature, developing at an operational level with no clear vision or strategy. One barrier to a greater pace and scale of collaboration has been issues of sovereignty over individual services within each organisation.

Given this, and the increasing pressures, all parties agree that there is a need for change to accelerate the pace and scale of collaboration.

3. There are considerable drivers for change, with evidence showing that more joined up governance accelerates collaboration.

There is a clear steer from the Government, as well as from the national fire and policing bodies, for increased collaboration between the two services and with wider partners.

The Policing and Crime Act 2017 is the latest legislation of several over the last two decades which has called for closer working between the emergency services. This latest Act, while reinforcing the message, goes further than those previously, setting out the option to consider a change in governance as a route to speeding up and scaling up collaboration. Statements from Government ministers make it clear that the status quo is not an option.

Currently, the organisations are governed and organised differently, with the Fire and Rescue Authority governing NYFRS and the PCC holding the Chief Constable to account for policing. A number of national reviews have highlighted weaknesses in fire governance, and the PCC model has been demonstrated to have increased scrutiny, public engagement, transparency and innovation in policing.

Service reviews have also noted the clear need for change. HM Inspectorate of Constabulary stated in 2014 that collaboration between police forces, as well as with wider partners, remains complex and fragmented. The National Audit Office (NAO) suggested in 2015 that Fire Authorities rely too heavily on information from senior fire officers without independent information to help their deliberations, such as that enjoyed by PCCs through their independent offices. The NAO reflected that this finding was similar to that which they had observed amongst Police Authorities prior to the move to PCCs.

In 2012 the Knight Review of Fire and Rescue Authorities advised that shared governance and closer working and sharing of teams would unlock further savings, and observed that a similar model to PCCs could enhance public accountability. The Thomas Report on Fire and Rescue Service staff stated in 2016 that the greatest opportunity to drive economies to reinvest in frontline services would be to bring together support functions collaboratively across services.

Research from the UK and internationally, shows that complex and fragmented governance structures create one of the greatest barriers to effective collaboration. As best practice examples develop, evidence shows that bringing governance closer together accelerates the pace and scale of collaboration and is more likely to deliver benefits to the efficiency and effectiveness of services, and therefore to public safety. More

specifically, evidence from other countries shows that significant benefits can be forged by bringing fire and police services under a single governance body.

Studies have also shown wider benefits of transparency and engagement resulting from the PCC model moving from bureaucratic to democratic accountability. The NAO, for example, found in 2014 that PCCs are able to make decisions faster and are more transparent than the committees they replaced, with significantly greater public engagement. They also increase innovation, respond better to local priorities, and achieve better value for money.

In a context where budgets are tight, efficiencies have already been extracted to considerable extent from both organisations. Further economies, if they are not to start cutting frontline numbers, can only be found by increased collaboration. The public expect this, especially as their demand for policing and fire services is changing, broadening to include a range of demands which are outside the 'traditional' purview of these services. This places new challenges on frontline policing, especially in dealing with sensitive welfare and health issues. Greater transparency and accountability is therefore requisite, for which studies suggest that the inclusion of PCCs in governance of fire and rescue would increase public accountability of that service.

4. Local collaboration could and should go much deeper and faster.

In preparation for this business case, a set of further prioritised opportunities for collaboration have been identified. A bottom up approach was adopted, and at initial workshops with frontline practitioners an ambitious set of priorities was put forward. However, in further discussions to assess and flesh out those ideas, that ambition has been scaled back. The 'Current identified collaboration priorities' column in Table 1 sets out the relatively limited scale of collaboration that could be agreed by the two organisations at this time.

The PCC also has a vision for a more strategic transformation of police and fire collaboration that can deliver genuine change, focussing on outcomes for the public rather than organisational sovereignty. This is set out in Table 1 under the 'Transformation vision' column. This agenda will require strong cross-organisational leadership to implement, especially given the issues around sovereignty that have formed one barrier to greater pace and scale of collaboration in the past.

These are all initial ideas at this stage and would be subject to further assessment. It should be noted, however, that any of these ideas would maintain at a minimum the existing Fire Cover Review and Integrated Risk Management requirements of both services. However, examples of similar collaboration from other parts of the country show the benefits to community resilience, public safety, and the protection of vulnerable people that these transformational ideas might bring. Future governance of police and fire therefore needs to be able to support delivery of this vision and accelerate the pace and scale of collaboration to achieve the greatest possible improvement to public safety.

Given the current context, this is vitally necessary to enable continued improvement of the services to the public of North Yorkshire, further reducing harm, improving resilience and effectiveness, and increasing value for money. These benefits are the ones which must be realised from reinvesting savings into frontline services. Greater transparency and accountability will be important in this, and can be delivered. There are opportunities for the changes that the PCC model has delivered in policing to be applied to fire and rescue, contributing to improved effectiveness of service delivery.

Any change also needs to be capable of being implemented successfully and not put public safety at risk. It also needs to ensure that the clear and separate roles of policing and fire are retained, sufficient fire cover is provided, and that links with wider community, health, social care and local government partners are maintained or enhanced.

Table 1: Potential collaboration – current state versus the vision for transformed services

Theme	Current state	Current identified collaboration priorities	Transformation vision
Strategic commissioning	<p>Currently fire and police plans are developed separately</p> <p>Separate commissioning budgets. Use of volunteers not co-ordinated or shared</p> <p>Intelligence sharing takes place in some areas (operational not strategic)</p>	<p>Development of joint priorities for collaboration</p> <p>Sharing data and intelligence on communities and incidents on a local, tactical level basis to support planning and response. This would include data and intelligence on specific individuals, premises and homes and would involve reciprocal fire and police information access.</p>	<p>Fully integrated strategic development and risk management, including joined up research and public consultation</p> <p>Joint commissioned services and budgets to respond to public need through joined-up services and support</p> <p>Systematic data sharing of intelligence and vulnerability to support more aligned strategic decision making across communities.</p>
Improved Prevention and demand management	<p>Community Safety hubs in Scarborough, Selby and York</p> <p>Road Safety joint initiatives and campaigns (95 Alive)</p>	<p>Improved co-ordination and reach of Safe and Well checks:</p> <ul style="list-style-type: none"> • Joint police and fire community interventions • One safe and well assessment across fire and police, specialist training and clearer role definition • Use of volunteers to support the role in wider local activity e.g. leafletting, door knocking • Volunteer community contact points for police and fire jointly (potential reduction of demand on control centre) 	<p>A single approach to community safety across police and fire through a jointly funded Community Safety Service, tailored to the needs of people and communities, including single, jointly funded, community safety roles</p> <p>Alignment with health and local authority partners through Health and Wellbeing Board and Mental Health Care Concordat</p> <p>Accelerated use of shared data and intelligence to dynamically map vulnerability to better target and pro-actively deliver increased primary prevention and early intervention work and jointly commissioned services across rural and urban areas for those who need it most</p> <p>Roll-out of community safety hubs, and expansion and diversification (central/local) to bring in greater range of partners and improve resilience for local communities</p>
Effective Joint Response	<p>Joined-up tactical response to incidents where required</p> <p>Local Resilience Forum and JESIP</p>	<p>Fire would also take on forced entry, in addition to police.</p> <p>Extension of first responder fire role to police (e.g. through firearms officers that have defib kit being deployed as appropriate).</p>	<p>A truly joint control room for a more effective response to the public by the right service at the right time:</p> <ul style="list-style-type: none"> • Fully integrated operations and system • Shared staff roles, training and rotas <p>First responder as part of community safety roles, especially to improve resilience in rural areas</p>
Shared support services	<p>Co-location of transport and logistics functions and driver training</p> <p>Shared transport and logistics manager</p> <p>Co-location of fire and police in Bedale and plans for Ripon</p>	<p>Colocation of transport and logistics resources and further integration of teams.</p> <p>Shared finance, procurement, IT, transport and estates teams.</p> <p>In-flight and pipeline opportunities identified for estates collaboration, including shared HQ.</p> <p>Joined-up training and learning and development for officers, firefighters and staff</p> <p>Shared procurement service, starting with products which share common specifications e.g. stationery, fuel</p>	<p>Creation of a community safety estate – single estates strategy with multi-purpose estate, single investment strategy</p> <p>Wider collaboration through One Public Estate to create local community safety hubs integrating health estate and designated community assets where appropriate.</p> <p>New models of shared enabling services delivery across police and fire, such as through a third entity.</p> <p>Greater integrated specialist training (e.g. mental health) across both services.</p> <p>Where appropriate, single ICT strategy and systems</p>
Shared management roles	None	None identified	<p>Combined or reduced senior management roles across fire and police, particularly around corporate, non-operational roles, where it makes business sense to do so. In addition, it is assumed that governance roles can be shared across fire and police (S151 Officer and Monitoring Officer roles). Any changes would be phased in line with existing staff retirements or natural attrition.</p>

2.2 Economic Case

Taking into account the context and drivers set out in the Strategic Case, this case sets out the economic appraisal for each option. This includes a qualitative assessment against the 'critical success factors' (CSFs) (see section 3.4) agreed through this process, and an assessment against the four tests in the Policing and Crime Act 2017.

It is important to remember that the purpose of this assessment is to consider which governance option is most likely to achieve the greatest acceleration of the pace of collaboration, the greatest scale of ambition, and the greatest degree of transparency and accountability.

It does not provide a detailed business case for each collaboration opportunity, which would need to happen subsequently.

It balances the benefits against the deliverability of the option and how it mitigates against strategic risks, to determine which option will provide the most effective, efficient and economic service to the benefit of public safety.

The Do Nothing model will continue the current pace and scale of change, furthering collaboration on the current ad hoc, tactical basis, but bringing no step-change in delivery. The Government and local stakeholders throughout this process have not considered this to be a viable option and as such this LBC has been prepared on the understanding that a change to the status quo is required.

The Representation model would bring tangible changes, with the PCC becoming the 17th voting member on the NYFRA and having a formal vote in the new Collaboration Committee. Whilst this model could contribute to delivering the priority opportunities identified and bring additional external scrutiny to fire matters, the option is unlikely to drive a significant change in the pace or scale of collaboration. As a governance model it would continue to require multiple decision-making mechanisms and relies upon joint agreement of objectives and priorities. It would not therefore deliver significant savings, making it more difficult for police and fire to meet the financial and operational challenges set out in the Strategic Case. It is however low-risk and could be a stepping stone to more significant changes in the future. This model would not harm public safety, but it would not bring extensive improvements to public safety either.

The Governance model would bring a material change. Based on the evidence set out in the Strategic Case, it would speed up the pace of collaboration within police and fire, and with other partners, due to simplified, aligned decision-making structures. It could make transformational change more likely, with a greater likelihood of enabling joint commissioning strategies and cross-organisational investment and resourcing decisions, bringing with it greater likelihood of achieving improvements to services for the public. It would bring more significant financial benefits that could be re-invested in frontline services. It would also enable the mechanisms used by the PCC to engage with the public to apply to fire, and increase scrutiny of fire and rescue matters. There will be some implementation costs and risks, but they are considered manageable. This model would not harm public safety, and could bring significant improvements in public safety.

The Single Employer model could bring greater benefits than the Governance model, through providing the means to achieve deeper integration of fire and police assets while maintaining operational separation. Joint management structures would create greater joined up operational practice, and could move the services from two organisations to a single community safety service in the future. It would bring significant savings that could be reinvested in frontline services. However, it also brings significant delivery and strategic risks. Therefore, while it could bring significant improvements to public safety, there is a risk that it could harm public safety if it results in disruption for the residents of North Yorkshire.

Under the Governance model and Single Employer model, the role of the Police and Crime Panel would also need to be expanded to enable it to take on scrutiny roles relating to fire matters. It would also not be possible to revert to the Representation model if these models are not found to be effective.

A summary of the analysis is provided below. Detail as to the evidence base for each assessment is set out in the Economic Case. The estimated financial benefits of each model are a mix of direct financial implications from the change and also the benefits that the change could enable, where it is possible at this stage to make estimates, based on management assumptions. Separate investment cases would need to be made for the enabling opportunities.

Table 2: Summary economic appraisals

Critical success factors		Models (High/Medium/Low assessment)			
Critical success factor	How the test is met	Do nothing	Representation	Governance	Single Employer
Accelerates scale, pace and effectiveness of collaboration	The governance option can accelerate and enable more effective collaboration and deliver tangible public safety and vulnerability prevention benefits to reduce harm, improve resilience and effectiveness, and increase value for money	L	L	H	H
Brings benefits in terms of transparency and accountability	The governance option can improve transparency, accountability, visibility, and consistency of decision-making for the public, stakeholders and NYP and/or NYFRS	L	L	M	M
Is deliverable	The governance option can be implemented successfully	H	H	M	L
Mitigates strategic risks	The governance option can mitigate strategic risks	M	H	H	L
CSF summary assessment		L - 2 M - 1 H - 1	L - 2 M - 0 H - 2	L - 0 M - 2 H - 2	L - 2 M - 1 H - 1
Net present value (£)⁷		£0.1m	£1.3m	£6.6m	£7.5m
Assessment against statutory tests		[7] ✓✓ ✓✓ ✓✓ ✓	[9] ✓✓ ✓✓ ✓✓ ✓✓ ✓	[10] ✓✓ ✓✓ ✓✓ ✓✓ ✓✓	[8] ✓✓ ✓✓ ✓✓ ✓✓

Based on the assessment of the options against the critical success factors and the four tests of public safety, effectiveness, economy and efficiency, the preferred option is the Governance model.

⁷ Note – this refers only to the benefits from the prioritised opportunities identified in the second column of Table 1 and potential management changes in fire and rescue. It is not possible at this stage to estimate financial benefits from the Transformation Vision.

It is assessed that this model is most likely to achieve the greatest acceleration of the pace of collaboration, the greatest scale of ambition, and the greatest degree of transparency and accountability, bringing meaningful savings, whilst being deliverable and sufficiently mitigating against strategic and public safety risks.

It is therefore most likely to deliver the transformation vision for collaboration against the context and drivers set out in the Strategic Case. It is most likely to further enhance and improve public safety.

2.3 Commercial Case

Implementing the Governance model will require the Secretary of State, using powers in the Policing and Crime Act, to make the PCC the FRA for North Yorkshire.

The Governance model would have commercial implications, since it would involve transferring assets and liabilities, and novating contracts. The most significant of these will be the PFI for Easingwold (NYFRS's training centre). In addition, the disbanding of the current NYFRA will affect existing contractual arrangements with NYCC for the provision of finance, committee and legal services. The Office of the PFCC would take responsibility for democratic services, and over time these other contracts may be brought into a joint arrangement with North Yorkshire Police, using in-house staff with external support as required, but there will need to be further assessment of these changes and transitional arrangements put in place with NYCC.

The Governance model would also require staff to transfer from the existing NYFRA as their employer, to the new FRA, led by the PCC, under Cabinet Office Statement of Practice (COSoP).

These changes are considered manageable.

2.4 Financial Case

We estimate that the direct costs of implementation will be ~£120k. We expect these costs will be funded from the PCC's earmarked reserves. We forecast a small saving in operational costs as a direct result of a change to the governance model, which will partially offset implementation costs. Applying inflation to 2016/17 budget figures, the total annual expenditure that could be controlled by the PFCC would be of the order of £170m in 2018/19. Financial benefits shown in the economic case would, wherever possible, be re-invested in frontline services.

2.5 Management Case

The Management Case describes the arrangements and plan for managing implementation of the proposed models successfully. Based on current assumptions, the earliest realistic target implementation date for the new governance arrangements would be 1 April 2018.

Implementation of the changes would rely on ongoing engagement with stakeholders, including staff and their representative bodies.

In considering the equality impact of the changes, it is likely that none of the governance changes would affect any group or sector of the community differentially. However, this will need to be tested as part of the consultation and an equality impact assessment completed prior to formal submission of the Local Business Case to the Home Office.

After implementation a Police, Fire and Crime Plan would be developed that would set out how efficiency and effectiveness could be improved in order to protect frontline services. Business cases, including staff and union consultations, would be developed for community safety and prevention services and to create a third entity to provide enabling services to NYP and NYFRS. The estates strategies of both organisations would be reviewed to develop a single 'community safety estate' strategy that would seek to bring in other partners as well. Data analysis and the implementation of data sharing structures would be put in place to

strengthen collaborative working. A change review would be initiated to start discussions around the future senior management structure of NYFRS to identify where efficiencies might be made, though this would be implemented through natural attrition.

2.6 Conclusion

This LBC sets out the case for change and, in particular, how governance can drive the pace and scale of change. The preferred option, the Governance model, will bring benefits to the pace and scale of collaboration, the way in which the public are engaged in the delivery of fire and rescue services and relative low risk versus some of the other options. The Governance model will allow for acceleration of the existing programme of work in estates and further shared functions around support services, releasing benefits which could be used to invest in frontline services. The new model will provide a secure platform for emergency service reform in North Yorkshire.

3 STRATEGIC CASE: THE CONTEXT AND CASE FOR CHANGE

The Strategic Case sets out the legislative and strategic context for NYP and NYFRS collaboration and governance, summarises the case for change and sets out the opportunities and strategic risks. This provides the context and critical success factors for appraising the options. The Strategic Case sets out the context and drivers for change.

Introduction

The Strategic Case sets out the legislative and strategic context for NYP and NYFRS collaboration and governance, summarises the case for change and sets out the opportunities and strategic risks. This provides the context and critical success factors for appraising the options. The Strategic Case sets out the context and drivers for change. It does not assess the governance options, but provides information that is material to that assessment set out in the Economic Case. The Strategic Case does not recommend a particular option.

The Strategic Case is set out in four sections. The first section looks at the current makeup of the two organisations, their governance models and practices, their financial health, and the extent of current collaboration.

The second section details the drivers for change at a national and local level. It looks at national policy direction, service reviews and research evidence into the governance barriers to collaboration and into the impact on policing of the change to PCCs from Police Authorities. It also considers continuing financial pressures, and the change in public expectations and demands being experienced by both services.

The Strategic case then considers the local case for a change to the current model of any kind. It looks at local performance, financial considerations, and demand change, and the factors within these with which any future governance model must be able to deal. It then sets out the opportunities and visions for collaboration identified during the development of this business case, considering the possible impact of such opportunities for the public of North Yorkshire were they to be implemented.

Finally, the Strategic case sets out the critical success factors that are used in the Economic Case to assess the governance options, and the strategic risks which governance options must mitigate.

3.1 The local context

This section describes the local context for change, including the current emergency services landscape.

3.1.1 Introduction to North Yorkshire and City of York

Covering over 3,000 square miles, the county of North Yorkshire ranges from isolated rural settlements and farms to market towns and larger urban areas such as York, Harrogate and Scarborough. Outside of urban centres and market towns, North Yorkshire is sparsely populated, with 55% of the population living in rural areas and 17% of the population living in areas which are defined as super sparse (less than 50 persons/km).⁸ The population of the county has increased steadily, by 6% from 2001 to 2015, but is set to

⁸ North Yorkshire Joint Strategic Needs Assessment, 2015

grow less than the England average overall. The number of people in the older age groups within North Yorkshire is increasing at a higher rate than the England average.

The City of York is a university city and therefore has a different demographic make-up to North Yorkshire; the highest proportion of people in York is within the 20-24 bracket, followed by the 25-29 group.⁹ Population growth in York has been strong, between 2001 and 2011 York grew more than Yorkshire and Humber or England (9.4% compared with 6.2% and 7.2% respectively).¹⁰

Politically, North Yorkshire has two tier-one authorities – North Yorkshire County Council, which covers the Boroughs of Harrogate and Scarborough and the Districts of Richmondshire, Hambleton, Ryedale, Selby and Craven, and the City of York Council, which covers the City of York.

North Yorkshire and York are affluent overall, with pockets of deprivation. In North Yorkshire there are 18 (lower super output) areas amongst the 20% most deprived in England, the majority of which are in Scarborough district, two in Craven, one in Selby and one in Harrogate.¹¹ Scarborough also has higher than national average rates of child poverty and public health issues. Although York is the third least deprived city out of their national peer group of 64, York has pockets of very deprived areas which are masked by York's overall prosperity.¹²

North Yorkshire currently ranks as the safest county in England¹³, in terms of crimes per every 1000 people (45.3), North Yorkshire is also the fourth safest local force area in the UK.¹⁴ However, there are also pockets of higher-crime areas, and all areas of North Yorkshire continue to have significantly higher rates of people killed and seriously injured on the roads when compared with the national average.

The ageing population is leading to a number of long term health conditions and increasing numbers of people who are frail and vulnerable, which in turn can lead to risks around fire safety and crime. The North Yorkshire Fire and Rescue Service Integrated Risk Management Plan notes that the largest single 'at risk' group in the home is the elderly.¹⁵ Home Office customer segmentation analysis around those groups which are most likely to be affected by 'serious and organised crime' cites older people, living in rural or semi-urban areas as 'digitally vulnerable'. These residents have high levels of offline protection, however inexperience with technology makes them vulnerable to online crime and fraud.¹⁶

The large and rural nature of the county, coupled with the rising and aging population, brings significant challenges for public services, including policing and fire and rescue services, particularly as public demand and expectation remains high. A public consultation developed to inform the 2017 Police and Crime Plan found that the public want to see a focus on customer service and experience, a visible policing presence, they have a concern around preventing crime and a need to protect the most vulnerable in society. Crimes which cause the most concern are burglary and anti-social behaviour, while over the last five years, concern has grown most regarding online crime, fraud and child sexual exploitation.¹⁷

⁹ <http://www.healthyyork.org/the-population-of-york/specific-population-profiles/frail-elderly.aspx>

¹⁰ https://www.york.gov.uk/info/20037/statistics_and_information/79/census

¹¹ North Yorkshire Joint Strategic Needs Assessment, 2015

¹² <http://www.healthyyork.org/what-its-like-to-live-in-york/deprivation-and-prosperity.aspx>

¹³ <https://northyorkshire.police.uk/news/north-yorkshire-remains-the-safest-place-in-england/>

¹⁴ <https://www.justiceinspectorates.gov.uk/hmic/crime-and-policing-comparator/>

¹⁵ Integrated Risk Management Plan, NYFRS, 2013/14 – 15/16

¹⁶ Serious and Organised Crime Protection: Public Interventions Model, Home Office

¹⁷ North Yorkshire Police and Crime Plan Consultation, buzzz, December 2016

Standalone public service delivery and silo working may not be able to deliver against these expectations. Simplified and more joined up local emergency services will be required to meet the changing needs of communities.

3.1.2 Local emergency services in North Yorkshire

North Yorkshire Fire and Rescue Service (NYFRS) and North Yorkshire Police (NYP) cover seven districts and the City of York within their combined boundaries. They are conterminous and service the needs of over 809,200 North Yorkshire and York residents.¹⁸

The North Yorkshire Fire and Rescue Authority (NYFRA), through the North Yorkshire Fire and Rescue Service, is responsible for delivering a number of services, including fire response services and other emergency incidents. The service also has a trusted role in community safety, prevention activity and in enforcing fire safety legislation. NYFRS also shares collaborative initiatives with Yorkshire Ambulance Service (YAS), NYP, other Yorkshire and the Humber FRSs and Cornwall FRS.

North Yorkshire Police is operationally responsible for the policing of the whole of North Yorkshire. It shares a number of collaborative initiatives with North East region forces (Cleveland, Durham, Northumbria, Humberside, West Yorkshire and South Yorkshire) as well as NYFRS and YAS.¹⁹

Both North Yorkshire Fire and Rescue and Police work closely with both North Yorkshire and City of York councils as well as 7 district councils and the YAS. North Yorkshire's characteristics also require police and fire to work closely with maritime and mountain rescue services, and two national park authorities.²⁰ The delivery landscape is therefore relatively complex and unique.

3.1.3 North Yorkshire fire and police service overview

North Yorkshire Fire and Police organisational summaries are shown below:

Table 3: Fire and Police organisational summary

	NYFRA	NYP (Chief Constable) / PCC (including OPCC)
Net expenditure (16/17)	£29.2m ²¹	£140.2m
Staff (16/17)	Total: 779 298 FTE whole-time staff 380 retained firefighters (headcount) 77 FTE support staff	Total ²² : 2,605 FTE, 9 FTE in the OPCC 1,375 FTE Officers 1,040 FTE staff*

¹⁸ Office of National Statistics, mid-2015 population estimate

¹⁹ <http://www.northyorkshire-pcc.gov.uk/police-oversight/governance/decisions/collaboration-agreements/>

²⁰ North Yorkshire Moors and Yorkshire Dales

²¹ Figures are draft and unaudited at time of writing

²² As at 31 March 2017

	NYFRA	NYP (Chief Constable) / PCC (including OPCC)
	15.5 FTE control room staff	181 FTE PCSOs (*of which 183 control room staff)
Coverage	North Yorkshire County Population: 602,300 ²³ City of York Population: 206,900 38 fire stations (5 whole time shift stations, 7 day crewed stations, 24 retained stations, 2 volunteer stations) and one HQ	North Yorkshire County Population: 602,300 ²⁴ City of York Population: 206,900 68 buildings (including 34 stations and one HQ)
Governance	North Yorkshire Fire and Rescue Authority (16 members)	Police and Crime Commissioner Chief Constable
Costs of Governance ²⁵	Estimated at ~£139k (76k for member direct costs and training, £40k for finance and audit costs, 23k for committee services and Monitoring Officer) (based on 15/16 actual data). This is detailed at Appendix 8.1.	Total 17/18 OPCC budget is £911k (includes PCC direct costs and OPCC staffing costs of £512k, statutory officer functions of £304k and services to the community of £94k). This is detailed at Appendix 8.1.

North Yorkshire Fire and Rescue Authority

NYFRS is governed by the North Yorkshire Fire and Rescue Authority, a Combined Fire and Rescue Authority which covers the areas of NYCC and CYC, an arrangement that has been in place since April 1996.²⁶

The Fire and Rescue Authority directs and monitors the role of NYFRS, and has the ultimate responsibility, as a corporate body, for decision-making on fire and rescue matters across the local authority areas of NYCC and CYC, in line with the Fire and Rescue Services Act, 2004.²⁷ NYFRA membership comprises of 16 locally elected representatives: 12 from NYCC and 4 from CYC. Members are appointed by the local authorities after each local election. NYFRA is supported by a Treasurer, Monitoring Officer (provided by

²³ Office of National Statistics, mid-2015 population estimate

²⁴ ibid

²⁵ It should be noted that the costs of governance of the NYFRA and PCC are not directly comparable. A significant amount of the FRA's statutory responsibilities are delegated to officers who are authorised to discharge specific functions, whereas the PCC has a small team that manages day to day responsibilities as well as independent scrutiny of the constabulary and the chief constable.

²⁶ <https://www.northyorksfire.gov.uk/about-us/who-we-are/fire-authority>

²⁷ <http://www.northyorksfire.gov.uk/about-us/who-we-are/fire-authority>

NYCC) and also other treasury management, committee and legal services provided by NYCC (see Table 5).

NYFRA has a number of committees to support its work; their duties are listed below and more details are held at Appendix 8.2.²⁸ The Fire and Rescue Authority also has a newly formed Collaboration Committee. The Appeals Committee and Appointments Committee meet only as required.

Table 4: NYFRA corporate structure

Governance Board	Purpose	Meeting Frequency
Fire Authority	Main decision-making body for all fire and rescue services.	4 per year
Audit and Performance Review Committee	Monitors, and receives reports on the performance of the Authority in respect of Government standards, the Authority's own Code of Governance, and monitors how the organisation is performing against its targets.	4 per year
Standards Sub-Committee	Promotes and maintains high standards of conduct in the Authority.	2 per year
Collaboration Committee	Established April 2017. Will work on behalf of the Authority to work across a wide range of partners to deliver collaboration projects. The Fire Authority Chair is the only voting member of the Fire Authority on this committee. The PCC sits on this committee and will, subject to consultation and agreement, also receive 1 vote.	6 per year
Pensions Board	Assists the Authority in its role as a scheme manager of the Fire Fighters' Pension Scheme.	1 per year
Appeals Committee	Hears and determines appeals against the decision of officers, where provision exists for appeals to a Member level body.	Ad hoc
Appointments Committee	Determines an appropriate recruitment package within existing policies as regards salary, benefits and removal expenses in respect of vacancies for the Chief Fire Officer/Chief Executive and his/her Directors. Evaluates, from time to time, the terms and conditions of these posts.	Ad hoc

North Yorkshire County Council and the City of York provide the following services to North Yorkshire Fire and Rescue Authority:²⁹

Table 5: Services provided to NYFRA by NYCC and City of York

Contractor	Title of Agreement	Description	Annual contract value (£)	Length of Contract
NYCC	Building Maintenance Contract Support	Building Maintenance including provision of Help Desk facility and measurement, valuation and invoice preparation of the Building Maintenance Contract works. Contract accessed through NYCC	£110,000	1 year
NYCC	Committee Services SLA and Legal Services SLA	Provision of committee and legal services	£81,570	3 years

²⁸ http://www.northyorksfire.gov.uk/useruploads/files/governance/2017-01-30_-_fire_-_members_handbook.pdf

²⁹

http://www.northyorksfire.gov.uk/useruploads/files/financial_information/contracts/contracts_2017/procurement_register_for_contracts_050217_pdf.pdf

Contractor	Title of Agreement	Description	Annual contract value (£)	Length of Contract
NYCC	Finance SLA – Finance	Provision of financial ledger, treasury management, risk management	£55,017	3 years
NYCC / City of York	Internal audit	Provision of internal audit services	£25,000	1 year
NYNET via NYCC	IT services	Wide Area Network provision	£95,000	1 year
NYCC	Finance SLA – Payroll	Managed payroll system	£21,252	1 year

North Yorkshire PCC

The Police and Crime Commissioner (PCC) is elected to hold the Chief Constable of North Yorkshire to account for the delivery of policing in North Yorkshire. The PCC has a wider duty to bring together community safety and criminal justice partners to reduce crime and support victims across North Yorkshire. The PCC is a separate legal entity to North Yorkshire Police and is an elected representative with key statutory responsibilities that include:

- Securing the maintenance of an efficient and effective local police force; and
- Holding the Chief Constable of North Yorkshire Police to account for the exercise of his functions and those of persons under his/her direction and control.

In addition, the PCC has retained responsibility for some enabling back office services; estates and logistics, technology, organisation and development and corporate communications functions for the wider force. The Chief Executive of the Office of the PCC is responsible for delivery of these services.

The PCC's corporate structure is shown below.

Table 6: PCC's corporate structure

Structure	Purpose	Meeting Frequency	Chair
Executive Board	Formal strategic board for NYP, directing delivery of, and assessing progress against, the Police and Crime Plan, and monitoring budgets and financial plans. Decision making responsibility rests solely with the PCC.	Bi-monthly	PCC
Public Accountability Meeting	PCC holds Chief Constable to account through public scrutiny for the efficiency, effectiveness and performance of the police.	Monthly	PCC
Joint Independent Audit Committee	Provides assurance and audit of corporate governance	Quarterly	Independent chair

The PCC has informal meetings with Chief Officers every week, and is able to take decisions outside of formal meetings.

The Chief Constable also has organisational meetings to facilitate the delivery of policing services.

The PCC and the Chief Constable are also members of the Regional Collaboration Board for the Yorkshire and Humberside region, and the Evolve Joint Governance Board for the Durham, Cleveland and North Yorkshire partnership. The Commissioners, Chief Constables, Chief Executives and other relevant staff and

officers meet regularly to ensure these police services are working well together and to forward collaboration strategy and practice where possible.³⁰

North Yorkshire Police and Crime Panel

The Police and Crime Panel (PCP) provides checks and balances on the work of the PCC. The Panel scrutinises how the PCC carries out her statutory responsibilities providing constructive challenge, but also supporting the Commissioner in her role in enhancing public accountability of the police force. NYCC is the responsible authority for the North Yorkshire Police and Crime Panel. The Panel comprises: one elected representative from each of the district authorities; one from the County Council and two from the City of York. In addition, three individuals that have been co-opted, of these two are independent 'community' members and one is an elected member.³¹ NYCC received £66,180 in grant from the Home Office for the 2016/17 financial year to be able to support the Panel.

North Yorkshire Police

North Yorkshire Police is operationally responsible for the policing of the whole of North Yorkshire.³² The Chief Constable has a statutory responsibility for the control, direction and delivery of operational policing services provided by North Yorkshire Police. The Chief Constable is held to account by the Police and Crime Commissioner for North Yorkshire.

3.1.4 Current collaboration picture

NYFRA and NYP have had a long-standing commitment to collaborate, but progress has been slow and there is no formal governance to drive such collaboration (although a new committee has recently been established by NYFRA). In December 2013, both organisations confirmed their commitment for collaboration in a vision and Statement of Intent for Improving Public Safety.³³ The vision was as follows³⁴:

“The aim of this programme of work is to deliver by 2020 a Police Service and a Fire & Rescue Service for North Yorkshire and the City of York which retain their respective identities, legislative duties, powers and responsibilities, and governance arrangements, but which share an integrated suite of business support and community safety prevention services where it makes sound operational and business sense to do so. The communities of North Yorkshire and York will continue to enjoy discreet Police and Fire & Rescue Services but will see two of their blue light services functioning as a virtual combined service in terms of business support and prevention.”

Specifically, this sought to gain opportunities for collaboration in terms of:

- Operational synergies in the services provided, particularly those that prevent harm to our communities;
- Similarities in organisational culture of 24-7 emergency services provision across a wide and diverse geography;
- A shared context in relation to national funding reductions and a need to cut non-frontline costs;
- A co-terminous boundary that encompasses a large and logistically challenging territory;
- An innovative approach to service re-design;
- Parallel work developing across the country between Fire and Police Services.

³⁰ <https://www.northyorkshire-pcc.gov.uk/police-oversight/governance/regional-governance/regional-collaboration/>

³¹ <http://www.nypartnerships.org.uk/pcp>

³² <https://northyorkshire.police.uk/content/uploads/2015/08/Top-level-Forcewide-Organisation-Structure-Chart-May16-Update-1.pdf>

³³ <http://www.northyorkshire-pcc.gov.uk/content/uploads/2013/12/Statement-of-Intent-221113-FINAL.pdf>

³⁴ Fire and Police Steering Group, Monday 8 July 2013

The Statement of Intent goes on to say that:

“This alliance, whilst not exclusive of other partnering opportunities that may offer a greater return on investment, would create a principal partner position through to 2020 and beyond. This partnership will exploit all opportunities for the sharing of services in the functions of:

- *Community Safety*
- *Command and Control*
- *Training Facilities*
- *Transport Management*
- *HR / Personnel Services*
- *Training & Development*
- *Finance*
- *Estates including a shared Headquarters in the northern area*
- *Health and Safety*
- *Communications*
- *Planning*
- *IT*
- *Data Management*
- *Legal Services*

The scoping, costing and delivery of these opportunities, will be governed under joint scrutiny arrangements through a Programme Board and Steering Group. Any disputes or changes to the scope will be dealt with at these forums.”

At the time, much was made of this agreement, with joint press statements and joint interviews with the press by the PCC and Chair of NYFRA. A Strategic Steering Group (comprising the Chief Constable, Deputy Chief Constable, PCC, Chief Executive of the OPCC, Chair of the Fire Authority and Chief Fire Officer) was set up to direct progress against a programme of collaborative work that included a third entity to deliver support services, estates and fleet, training, and the expansion of joint community safety services. However, the opportunities identified in the Statement of Intent and vision outlined above, have not yet been delivered under the collaborative approach and the Steering Group meetings ended in May 2014. This is despite a successful Police Innovation Fund bid to provide funding for the investigation of creating a Support Services Delivery Model, or third entity, which would have seen support services provided to each service by an independent organisation.

An external contractor was commissioned to draw up the specification for the third entity which was delivered in February 2014, recommending a wholly-owned company with the PCC, Chief Constable and NYFRA as members. The concept did not move forward, with minutes from Steering Group meetings in March and May 2016 showing that there were a wide range of possible approaches and neither service was willing to commit to the idea.

Of the list of possible areas of collaboration outlined above, some progress has been made. Estates and fleet collaboration has progressed. There is now a limited joint estates strategy where certain projects have been identified for co-location of fire and police stations and in some cases this includes YAS as well. A flagship project is the Joint Transport Logistics Hub in Thirsk where fleet servicing requirements have been co-located. However, as the image below shows, integration is limited with services occupying separate halves of the site, with some shared areas. In practice, currently two separate teams are working in two garages on the same site. While discussions are on-going, there is currently no sharing of staff or management of these services. Figure 1 below shows the NYFRS areas as red, NYP areas as blue and joint areas as green.

		extended into other areas with the creation of hubs in York, Harrogate and Selby.
Driver training – Coxwold House, Easingwold	NYP and NYFRS	Relocation of police driver training to the NYFRS training centre in Easingwold (a PFI site with an adjacent building that has spare capacity).
Procurement	NYFRS and NYP	Joint procurement for some services.

In addition to the initiatives outlined above, NYFRS, NYP and other agencies have been working together through the 95 Alive York and North Yorkshire Road Safety Partnership. This is a partnership with local authorities, introduced in line with statutory requirements as part of the Road Traffic Act 1988. It works to educate, inform and train, with the aim of lowering the number of road casualties across York and North Yorkshire.

While the Statement of Intent suggests that more could have been achieved in the last three years, these initiatives have produced some positive outcomes, although many are only in early development. An independent evaluation of the Scarborough Borough Council Community Impact Team (CIT) in October 2016³⁵ provided a positive appraisal of the work undertaken in the Scarborough hub, especially around engaging with the community *“old entrenched suspicions of those who have been seen in the past as authority figures has changed in response to the considerable efforts out in communities by the CIT.”*

Collaboration has been more extensive with partners outside of North Yorkshire to date. NYP has worked with other North East region forces since ~2012 on joint initiatives and NYFRS shares collaborative initiatives with Yorkshire Ambulance Service (YAS) and the other Yorkshire and the Humber FRSs and Cornwall FRS. Details of these activities can be found in Appendix 8.3.

Spend on collaboration by North Yorkshire Police is, however, below the national average. North Yorkshire Police forecast³⁶ that it would spend £4.2m in 2016/17 on collaboration with other police forces. This is 2.9% of its net revenue expenditure (NRE), which is lower than the England and Wales average of 11.9%. Data provided to HMIC for an upcoming inspection shows an increasing spend on collaboration, 4.4% of NRE in 16/17 rising to 5.9% of NRE in 17/18.³⁷ In terms of collaboration with non-police organisations, NYP forecast that it would spend £0.3m in 2016/17 on collaboration. This is 0.2% of net revenue expenditure (NRE), which is lower than the England and Wales average of 3.4%. There is no national benchmarking on the level of collaboration for fire, but an estimate from NYFRS Finance is that a comparable figure for NYFRS (on collaboration with all agencies, including non-fire) is ~6% of expenditure. Based on this data therefore, NYFRS currently delivers a greater proportion of its services in joint delivery models with other agencies than NYP, but still represents a small percentage of its overall expenditure.

It should also be noted that whilst collaboration can bring significant benefits in terms of scale, more efficient use of resources, improved non-financial outcomes and sometimes financial benefits, it also brings complexities in delivery. It requires a robust benefits realisation process to be in place to enable the success of the initiative to be measured. This needs to be supported by efforts to support culture change and the appropriate data and intelligence. Longer term, it requires effective governance and performance frameworks to be in place for the shared service to continuously improve and to ensure that the service still meets the outcomes required. These are all learnings of a recent NYP review of collaboration. On review by the PCC at the NYP Corporate Delivery and Scrutiny Board, it was concluded that one of the difficulties of

³⁵ Scarborough Borough Council Community Impact Team (CIT). External evaluation report by Professor Bryan R. M. Manning. 14th October 2016

³⁶ [PEEL: Police efficiency 2016 - An inspection of North Yorkshire Police](#)

³⁷ NYP return for HMIC; NYP Finance. Note that this does not include expenditure in relation to national police schemes such as NPAS.

collaboration even between police services is the involvement of multiple governance bodies.³⁸ The experience of NYFRS and NYP to date can be drawn on to ensure sustainable development of future collaboration, as well as the experience of other local public partners in local government and health who have significant experience of collaborating.

Attempted merger of NYFRA with Humberside Fire and Rescue Authority

NYFRA has also independently recognised the opportunities for improved resilience and cost reduction through collaboration. During 2016, it reviewed options independently for potential wider collaboration. This included considering a merger with Humberside FRA (HFRA) in order to improve resilience and reduce costs in governance and management. Following feasibility work and review of a business case, a Special Meeting of HFRA on 11 November 2016 agreed to “...not progress the option of a ‘fire-fire’ merger with North Yorkshire Fire and Rescue Authority but ... [to] continue to explore all collaboration opportunities with North Yorkshire Fire and Rescue Authority short of a full merger”.³⁹

This leaves the opportunity to achieve greater efficiency and effectiveness through enhanced collaboration within North Yorkshire between fire and police, and fire, police and wider partners, as well as for the fire service to collaborate with other fire services on specialist functions.

Appetite for collaboration

Although the Statement of Intent still holds, the PCC, Chief Constable and NYFRS all now have a more ambitious agenda around collaboration, albeit not currently joint, to build greater resilience within their services to protect and serve communities in North Yorkshire, a purpose they both share.

NYFRA recently initiated a joint Collaboration Committee, shortly after the Policing and Crime Act was given Royal Assent, with health services, NYP and other local emergency services providers. In February 2017, the Fire and Rescue Authority agreed a ‘Collaboration Vision and Mission’⁴⁰ for NYFRS:

- For York and North Yorkshire to become a beacon of best practice for collaboration, that will improve outcomes for all of its citizens; and
- To realise the full potential of collaboration by the FRS with a wide range of partners to deliver improved public safety and wellbeing outcomes for the citizens of York and North Yorkshire in the most efficient and effective way.

It is also evidenced in the PCC’s recent Police and Crime Plan⁴¹ which states that “*we will reach out to partners and drive innovation forward to enhance policing, public protection, community safety and local justice services.... [We will] Fully embrace the opportunities presented by the 2017 duty to collaborate between ‘blue light’ services to deliver a more efficient and effective response that improves public safety and the resilience of services in our community.*”

3.1.5 PCC’s vision for local policing

The latest Police and Crime Plan has a renewed focus on supporting the most vulnerable in North Yorkshire, which will provide a focus for partners to engage with. In order to meet this objective it describes a local policing model that must engage local partners to keep the residents of North Yorkshire safe and prevent harm. In particular, this instils a focus on ‘primary prevention’ - “*we will have a specific emphasis on ‘primary*

³⁸ Corporate Performance, Delivery & Scrutiny Board, April 2017

³⁹ [http://www.humbersidefire.gov.uk/uploads/files/HFA_\(Special\)_Mins_111116.pdf](http://www.humbersidefire.gov.uk/uploads/files/HFA_(Special)_Mins_111116.pdf)

⁴⁰ NYFRA, Collaboration Report, 17th February 2017

⁴¹ NY Police and Crime Plan, 2017-2021

*prevention', by which we mean intervening earlier alongside the most appropriate partners, to prevent potential harm or the escalation of problems*⁴² through a neighbourhood policing model.

At the core of this, is an approach to early intervention and prevention, as recently emphasised by the Chair of the National Police Chiefs Council (NPCC). *"If we are to think wisely about demand then we need to think about the whole system – we need to work with partner organisations to take mainstream policing upstream, focusing on prevention and early intervention."*⁴³

A recent review of neighbourhood policing also defined a successful neighbourhood policing model as one which:

- Engages with all sections of the community;
- Focusses on prevention and early intervention work to stop issues escalating;
- Focusses activity on repeat calls for service (victim / offender and location) reducing overall demand on NYP;
- Develops problem solving approaches to focus on threat, harm, risk and vulnerability that supports victims and communities and targets offenders;
- Works closely with partners developing integrated ways of working through delivery models such as troubled families, integrated offender management , the no wrong door programme and safeguarding arrangements including mental health;
- Uses the skills of volunteers, special constables and watch scheme members and work with other voluntary sector organisations for the benefit of the community.

Existing NYP strategic plans are clear that keeping the local public safe cannot be delivered in isolation.

3.1.6 Local context summary

NYFRS and NYP cover the same North Yorkshire and York boundary, the same populations and needs, which are overall rural, with a few urban areas and the City of York. The organisations are governed and organised differently, with the Authority model governing fire and rescue services and the PCC holding the police Chief Constable to account. A Statement of Intent in 2013 marked the ambition for collaboration between NYFRS and NYP and the start of a process to collaborate on specific initiatives where possible (community safety, estates and some procurement). However, the work completed through this process has been limited to date and greater ambition and opportunity now exists. Future governance arrangements need to be capable of supporting this greater ambition.

3.2 Drivers for change

There are policy, efficiency, financial and operational trends at national and local level that are also driving the need for increased collaboration between fire and police services and the need to consider changes in governance.

3.2.1 The national policy agenda for closer emergency service collaboration

There is a strong policy driver for closer working between emergency services. In the Conservative Party manifesto of 2015, the government committed to deliver greater joint working between the police and fire service. As part of implementing this commitment, the Home Office took over ministerial responsibility for fire and rescue policy from the Department for Communities and Local Government in January 2016. In January

⁴² NY Police and Crime Plan, 2017-2021

⁴³ *"We Must 'Re-Imagine' Policing In The UK"* - Police Foundation's annual John Harris Memorial Lecture – NPCC Chair Chief Constable Sara Thornton (2015)

2017, the Policing and Crime Act received Royal Assent. It places a high level duty to collaborate upon all three emergency services (including the ambulance service) in order to improve efficiency or effectiveness.⁴⁴ The Conservative Party manifesto in 2017 set out an increased role for PCCs in co-ordinating community safety provision, with plans for PCCs to sit on local Health and Wellbeing Boards and taking on greater co-ordination of the criminal justice system.

The Act also enables PCCs to form part of the governance of their local fire and rescue authority either through sitting on the fire and rescue authority, or taking overall responsibility for fire and rescue services. This is subject to tests to ensure that changes will deliver improvements in economy, efficiency and effectiveness; or public safety.

In setting out the measures, the then Home Secretary said that she believed *“that it is now time to extend the benefits of the Police and Crime Commissioner (PCC) model of governance to the fire service when it would be in the interests of economy, efficiency and effectiveness, or public safety to do so⁴⁵”*. The nature of that change would be *“bottom up, so that local areas will determine what suits them in their local area”⁴⁶*

It is also envisaged that there will be a national inspectorate for fire and rescue, similar to Her Majesty's Inspectorate of Constabulary (HMIC). This is likely to increase scrutiny and transparency of fire and rescue service effectiveness and performance, and drive the adoption of standards that enable better comparative assessment of performance.

The case for change was reinforced by the Policing and Fire Minister, Brandon Lewis, in a speech to the Association of PCCs (APCC) and the National Police Chiefs' Council (NPCC) in November 2016, where he said that *“while collaboration between the emergency services is showing an encouraging direction of travel, it is not consistent across the country and we need to be doing more to ensure collaboration can go further and faster and to not get trapped into saying ‘we don't do that around here’.... By overseeing both police and fire services, I am clear that PCCs can drive the pace of reform, maximize the benefits of collaboration and ensure best practice is shared... I expect the pace and ambition of collaboration to increase and for it to become the norm.”⁴⁷* He made it clear that the Government will not be willing to accept the 'status quo' where there is a compelling case for enhancing police and fire collaborative initiatives.

The 'Policing Vision 2025' - set out by the APCC and NPCC in November 2016 - also sets out a number of areas where closer collaboration with local partners, including other emergency services, can help improve public safety and deliver value for money. These include ensuring a whole system approach locally to public protection, and a whole place approach to commissioning preventative services in response to assessments of threat, risk and harm and vulnerability. It also highlights the opportunities for enabling business delivery through shared services.⁴⁸

Delivery of the national policy agenda requires effective governance that can drive change locally at pace. There is an opportunity for North Yorkshire to work towards delivering the benefits of joint working between emergency services to improve outcomes for local people.

⁴⁴ <https://www.gov.uk/government/collections/policing-and-crime-bill>

⁴⁵ <http://www.publications.parliament.uk/pa/cm201516/cmhansrd/cm160307/debtext/160307-0001.htm>

⁴⁶ <http://www.publications.parliament.uk/pa/cm201516/cmhansrd/cm160307/debtext/160307-0001.htm#1603078000001>

⁴⁷ <https://www.gov.uk/government/speeches/brandon-lewis-speech-to-apcc-npcc-joint-summit-on-emergency-services-collaboration>

⁴⁸ Policing Vision 2025, November 2016, NPCC and APCC

3.2.2 A drive towards increased efficiency and effectiveness, to improve service delivery

There have been a number of major reviews of fire and rescue and police services in recent years that have also highlighted the need for change, including greater collaboration and the importance of effective, enabling governance to achieve this.

The Knight review of efficiencies and operations in fire and rescue authorities⁴⁹

In December 2012, the then Government commissioned Sir Ken Knight, the outgoing Chief Fire and Rescue Advisor (2007 to 2013), to conduct an independent review of efficiency in the provision of fire and rescue in England. His report 'Facing the future: findings from the review of efficiencies and operations in fire and rescue authorities in England', published in May 2013, noted that: *"efficiency and quality can be driven through collaboration outside the fire sector, particularly with other blue-light services"* and recommended that: *"national level changes to enable greater collaboration with other blue-light services, including through shared governance, co-working and co-location, would unlock further savings"*. The review highlighted the need for greater collaboration and less customisation in fire and rescue service provision.

He noted that £17 million could be saved if authorities adopted the leanest structure in their governance types, and that Authority Members needed *"greater support and knowledge to be able to provide the strong leadership necessary to drive efficiency. Scrutiny of authorities and services varies considerably, some more robust than others"*.

The review did not make any firm conclusions on governance but observed that elected PCCs were introduced because police authorities were not seen as providing enough scrutiny and accountability to the public and that *"a similar model for fire could clarify accountability arrangements and ensure more direct visibility to the electorate."* He added that if PCCs were to take the role, the benefits would need to be set out clearly both in financial terms and in increased accountability and scrutiny for the public.

The Thomas review of conditions of service for fire and rescue staff in England⁵⁰

Adrian Thomas was appointed to investigate further the barriers to change that had been suggested by Sir Ken Knight. The Thomas report was published on 3 November 2016, although his work (largely completed by February 2015) preceded the publication of the Policing and Crime Act. North Yorkshire Fire and Rescue Service was visited as part of his fieldwork, although he notes that the report should be read as applying to all 46 authorities.

He noted that *"the economies of scale driving greater opportunities for operations, communication, and use of resources/staffing, together with the elimination of duplication (particularly in the introduction of new technology, equipment or working practice) are all powerful arguments for reducing the number of authorities. But the greatest opportunity must be in bringing together support functions and decreasing the ratio of managers to staff."*

He also spoke of the 'formality and inflexibility' which fire authorities together with their sub-committees could introduce (46 fire and rescue services have approximately 800 elected councillors sitting on fire authorities or associated committees), which he believed *"could cause further resistance to any future change"*. Chief Fire Officers interviewed spoke of *"the burden of managing this weighty political oversight"*.

⁴⁹ Sir Ken Knight (2012), Facing the future: findings from the review of efficiencies and operations in fire and rescue authorities in England, Home Office

⁵⁰ Adrian Thomas (2016), Conditions of service for fire and rescue staff: independent review Home Office

The National Audit Office report on the financial sustainability of fire and rescue services⁵¹

Published in 2015, the National Audit Office report found inadequacies with local and central accountability and scrutiny mechanisms. It stated that authority members would want to take advice from their chief fire officer, and receive briefings from the services' senior managers, and whilst this provided them with technical information, it did not necessarily provide them with an independent technical basis on which to assess it. The report identified that elected members need technical support to enable them to make independent judgements on the strategies and performance of their service. These findings are similar to those reached by HMIC and the Audit Commission in 2010 when jointly inspecting police authorities. They concluded that, while most police authorities were effective in scrutinising everyday performance and holding forces to account in delivering their priorities, most were not taking a sufficiently strategic lead in shaping policing in the longer-term or doing enough to drive collaboration.⁵²

HMIC report on policing in austerity

In 2014, the HMIC published 'Policing in Austerity: Meeting the Challenge', which commended police forces for the way they had responded to the challenge of austerity but noted that collaboration was complex and fragmented and not materialising in the majority of forces.⁵³

This overview of reviews is not exhaustive but, in summary, suggests that there have been several reviews over recent years that have independently highlighted the need for reform within the fire and rescue service nationally. In addition, it has been found that the benefits of emergency services collaboration, including collaboration across police forces, are not being fully realised. The Policing and Crime Act 2017 allows for something which no previous legislation on collaboration has done, however, which is a wholesale change in governance to streamline decision making and facilitate closer working.

3.2.3 There is significant evidence that governance is a critical enabler of successful collaboration

There is a body of research on what is required for collaboration to be effective, and governance is a key component. Single, streamlined governance can accelerate reform and improve public visibility, although research suggests there are limits to the degree of acceptable integration between police and fire.

National good practice

Research into the effectiveness of fire and police across the country has identified a number of governance barriers to achieving sustainable collaboration. Changes in governance may therefore be necessary to driver deeper and more effective collaboration in North Yorkshire.

Research as part of the Emergency Services Collaboration Working Group indicates that complex governance involving multiple organisations is likely to make it harder to deliver significant collaboration initiatives quickly and effectively. There are examples nationally where savings have been made as a result of collaboration where a "*robust governance architecture*" has been a strong enabler of collaboration but that "*large-scale collaborations and the related investment and change programmes are usually complex and often challenging*".⁵⁴

The report acknowledged that another strong enabler of collaboration was the importance of retained brand identity: "*All three blue light services have easily recognisable identities in the public, and media perception*

⁵¹ Financial sustainability of fire and rescue services, NAO, 2015

⁵² Learning Lessons: an overview of the first ten joint inspections of Police Authorities, HMIC and the Audit Commission, 2010

⁵³ Policing in Austerity: Meeting the Challenge, HMIC, 2014

⁵⁴ <http://publicservicetransformation.org/images/articles/news/EmergencyServicesCollabResearch.pdf>

is that, although they may suffer ups and downs, the services are generally strong and respected. Retaining the best features of these identities whilst working towards closer collaboration and shared resources was seen as important".⁵⁵

The evidence suggests that governance structures, be they local or national, can serve to facilitate or frustrate collaboration in equal measure. It is essential therefore, that collaboration is underpinned by a greater alignment of governance structures to ensure the success of any further and future joint working and ultimately greater integration.

The government response to the Home Affairs Select Committee (HASC) also noted in relation to governance that: *"As the Committee itself has recognised, PCCs have provided greater clarity of leadership for policing within their areas and are increasingly recognised by the public as accountable for the strategic direction of their police forces...In driving collaboration, in pursuing Commissioner-led campaigns, and through their increasingly prominent multi-agency leadership role, it is clear that the PCC model is now making a difference in many areas in England and Wales"*.⁵⁶

International good practice

There is international good practice and some evidence about the benefits of integrated governance between police and fire in achieving improvements in service delivery, but that deeper integration between fire and police presents risks and has been less successful.

Gerald T. Gabris et al⁵⁷ explored various models of service consolidation in local government and found that the speed of decision-making, transparency, visibility, and accountability of an elected official has brought a dividend to the depth and breadth of collaboration, with improvements in public service and public confidence.

Wilson and Weiss also found in their 2009 study of consolidations in the US⁵⁸ that the control through a single governance structure was highlighted by many of those involved as a key driver in achieving coherent consolidation.

In other cases, the evidence is less conclusive: a 2015 Wilson and Grammich study⁵⁹ reported that *"in recent years, a growing number of communities have consolidated their police and fire agencies into a single "public-service" agency. Consolidation has appealed to communities seeking to achieve efficiency and cost-effectiveness"*.

However they also found that *"some communities have even begun to abandon the model. Exploring the reasons for disbanding can help cities considering the public-safety model determine whether it is right for them."*⁶⁰ One reason is preserving 'brand identity' – the ICFA noted that *"the fire/EMS service typically enjoys a position of trust in the community that transcends fear of authority or reprisal. Law enforcement's mission to prevent crime from different threats creates varied public opinion and re-action, including being perceived*

⁵⁵ Ibid

⁵⁶ The Government Response to the 16th Report From the Home Affairs Select Committee 2013-14 HC 757: Police and Crime Commissioners: progress to date, December 2014

⁵⁷ Alternative Service Delivery: Readiness Check: Gerald T. Gabris, Heidi O. Koenig, Kurt Thurmaier, Craig S. Maher, Kimberly L. Nelson, Katherine A. Piker, Alicia Schatteman, Dawn S. Peters, Craig Rapp 2015

⁵⁸ Public Safety Consolidation: What Is It? How Does It Work? Jeremy M. Wilson, Alexander Weiss et al: Be on the Lookout: A continuing publication highlighting COPS Office community policing development projects 2 August 2012

⁵⁹ Deconsolidation of Public-Safety Agencies Providing Police and Fire Services: J. Wilson & Clifford A. Grammich; International Criminal Justice Review 2015, Vol. 25(4) 361-378 2015

⁶⁰ Ibid

as a *threat*.⁶¹ This suggests that there will be public limits to the value and acceptability of police and fire integration.

3.2.4 There are continuing financial pressures

Police and fire services have already dealt with, and continue to face major financial pressures which means that both services must continue to consider different delivery approaches, such as collaboration or new operating models.

Fire and rescue funding national picture

Funding for fire and rescue authorities has fallen significantly between 2010-11 and 2015-16. Funding for stand-alone authorities fell on average by 28%. Once council tax and other income is taken into account, stand-alone authorities received an average reduction in total income ('spending power') of 17% in real terms.⁶² The National Audit Office noted in November 2015 that the sector had coped well to date with financial challenges, although commented that investment in prevention activities has reduced as a whole between 2010 and 2015.⁶³

Furthermore, there are major changes to local government funding taking place. Nationally, the Government is committed to a manifesto pledge to introduce 100% local retention of business rates by the end of this Parliament. Plans for local authority revenue funding in the interim were set out in the 2016-17 local government finance settlement which provided funding details up to 2019-20. The settlement as a whole involves a 7.8% (2% per annum) real-terms cut in spending power (council tax plus government grants including business rates) from 2015-16 to 2019-20. This is an easing in revenue income pressures experienced to date by authorities.⁶⁴

Police national financial picture

In the October 2010 spending review, the Government announced that central funding to the police service in England and Wales would be reduced in real terms by 20% in the four years from March 2011 to March 2015.⁶⁵ In 2014, HMIC commended forces for the way they had responded to the challenge of austerity in minimising the effect of cost reductions on the services that the public received. They noted, however, that extensive collaboration was not materialising in the majority of forces, although they recognised that it was a complex and fragmented picture.⁶⁶

On 25 November 2015, the then Chancellor announced that police spending would be protected in real terms over the forthcoming Spending Review period, when precept was taken into account. The then Minister of State for Policing, Crime and Criminal Justice noted that *"police forces are working more closely than ever before to reduce costs and duplication, and have started to work more closely with other emergency services through co-location and collaboration in areas such as fire and mental health."*⁶⁷

⁶¹ International Association of Fire Chiefs Position: Consolidation of Fire/Emergency and Law Enforcement Departments and the Creation of Public Safety Officers ADOPTED BY: IAFC Board of Directors on January 23, 2009

⁶² Impact of funding reductions on fire and rescue services, NAO, November 2015

⁶³ Ibid

⁶⁴ Local Government Overview, NAO, October 2016

⁶⁵ <https://www.justiceinspectors.gov.uk/hmic/wp-content/uploads/policing-in-austerity-meeting-the-challenge.pdf>

⁶⁶ Ibid

⁶⁷ <https://www.parliament.uk/business/publications/written-questions-answers-statements/written-statement/Commons/2015-12-17/HCWS426/>

Since then, the Government has been clear that existing arrangements for distributing core grant funding to police force areas in England and Wales need to be reformed. These arrangements are complex, outdated and reflect a picture of policing risk and demand which has moved on and – fundamentally – are borne out of the interaction between separate Home Office and DCLG funding formulae which can no longer be updated. The Minister of State for Policing and the Fire Service wrote to all PCCs on 14 September 2016 setting out plans for continuing work to review these arrangements, focussed on developing a new Police Core Grant Distribution Formula. The first stage of this work has been a period of detailed engagement with the policing sector and relevant experts and any final decisions on implementation of a new formula will follow during 2017 and come into place in April 2018.⁶⁸

3.2.5 Public expectations for quality and transparency of services are higher than ever

Set alongside the financial pressures, social, technological and demographic changes mean that the public of today expect more than ever of our public services. As described by Reform in 2015, *“expectations have never been higher. In almost every area of life, there is more choice, more readily, more digitally available, more attuned to our needs, more personalised and less patronising than ever before. We must make it so with public services too.”*⁶⁹ Services need to be cost-effective and sustainable for the future, but also faster and more responsive to people’s needs.

A reform agenda nationally was set out in 2010 to develop principles for making government more open, innovative and digitised.⁷⁰ The public sector has responded to this positively, with residents able to access open data and be more involved in local public services in many more ways than ever before.

Both fire and PCC governance models need to meet assurance and transparency requirements.

A key part of the FRA’s Governance Framework is the Local Code of Corporate Governance. The Code concentrates on six ‘core principles’ with which any local authority should be able to demonstrate compliance, one of which is around the ‘the taking of informed and transparent decisions which are subject to effective scrutiny and risk management.’ As regards the transparency of information, amongst other requirements, the code requires the FRA to⁷¹:

- Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording criteria, rationale and considerations on which decisions are based;
- Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints;
- Ensure that those making decisions whether for the Authority or a partnership are provided with information that is relevant timely and gives clear explanations of technical issues and their implications;
- Ensure that professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately.

PCCs however have additional express legal obligations to ensure transparency such as the duty required by statute to publish documents and information as set out in the Elected Local Policing Bodies (Specified Information) Order 2011 and the Elected Local Policing Bodies (Specified Information) (Amendment) Order 2012. Specifically they need to publish data on the following questions:

- Who is your PCC and what do they do?
- What do PCCs spend and how do they spend it?

⁶⁸ <https://www.northyorkshire-pcc.gov.uk/decision-notice/042017-medium-term-financial-plan-201718-202021-capital-plans-201718-202021/>

⁶⁹ Public services: from austerity to transformation, Reform, 2015

⁷⁰ <https://www.gov.uk/government/speeches/future-of-government-services-5-public-service-reform-principles>

⁷¹ Audit and Performance Review Committee, Annual Governance Statement, April 2016

- What are the PCC's priorities and how are they delivered?
- How do PCCs make, record and publish their decisions?
- What policies and procedures govern the Office of PCC?
- Provision of public access to a Register of Interests.

Alongside transparency requirements, PCCs have also demonstrated that they can act as a catalyst for wider service transformation, acting as a driver and initiator of change, and providing stronger independent leadership, scrutiny and challenge. They have achieved this through simplifying decision-making, good risk management and engagement with wider partners. A Police Foundation report in 2016⁷² stated that PCCs had *“unlocked innovation in policing policy”* and that having a *“full time public official focused on public safety”* had led to new ways of doing things. The report highlighted five ways in which PCCs have unlocked innovation:

- Increased collaboration – through greater partnership working with other agencies, criminal justice diversion and joint commissioning of services
- Use of soft power – through being an elective official with a public a voice to influence leaders of partner agencies
- Leveraging the evidence base – through their remit to try new things and ability to commission robust evaluations of new initiatives
- Increased public engagement – through more open dialogue with the public and catalysing broader debate
- Use of technology – through increasing visibility through more agile and mobile working, digital evidence capture and digital public contact.

Closer governance between fire and rescue and policing could therefore drive public service transformation harder and faster. Potential benefits include the development of more innovative integrated service delivery to address the causes of offending behaviour early, before escalation that requires more costly public service intervention, and the further development and extension of services across North Yorkshire. The various governance options' ability to enable this is considered in more depth later in the Economic Case.

Studies have also shown wider benefits of transparency and engagement resulting from the PCC model. The National Audit Office (NAO) reviewed police accountability in 2014. In reviewing the PCC governance model they found that *“A single person may be able to make decisions faster than a committee and could be more transparent about the reasons for those decisions”*.⁷³ Similarly, in *Tone from the Top* in 2015, the Committee on Standards in Public Life reported that *“PCCs represent a deliberate and substantial strengthening of... policing accountability. The model is one of ‘replacing bureaucratic accountability with democratic accountability’*.”⁷⁴ In addition to speed and transparency of decision-making, the NAO outlined further potential benefits around the *“scope to innovate, to respond better to local priorities and achieve value for money”*.⁷⁵ They also noted the significant increase in public engagement which police and crime commissioners have delivered, compared with police authorities (over 7,000 pieces of correspondence are received by PCCs per month, and there are 85,000 website hits).

⁷² The Police Foundation (2016), *Reducing crime through innovation: the role of PCCs*

⁷³ <https://www.nao.org.uk/wp-content/uploads/2014/01/Police-accountability-Landscape-review.pdf>

⁷⁴ Committee for Standards in Public Life, *Tone from the Top*, https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/439208/Tone_from_the_top_-_CSPL.pdf

⁷⁵ Ibid

3.2.6 Changing public need nationally for fire and rescue and policing services

The nature of local public need, and therefore the response from fire and rescue as well as police forces nationally, is adapting. The number of fire incidents has been reducing for a number of years and is at all-time low. Rather, an increasing demand on firefighters' time is major environmental or road traffic incidents and support in the community. In addition, global warming and the global terror threat will bring new and more complex roles for both fire and rescue and policing services. Although crime is falling overall, 'non-crime' incidents are demanding an increasing proportion of police time. Across both services, there is more focus on the most vulnerable in our society and a greater awareness of how much public service time is used by a small minority in the community with the greatest need.

Changing public need for fire and rescue services

In relation to fire and rescue, incidents attended by fire and rescue services in England have been on a long-term downward trend, falling by 42% over the ten-year period from 2004/05 to 2014/15⁷⁶ and fire-related deaths and casualties have also been on a long-term downward trend.⁷⁷ This is attributed to a range of factors including building regulations change, fire safety enforcement, fire prevention work, public awareness campaigns, standards to reduce flammability such as furniture regulations, and the growing prevalence of smoke alarm ownership in homes (rising from 8% ownership in 1998 to 88% working ownership in 2013/14⁷⁸). The FRS also has resilience responsibilities as defined in the National Framework⁷⁹ which means they must provide minimum levels of community resilience and safety.

In addition, there was a 22% increase in the number of non-fire (also known as Special Service) incidents attended by FRSs nationally between 2014/15 and 2015/16. Thus, 29% of incidents attended by FRSs in 2015/16 were non-fire, the highest proportion since non-fire incidents were first recorded in 1999/00. The most common type of non-fire incident was attending a road traffic collision in 2015/16. But there was also a marked increase in co-responder medical incidents (where FRSs have a formal agreement in place with the ambulance service to respond to medical incidents), which increased by 83% between 2014/15 to 2015/16.⁸⁰ All these necessitate close working with other emergency services and statutory bodies.

Changing public need for policing

While crime in England and Wales has fallen by more than a quarter since June 2010⁸¹, a College of Policing analysis of demands on policing⁸² found evidence to suggest that an increasing amount of police time is now directed towards public protection work, such as managing high-risk offenders and protecting vulnerable victims. In her presentation to the APACE-PACCTS Seminar on the 7 October 2016, Chief Constable Sara Thornton, chair of the National Police Chiefs Council (NPCC), highlighted how the police are increasingly taking on these broader responsibilities:

- "Non-crime" incidents reported account for 83% of all calls;
- 15%-20% of reported incidents are linked to mental health and mental health incidents absorb between 20-40% of police time;
- There was an 11.5% increase in public safety and welfare incidents between 2010-14;
- 273,319 missing persons were reported in 2012/13, at an estimated cost of £362m per annum;

⁷⁶ DCLG (2016), [Fire Statistics Monitor: England, April to September 2015](#)

⁷⁷ DCLG (2015), [Fire Statistics Monitor: England, April 2014 to March 2015](#)

⁷⁸ DCLG (2015), [English Housing Survey 2013 to 2014: fire and fire safety report](#)

⁷⁹ DCLG (2012), [Fire and rescue national framework for England](#)

⁸⁰ Home Office (2016), [Fire statistics monitor: April 2015 to March 2016](#)

⁸¹ Crime Survey for England and Wales, year ending December 2015

⁸² http://www.college.police.uk/Documents/Demand_Report_21_1_15.pdf

- Offenders managed by the Multi Agency Public Protection Authority (MAPPA) have increased by a third in the last 5 years.

3.2.7 Drivers for change summary

Nationally, the agenda that has been set for closer working between emergency services is clear, in particular the closer relationship between fire and police services nationally, both in terms of central government accountability as well as performance management. Furthermore, the requirements on our emergency services is changing, along with the demographic profile, increasing complexity of need in communities, and changing demands (increasing time spent on non-crime and non-fire incidents). As such, service delivery needs to be increasingly focussed on preventing need than responding to it, with local public service delivery focussed on working holistically with the same communities that they serve.

3.3 The case for change in North Yorkshire

This section sets out how North Yorkshire needs to respond to the drivers for change described above. It assesses the case for change in North Yorkshire, and the 'critical success factors', which have been agreed through this business case process as tests of a successful case for governance change.

3.3.1 NYFRS and NYP's responses to the efficiency agenda locally

NYFRS' peer review and an HMIC inspectorate review for NYP both praise the changes that have been made in North Yorkshire to improve performance and deal with the efficiency challenge in a sustainable manner. However, there remain significant challenges to address.

Fire peer and fire cover review

The latest NYFRS 'Fire Peer Challenge Report'⁸³, undertaken in July 2013, found that overall the number of incidents the service responds to had significantly reduced over the last decade and that the number of fatalities remained at a low level over the same period. It stated that the service was in a strong position financially, recommending that the service work with other agencies to ensure joined up decision making in areas that contribute to the service's priorities.

As a recommendation of the 2013 Fire Peer Challenge Review, during 2014 and early 2015, NYFRS carried out a review of fire cover across North Yorkshire and the City of York. This sought to take into account the impact of a significant reduction in incidents over the last 10 years. It agreed a new service and deployment model for the number of fire engines / specialist fire vehicles / equipment, where fire stations would be located and how quickly fire engines could respond to an emergency call. The main change resulting from the Fire Cover Review has been the introduction of smaller fire engines, known as Tactical Response Vehicles (TRVs), at Harrogate, Malton, Northallerton, Ripon, Scarborough and Tadcaster. These will replace one standard shift or day crewed fire engine, will be crewed by a reduced crew of 2 or 3 firefighters, and are being phased in between 2016/17 and 2020/21.⁸⁴ In the areas where they are based, TRVs will be the primary deployed engine in most cases.

NYFRS performance

The local North Yorkshire key performance indicators for 2015/16 provide a more recent indication of performance against a number of main areas of focus for the NYFRA with each KPI RAG assessed against its annual, 3 year and 10 year target:

⁸³https://www.northyorksfire.gov.uk/useruploads/files/plans_reports_strategies/fire_peer_challenge_final_peer_challenge_report_030813.pdf

⁸⁴ Fire Cover Review Implementation Update, NY Fire and Rescue Authority, June 2016

Table 8: NYFRS 15/16 performance dashboard⁸⁵

Key Performance Indicators	5 year average 2007/12	Annual Target 2015/16	Actual 2015/16	Performance 2015/16	Performance 3 Year Trend	Performance 10 Year Trend
Number of accidental fire deaths	2	2	6	Red	Red	Red
Number of accidental fire injuries	25	24	30	Red	Green	Red
Number of road traffic deaths at incidents attended by the FRS	30	28	22	Green	Green	Green
Number of road traffic injuries at road traffic collisions attended by the FRS	400	365	301	Green	Red	Green
Number of accidental primary fires	990	850	869	Amber	Red	Green
Number of deliberate primary fires	340	300	181	Green	Green	Green
Number of malicious calls	149	122	136	Red	Green	Green
Number of false alarms from automatic fire alarm apparatus	2508	2221	1465	Green	Green	Green
RDS availability	95.49%	95%	90.42%	Red	Red	Red
Number of working days lost due to sickness absence for wholetime uniformed staff	6.6	6	8.23	Red	Green	Green
Number of working days lost due to sickness absence for all staff	7.3	6	7.9	Red	Green	Green

Green indicates that performance was on or better than the target

Amber indicates that performance was worse than target but better than the previous year's performance

Red indicates that performance was worse than the target and worse than the previous year's performance

These performance measures indicate that six of the KPIs were below the annual 2015/16 target and worse than the previous year's performance. This includes the number of accidental fire deaths and injuries, the number of days lost to sickness and RDS availability. NYFRS's performance in relation to accidental fire deaths and RDS availability are also below target for the annual, 3 year and 10 year performance targets. Those KPIs relating to road traffic collision deaths and false alarms, however, are performing above expectation for the annual, 3 year and 10 year performance targets.

Recently produced 2016/17 data shows a continued decrease in activity overall versus a five year average. The exceptions to this continue to be around road traffic collision deaths and false alarms. It should be noted that this data has not been issued yet on the NYFRS website. Also, it presents a new set of indicators and no targets, therefore it is not possible to compare directly to all of the 2015/16 indicators.

⁸⁵ <http://www.northyorksfire.gov.uk/about-us/performance/performance-indicators>. The current year performance is put into context by the 3 year (medium term) and the 10 year (long term) trends. The annual target is not a figure that NYFRS is aiming to achieve, but a maximum that NYFRS hopes to undercut each year, except in the case of Retained Duty System availability where success is measured by a higher figure than the target.

Table 9: NYFRS 16/17 performance dashboard⁸⁶

Key Performance Indicators	Actual 2016/17	5 year average 2011/16	Forecast vs 5 year average
Number of accidental fire deaths	1	3	Green
Number of accidental fire injuries	26	41	Green
Number of road traffic collisions at incidents attended by the FRS (killed or seriously injured)	98	92	Red
Number of accidental fires	1,121	1,352	Green
Number of deliberate fires	522	617	Green
Number of rescues – from fires (# people)	16	35	Green
Number of rescues – from road traffic collisions (# people)	173	198	Green
Number of rescues – animals	71	103	Green
Flooding – attended by the FRS	122	272	Green
Number of malicious calls	87	172	Green
Number of false alarms from automatic fire alarm apparatus – attended by the FRS	2,420	2,770	Green
Number of false alarms from automatic fire alarm apparatus – not attended	997	555	Green

Green indicates that performance better than the 5 year average

Amber indicates that performance was in line with the 5 year average

Red indicates that performance was worse than the 5 year average

NYP PEEL assessment and performance

HMIC's PEEL assessment of North Yorkshire Police in 2016/17 assessed North Yorkshire as "Good" overall at working efficiently to keep people safe and reduce crime in North Yorkshire. HMIC found North Yorkshire Police to have a very good understanding of present demand and a good understanding of potential future demand.⁸⁷ The report commented that *"the force's medium-term financial and people plans are well aligned with the force's analysis of demand. Governance arrangements are in place to enable management and monitoring of the finance and people plans. Internal and external audit arrangements are in place and provide a high level of confidence that the force will implement these plans successfully"*.⁸⁸

North Yorkshire is the safest county in England. NYP's corporate performance statistics as at March 2017 show that crime and anti-social behaviour are in line with, or lower than 2015/16. Public and victim satisfaction is also high, in line with, or slightly lower than last year. Comparisons with 2014/15 data should be seen in the context of improved crime recording, increased reporting of historical crimes and a significant rise in criminal damage which correlates with changes in crime recording rules meaning reports must be made within 24 hours rather than 72 hours. Within the crime statistics, NYP has two long standing crime trends of note; an increase in recording of 'other' (non-rape) sexual offences, and violence without injury. There is also a long-term downward trend for killed and seriously injured (KSI) casualties.

⁸⁶ NYFRS Performance Team (not published on the NYFRS website as at 7/06/17)

⁸⁷ <https://northyorkshire.police.uk/content/uploads/2016/11/under-embargo-peel-police-efficiency-2016-north-yorkshire.pdf>

⁸⁸ <http://www.justiceinspectorates.gov.uk/hmic/peel-assessments/peel-2016/north-yorkshire/efficiency/>

Table 10: NYP March 2017 performance dashboard⁸⁹

Performance indicator	March 2017	Difference to 15/16	Difference to 14/15
Total crimes recorded	36,818	-1.2%	6.3%
Victim based crimes recorded	32,894	-1.6%	7.8%
Anti-social behaviour incidents reported	29,868	1.0%	-3.2%
Killed seriously injured casualties	63	-38.8%	-27.6%
% victims satisfied	82.4%	-1.1%	-3.1%
% public who believe NYP / Councils deal with Crime and ASB	66.9%	-0.6%	-1.6%
% public who are confident in NYP	83.9%	1.4%	2.8%

In summary, NYFRS and NYP have both responded well to the efficiency agenda in recent years, embarking on specific change programmes and evidencing the effective management of demand. However, the national drivers towards increased efficiency and greater performance management for fire and rescue services are likely to bring increasing pressure on both services locally and performance may be difficult to maintain unless different approaches are taken.

3.3.2 The local response to the financial picture

Both NYFRS and NYP have managed to keep their budgets broadly constant in recent years, despite facing significant cuts to grant funding. This level of sustainability is likely to become harder to manage, as central government pressure is likely to continue in the near term, and there are knock-on effects from pressures for health and social care services locally.

NYFRS local financial picture

The net actual expenditure for NYFRS for the last five years is as follows, from the audited accounts (up to 15/16 as 16/17 is still draft). The financial position for NYFRS will therefore have remained consistent over a period of 10 years from 2012-13 to 2021-22 representing a reduction in budgets in real terms.⁹⁰

Table 11: NYFRA net actual expenditure 2012/13-2016/17

Year (£m)	2012-13	2013-14	2014-15	2015-16	2016-17
North Yorkshire FRS	29.6	30.6	30.1	30.1	29.2
Year-on-year change %		3%	-2%	0%	-3%

The medium term financial plan to 2021/22 is as follows⁹¹:

Table 12: NYFRA Medium Term Financial Plan 2017/18-2021/22

Year (£m)	2017-18	2018-19	2019-20	2020-21	2021-22
North Yorkshire FRS	29.9	30.1	30.3	30.8	30.0

⁸⁹ Corporate Performance & Scrutiny Group, 25th March 2017

⁹⁰ https://www.northyorksfire.gov.uk/useruploads/files/revenue_estimates,_capital_programme_and_precepts.pdf

⁹¹ ibid

Within the above net figures, savings of £2.5m have been made already in the period 2013/14 to 2015/16. It is estimated that further base budget reductions may need to be made from 2020/21 as per the predicted central government grant reduction of 7.5%. NYFRA is reflecting national financial pressures and managing their budget through:

- a consistent recent leaver profile (mostly retirees) reducing the overall base budget of staffing costs. This is estimated to reduce the number of firefighters by about 30 by 2021/22
- income generation which is reinvested in the service (interest on cash balances)
- sales of vehicles
- young firefighters' scheme
- life courses and the PFI grant
- Section 31 grant income
- other smaller grant incomes
- a reserve level of c.£6m

NYFRS net expenditure is lower relative to other England combined authorities, at £37.42 per head (based on 15/16 CIPFA data) versus the average of £38.71.⁹² NYFRS compares higher than the total England average, at £35.14 (includes counties, metropolitan FRSs and Wales).

NYP local financial picture

The annual cost of policing and commissioning services in North Yorkshire (includes funding for policing, commissioned Services and the OPCC) over the last five years is as follows⁹³:

Table 13: Policing and Commissioning annual expenditure 2012/13-2016/17

Year (£m)	2012-13	2013-14	2014-15	2015-16	2016-17
North Yorkshire Police and PCC	136.7	133.5	139.0	137.8	140.2
Year-on-year change %		-2%	4%	-1%	2%

NYP has demonstrated effective savings plans in the face of reducing government budgets (£20m in cash terms or nearly £30m in real terms since 2010/11). It has achieved £28m of savings since 2010/11 already, allowing it to keep budgets static on average over the period. By 2020/21, NYP needs to find a further £5.5m in budget reductions annually. The force is also cheaper than the national average by 7p per person per day, at 48p, according to the latest PEEL assessment.⁹⁴

A reduced comparative level of spend on police officers means that compared to their peer group, North Yorkshire has a lower spend on visible and non-visible front line staff (£5.6m less than peers). However, support services costs are greater than North Yorkshire's peers (14% higher expenditure on business support services versus its peer group). HMIC notes that within North Yorkshire, there is still potential for savings through reforming the business support functions, with benefits reducing duplication and other administrative expenditure.⁹⁵

⁹² Fire and Rescue Service Statistics, 2016-17 Estimates, CIPFA

⁹³ <https://northyorkshire.police.uk/about/finance/budget/>

⁹⁴ <http://www.justiceinspectorates.gov.uk/hmic/peel-assessments/peel-2016/north-yorkshire/>

⁹⁵ <http://www.justiceinspectorates.gov.uk/hmic/wp-content/uploads/north-yorkshire-2016-value-for-money-profile-summary.pdf>

An 'Affordability Programme' was established during 2015/16 to look at how the organisation and operations could best be delivered within budgetary constraints. NYP has managed budgets in the following way to date⁹⁶:

- Savings from existing collaboration work
- Transformation of services
- Estate rationalisation and renewal
- Investment in technology to improve efficiency and resource management
- Workforce modernisation and makeup

The financial impact of national funding changes has also been lessened through a better than expected funding settlement, lower than expected pay and non-pay inflation costs and continued strong growth of the local tax base. Coupled with the savings plans described above, this has created the opportunity and capacity for targeted investment, to deliver improved services and deliver against the Police and Crime Plan objectives.

Local public sector financial picture

In line with the national picture, other local public sector agencies have been impacted by successive reducing settlements and increasing demand for services in recent years.

NYCC has estimated the total savings requirement to meet the reductions in government funding (as well as costs) at ~£174m over the nine years from 2011-12 to 2019-20. This is equivalent to reducing spending power by ~34% over the decade, while dealing with increasing demand for services. To meet the challenge of substantially reduced government funding, this is expected to convert to a further savings target of ~£44m over the next three years, with a current shortfall of £22m.⁹⁷

CYC is delivering a balanced budget for 2016/17 with savings proposals totalling £6.5m, equivalent to 5.5% of the net budget. It is also projecting a further £23m reductions are required in the medium term (from 2016/17 to 2019/20).⁹⁸

In health, in the year-end 2015/16 performance and financial assessment conducted by NHS England, one out of the five CCGs in North Yorkshire and York was rated 'inadequate' (Vale of York CCG was put in special measures in 2016)⁹⁹ and three of the five were rated 'requires improvement', with one outstanding (Harrogate and Rural district). Four out of five CCGs were rated 'good' on finance, however it remains a challenging picture.

In summary, both fire and rescue and police have succeeded in managing budgets despite significant reductions in government funding. However, both services face further pressures and there continue to be pressures in demand owing to the changing demographic profile, as well as the knock-on effect of more significant financial pressures in both local government and health services locally. Despite these pressures, it is anticipated that the future funding position will continue to be managed as it has been previously, and therefore that any savings will be re-invested back into protecting frontline and priority services. As such, it is unlikely that financial benefits will need to be a key driver to collaboration or further integration of services but that it will be increasingly challenging to maintain or improve effectiveness and public safety without new models of delivery, which governance of police and fire and rescue must drive.

⁹⁶ Medium Term Financial Plan (MTFP) 2016/17 to 2019/20, July 2015

⁹⁷ <http://www.northyorks.gov.uk/article/31556/Budget---questions-and-answers>

⁹⁸ Financial Strategy 2016-17, York City Council

⁹⁹ <https://www.england.nhs.uk/2016/07/operational-performance/>

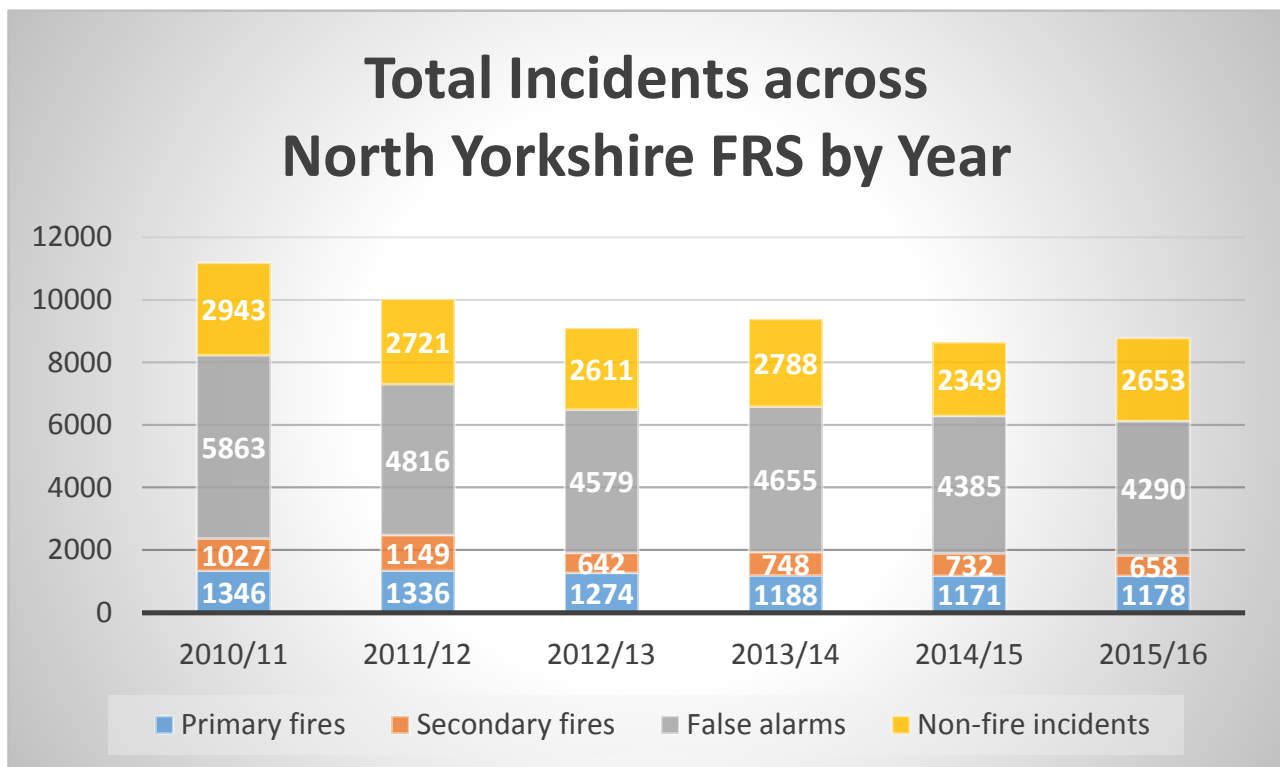
3.3.3 Fire and police priorities are increasingly around community needs and a focus on the most vulnerable

The changing nature of demand for fire and police services is bringing police and fire into contact with each other more frequently, and increasing the case for greater collaboration between the two emergency services as well as with health and other partners. The fact that fire and police services are conterminous in North Yorkshire means that the agencies serve the same communities, making the opportunity for and impact of closer working between fire and police even more powerful.

The demand for services is changing locally, and creating more complexity of response

The national pattern of reduced demand for fire-related incidents is similar in North Yorkshire, where the five year trend since 2010/11 has seen an overall reduction of 22% in the total number of incidents¹⁰⁰:

Figure 2: NYFRS incidents 2010/11-2015/16



Over the same period both primary fires (-13%) and secondary fires (-44%) have decreased. Non-fire incidents (e.g. road traffic collisions, malicious calls, flooding, animal rescue) have decreased by 10% since 2010/11 and although there was an increase of 12% between the period 2014/15 and 2015/16, this was predominantly due to the significant increase in flooding incidents (+98%) in response to the severe 2015 Boxing Day floods.

Although incidents are reducing over the long term, the data do not highlight the increasing complexity of incidents that are taking place. For example, the flooding in December 2015 was one of the largest deployments of water rescue and pumping assets across the UK. The arrangements put in place by NYFRS were praised by an Inquiry into the floods for the level and complexity of the logistical planning and manner in which NYFRS were able to work.¹⁰¹

¹⁰⁰ Ibid

¹⁰¹ York Flood Inquiry report

Against a national picture of budget tightening, falling crime rates but higher protection activity, North Yorkshire faces the same pressures as other forces. Total overall crime in North Yorkshire declined by 3.3% between 2011/12 and 2016/17, but rose by 6.6% between 2014/15 and 2016/17. This is partly due to significant increases in safeguarding crime trends since 2014/15 where NYP has experienced an increase in reports of domestic violence with and without injury (+35%), stalking and harassment (+69%), violence with injury (+44%), sexual offence/rape (+22%), hate crime (+44%) and child abuse (+38%)¹⁰². There were also changes in crime recording practices which affected the data. The nature of these complex safeguarding investigations not only require considerable police resource but will also require close working with other statutory agencies.

There is an increasing local public need to protect and prevent escalation for the most vulnerable

Additional to increasing complexity of demand, there is a need to increase focus on protecting those considered as the most vulnerable in society and ensure that intervention takes place early in order to reduce demand upstream and maximise public value.

Fire priorities have shifted in recent years to be more focussed on prevention activity to advise and educate, for example introducing community safety initiatives to reduce the incidences of fires, road traffic accidents and other life threatening hazards. NYFRS is involved in 95 Alive, community safety hubs across North Yorkshire, home safety visits, smoke alarm fitting, school visits and educational programmes for children and outdoor safety advice specific to North Yorkshire's environment.

The PCC uses her commissioning budget to focus on community safety and wellbeing, spending £2,957,000 in 2016 on victims (via independent victims advisors, Stop Hate UK, domestic and sexual abuse, counselling and talking therapies services, restorative justice service, sexual assault forensic services, targeted child sexual exploitation service, parents' liaison service) and other services (substance misuse, mental health street triage services, youth commissioners, and youth offending).

The demand for, and type of work that fire and police services undertake has changed in recent years, and continues to change, which is bringing police, fire and other statutory agencies into closer contact with each other more frequently, increasing the case for greater collaboration. Whilst reliable quantitative data does not exist, we know that there is a high degree of overlap between police, fire, ambulance and local authorities in providing services to the same vulnerable communities. Further collaboration between agencies around joint priorities would support a joined-up approach that will provide greater efficiency and effectiveness, allow reinvestment in emergency services and improve public safety and outcomes for residents. This, coupled with the fact that the needs of local communities are changing and increasingly demanding a joined-up response from local public services, means that there is a need to drive faster on collaboration and integration. Governance will be a critical component of this change.

3.3.4 Locally, collaboration has achieved some positive outcomes, but could go much deeper and faster

As described in Section 3.1.4, NYFRS and NYP have started to collaborate more, but there is recognition that more could and needs to be done, and a great wealth of opportunity to create more efficient ways of working and service communities in a more joined-up way.

Since the Statement of Intent was agreed by the parties, NYP and NYFRS (and in some instances YAS) have collaborated in a number of areas. Earlier, we described the history of this, which set out an attempt to develop a coherent programme of work, with appropriate governance in place, to steer genuine change. However, there was no single entity responsible for driving the programme of work forwards or for conducting proper evaluation of pilot projects and other work and this ended within one year. Steering Group minutes point to a clear ambition and programme upfront, which then did not progress as planned in some

¹⁰² NYP 6 year demand trends, NY Performance Team

areas (e.g. lack of progress around training and development is noted). One of the reasons for this appears to be a desire to gain clarity of roles between respective organisations in any collaboration model and a reluctance to move towards multi-agency delivery models.

The Steering Group was a strategic committee meeting of senior management and officers, it met infrequently and there was inconsistent attendance. Therefore, despite the initial ambition, the Steering Group was simply unable to work at the pace and in a way that was able to bring about the required change to meet the vision agreed. Steering Group meetings lapsed after May 2014 (after less than one year) and the programme of work set out as part of the Statement of Intent has largely remained undelivered.

As a consequence of the previous programme of work not having progressed, there is now no overall strategic direction for joint working between the police and fire service. This 'stalemate' has led to a more tactical approach, which has delivered some ad hoc initiatives in specific service areas. These have progressed either organically outside the formal governance processes (once they no longer need the involvement of multiple governance body discussions) or they have evolved from previous initiatives. However, both have fallen short of the vision set out by the Statement of Intent for closer, more integrated support functions. They have predominantly focussed to date on support services i.e. transport and logistics, estates and procurement and some particular frontline initiatives, around community safety and road safety. Since work started on this business case, NYFRA has established a Collaboration Committee to improve collaboration between fire and other emergency services and it is intended that the PCC (but not the Chief Constable) will have voting rights on the committee. This is assessed further in the Economic Case.

One of the factors behind the failure to deliver significant benefit from collaboration to date has been the impact of fragmented governance between police and fire and the inability of the governance mechanisms to ensure collaboration develops momentum and pace. It should be noted, though, that there are other factors which are considered also to have impeded progress, including cultural differences between police and fire services and different strategic priorities. Any change in governance must also help enable these issues to be addressed.

Although collaboration is increasing, we know that it is not yet as developed as in some other parts of the country.¹⁰³ Data described earlier in this case showed that NYP does not collaborate as much as its peers. There is no national benchmarking on the level of collaboration for fire, but an estimate from NYFRS Finance is that a comparable figure for NYFRS is ~6%, higher than the NYP figure but still only a small proportion of overall expenditure (excluding pensions).

In summary, there is an ambition for greater collaboration (which is clearly articulated in the PCC's Police and Crime Plan and through NYFRA's strategic objectives, and was agreed as part of the Statement of Intent). However, sovereignty over individual services has proven to be a barrier to the pace and scale of change. To date, change pursued via the 'collaboration' model of governance, has produced modest successes and fallen far short of transformational. The future governance arrangements need to be capable of *driving* the collaboration agenda rather than simply overseeing its product, and of doing so at a pace and scale expected and deserved by our communities. All parties consulted to date believe that the current governance arrangements are not up to the job. The question therefore remains which of the options for changed governance offers the best prospect for transformational change.

3.3.5 Opportunities for transforming collaboration across emergency services in North Yorkshire

The PCC has a vision for a strategic transformation of police and fire collaboration that can deliver genuine change and address the challenges and opportunities described above. At its heart that vision has an objective to deliver joined-up preventative services for North Yorkshire and ensure that the frontline is

¹⁰³ Through this process, workshops have been held with NYFRS and NYP stakeholders which have identified a wide variety of both new areas for collaboration, as well as extensions of existing initiatives. These workshops used the national examples from the Emergency Services Collaboration Working Group as reference projects.

protected by improving the efficient and effective use of emergency services assets, estates and support services.

This vision is premised on the fact that in the increasingly difficult context of delivering public services, to provide the best possible service to the people of North Yorkshire, there must be a focus on outcomes for the public rather than on organisations. An organisational perspective sees organisational leaders putting their service before the need of the public, whereas an outcomes perspective would see increasingly greater overlap of service delivery through greater collaboration to improve community resilience and public safety.

These two approaches are outlined in the following two diagrams:

Figure 3: Organisational-led collaboration

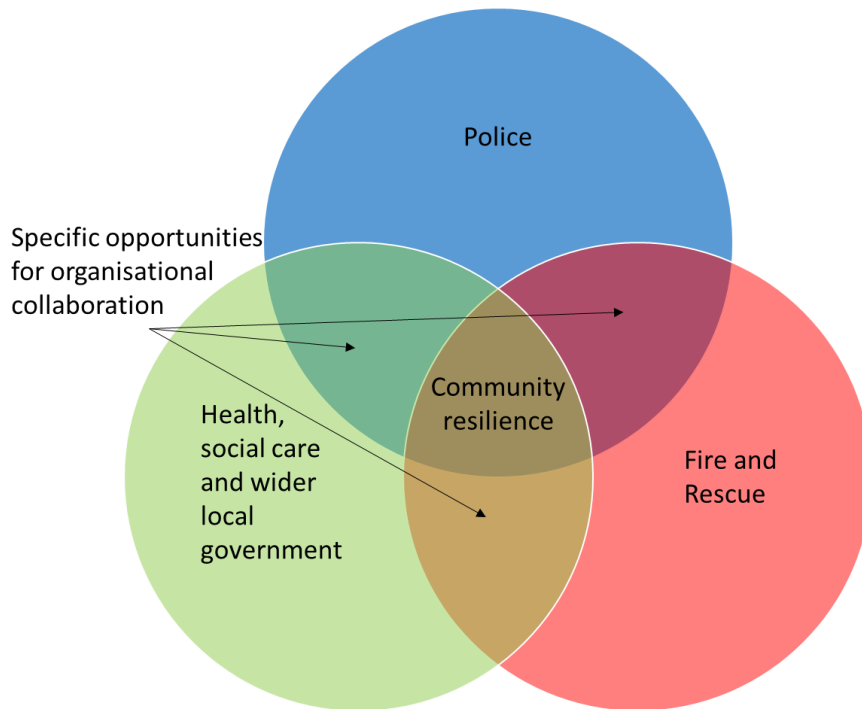
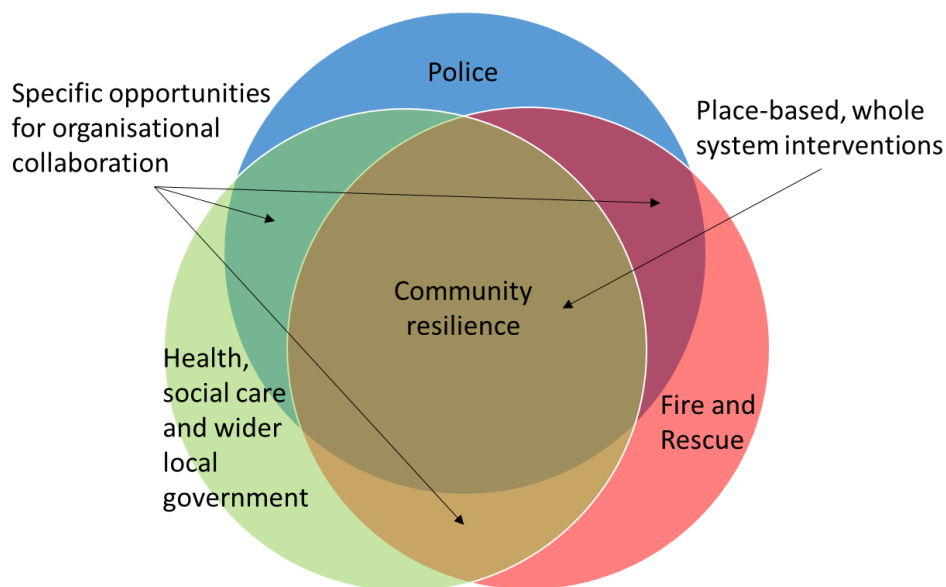


Figure 4: Outcome-led collaboration



An initial understanding of the range of collaboration opportunities was developed with operational staff and officers from NYFRS and NYP in a set of four workshops covering different areas: response, prevention and early intervention, support services and information and data sharing. These workshops developed a long-list of possible areas for collaboration, which were shortlisted based on the scale and benefit and ease of implementation. This short-list was agreed at a Strategic Reference Group meeting on 2nd March 2017. Both organisations have recognised the importance of closer working with local health services and NYFRS in particular are developing a number of proposals for closer working including, around early intervention for health risk (e.g. smoking cessation and alcohol reduction), cost effective use of NYFRS assets for health and social care interventions (e.g. assisting patients to stay at, or return home) and emergency response (e.g. extending the Emergency First Response scheme).¹⁰⁴ Any closer working or changes in governance between fire and police, therefore, must also ensure health collaboration is maintained, at a minimum, or preferably enhanced.

The PCC's vision and the priorities identified by NYP and NYFRS are shown in the Table 14.

The identified priority opportunities have been discussed with senior staff and officers from NYFRS and NYP to define them in more detail and understand the benefits associated. These are initial ideas at this time, and indicate the potential possibilities for collaboration – they are not part of agreed NYFRA or NYP plans and no supporting business case exists yet for each. All would be subject to separate investment cases, and where necessary, consultation. More work has been completed through this process to review the possible and relative level of financial and non-financial benefit of each priority opportunity. This is detailed in more detail at Appendix 8.4.

The ideas put forward in the workshops were ambitious, and it was clear that those at the frontline of each organisation could see the benefits of greater, more strategic collaboration on a wider scale. Opportunities discussed included multi-agency roles in response and prevention, shared teams and joint systems and teams for control. However, during discussions with senior officers and staff, the level of ambition was pegged back. The final, prioritised, list of potential opportunities shown in Table 14 would represent a change in the way that both NYFRS and NYP work. However, many of the opportunities will not require a step change in delivery or outcomes, and represent a limited view of the potential opportunity when compared with the PCC's vision, particularly regarding the potential for a place-based, multi-agency community safety service.

Work to date has not managed to achieve a joint view of the potential for transformational change which goes beyond existing organisational boundaries and towards the PCC's strategic vision. It is clear that any design and implementation of collaboration in North Yorkshire needs to be led and governed through strong, cross-organisational leadership and integrated strategies and plans. More work will be required to develop a blueprint for genuine change that is bought into by both NYFRS and NYP.

¹⁰⁴ Health Engagement Strategy, NYFRA, February 2017

Table 14: North Yorkshire fire and police collaboration opportunities

Theme	Current state	Current identified collaboration priorities	Transformation vision
Strategic commissioning	<p>Currently fire and police plans are developed separately</p> <p>Separate commissioning budgets. Use of volunteers not co-ordinated or shared</p> <p>Intelligence sharing takes place in some areas (operational not strategic)</p>	<p>Development of joint priorities for collaboration</p> <p>Sharing data and intelligence on communities and incidents on a local, tactical level basis to support planning and response. This would include data and intelligence on specific individuals, premises and homes and would involve reciprocal fire and police information access.</p>	<p>Fully integrated strategic development and risk management, including joined up research and public consultation</p> <p>Joint commissioned services and budgets to respond to public need through joined-up services and support</p> <p>Systematic data sharing of intelligence and vulnerability to support more aligned strategic decision making across communities.</p>
Improved Prevention and demand management	<p>Community Safety hubs in Scarborough, Selby and York</p> <p>Road Safety joint initiatives and campaigns (95 Alive)</p>	<p>Improved co-ordination and reach of Safe and Well checks:</p> <ul style="list-style-type: none"> • Joint police and fire community interventions • One safe and well assessment across fire and police, specialist training and clearer role definition • Use of volunteers to support the role in wider local activity e.g. leafletting, door knocking • Volunteer community contact points for police and fire jointly (potential reduction of demand on control centre) 	<p>A single approach to community safety across police and fire through a jointly funded Community Safety Service, tailored to the needs of people and communities, including single, jointly funded, community safety roles</p> <p>Alignment with health and local authority partners through Health and Wellbeing Board and Mental Health Care Concordat</p> <p>Accelerated use of shared data and intelligence to dynamically map vulnerability to better target and pro-actively deliver increased primary prevention and early intervention work and jointly commissioned services across rural and urban areas for those who need it most</p> <p>Roll-out of community safety hubs, and expansion and diversification (central/local) to bring in greater range of partners and improve resilience for local communities</p>
Effective Joint Response	<p>Joined-up tactical response to incidents where required</p> <p>Local Resilience Forum and JESIP</p>	<p>Fire would also take on forced entry, in addition to police.</p> <p>Extension of first responder fire role to police (e.g. through firearms officers that have defib kit being deployed as appropriate).</p>	<p>A truly joint control room for a more effective response to the public by the right service at the right time:</p> <ul style="list-style-type: none"> • Fully integrated operations and system • Shared staff roles, training and rotas <p>First responder as part of community safety roles, especially to improve resilience in rural areas</p>
Shared support services	<p>Co-location of transport and logistics functions and driver training</p> <p>Shared transport and logistics manager</p> <p>Co-location of fire and police in Bedale and plans for Ripon</p>	<p>Colocation of transport and logistics resources and further integration of teams.</p> <p>Shared finance, procurement, IT, transport and estates teams.</p> <p>In-flight and pipeline opportunities identified for estates collaboration, including shared HQ.</p> <p>Joined-up training and learning and development for officers, firefighters and staff</p> <p>Shared procurement service, starting with products which share common specifications e.g. stationery, fuel</p>	<p>Creation of a community safety estate – single estates strategy with multi-purpose estate, single investment strategy</p> <p>Wider collaboration through One Public Estate to create local community safety hubs integrating health estate and designated community assets where appropriate.</p> <p>New models of shared enabling services delivery across police and fire, such as through a third entity.</p> <p>Greater integrated specialist training (e.g. mental health) across both services.</p> <p>Where appropriate, single ICT strategy and systems</p>
Shared management roles	None	None identified	<p>Combined or reduced senior management roles across fire and police, particularly around corporate, non-operational roles, where it makes business sense to do so. In addition, it is assumed that governance roles can be shared across fire and police (S151 Officer and Monitoring Officer roles). Any changes would be phased in line with existing staff retirements or natural attrition.</p>

Possible benefits from enhanced collaboration

Through this process, NYP and NYFRS have reviewed the potential for financial and non-financial benefits to be achieved from the priority opportunities. The section below includes those priority opportunities from the Table 14 which were deemed to hold the greatest potential benefits.

Achieving these opportunities, especially if they were expanded to the opportunities outlined in the transformational vision, have the potential to greatly improve public safety by providing a more effective and efficient service. From examples in other areas, evidence suggests that they would increase community resilience, building stronger and safer communities; protect both those vulnerable to harm, by preventing and reducing risk, and those vulnerable to causing harm, by preventing risk and diverting them into prevention programmes; and reduce harm, crime and demand on the emergency services through proactive prevention. Savings gained from these impacts and from closer collaboration on enabling and support services could be reinvested into frontline services, further improving public safety.

Given the context of the pressures currently being experienced, any future governance model would need to be able to deliver these opportunities at pace, and realise the greatest scale of ambition, while continuing and enhancing wider collaboration with other partners, in order to achieve improvements to public safety.

Community vulnerability multi-agency role – safe and well

An effective safe and well service, delivered by both the fire and rescue and police services in coordination could bring benefits in terms of positive outcomes for residents, overall reduced demand for local public services (including for volumes of calls through the NYP control centre), more efficient use of resources and wider intelligence benefits, contributing to improving public safety.

This has not been costed at this stage and details of the non-financial benefits would be realised locally are not feasible as a detailed business case would need to be developed. However, other areas of the country can provide some proxies that indicate what might be possible.

In Greater Manchester, 'Safe and well' is a person-centred home visit carried out by both operational and non-operational staff (Community Safety Advisors) by the Greater Manchester Fire and Rescue Service (GMFRS). The visit expands on the scope of previous home safety checks by focussing on health and crime prevention, as well as fire prevention. GMFRS has completed benefits analysis to estimate the level of financial benefit to various agencies. Benefits cited include avoided costs of fractures from avoided falls, reduced drugs dependency, avoided fatalities to smoking and avoided fire fatalities. The primary finding from the cost-benefit analysis is that, for every £1 spent on Safe and Well, partners as a minimum are set to save the fiscal equivalent of £2.52 in benefits (in year and recurrent) through demand reduction. From this saving, the programme will 'pay back' its own costs within two years. Overall costs of the service amounted to £2.1m in the first year. The NHS benefits to the largest extent from the programme, with 85% of the benefits accruing to it. 11% of the benefits benefit GMFRS with 3% to the local authorities.¹⁰⁵

In Leicestershire, fire, police and paramedic services have joined up through the 'Blues Projects', to provide a similar, place-based service. Small, mixed teams work with partners – such as the local council, housing groups, GPs, pharmacies, schools and community groups – and residents in specific communities that create significant demand on the emergency services to reduce the number of emergency calls. They do so by helping to create a healthier, safer and more secure community by educating and directing residents to appropriate services via a home visit service and specific campaigns. They can help residents with home security, vehicle security, home safety, fire safety, child safety and health and wellbeing. They are also trained to offer help with loneliness, anxiety, depression and dealing with antisocial behaviour, tailoring each home visit dependent on the needs of the resident.¹⁰⁶

¹⁰⁵ Analysis of Impact and Outcomes for Safe and Well, GMFRS and New Economy, July 2016

¹⁰⁶ See Braunstone Blues website <http://www.leicestershire-fire.gov.uk/your-safety/general-wellbeing/blues-projects/braunstone-blues/>.

In Cornwall, Tri-Service Safety Officers provide a similar service to the Leicestershire example, except that one person has delegated powers from all three emergency services in order to carry out home-visits in a particular area and respond to certain emergency situations on behalf of all. This provides extra resource for response cover for each service, but also provides a dedicated prevention service to local residents, helping to reduce harm, crime and calls to the emergency services. Provisional cost savings outlined in their initial evaluation document suggest an hourly rate saving of £38p/h across the three services, with savings from demand reduction and prevention work being even higher, though this is of course difficult to measure.¹⁰⁷

These examples, amongst others, demonstrate the potential of innovative thinking in delivering community safety services. Over time, closer working between police and fire could develop into a single community safety service, commissioned from fire and police budgets, focussing on prevention, harm reduction and diversion that would improve public safety further.

Forced entry

If NYFRS took on the delivery of forced entry services it is envisaged that there would be a benefit from intervening earlier, more efficient use of resources and lower costs to board up properties. There may be a financial benefit based on policing time costing on average more on a unit cost basis than firefighter deployed time, however this would be dependent on the precise deployment model and dependent on the crew type deployed. There is also a cost saving to the public, as fire service entry methods are often cleaner and do less damage than police entry methods. The Fire and Rescue services in South and West Yorkshire already perform this function for the Yorkshire Ambulance Service in their areas so this would not be difficult to implement.

Control room

While appreciating the differences in roles and functions of the control room staff in the two emergency services, a joint control room capability may nevertheless bring benefits of greater resilience for both NYFRS and NYP, the ability to share data and intelligence on incidents and communities more easily, and potential benefits from co-location e.g. from a shared estate.

In terms of volumes, NYFRS has around 70,000 calls per annum, with 11,000 of those incident related. NYP has around 300,000 calls, 70,000 of which are 999.¹⁰⁸ For NYFRS this equates to ~8 calls per hour and for NYP, ~34 calls per hour. Based on analysis of costs, NYFRS spends ~£12 per call and NYP spends ~£22 per call.

NYFRS currently has an external contract in place to deliver the command and control system which expires in 2023/24, and also has a resilience arrangement in place with Cornwall Fire and Rescue Service. Therefore this would not be a short term opportunity, but could bring operational and financial benefits over the longer term.

There are examples, such as in Kent, where collaboration on joint control rooms is progressed. As yet this has only gone as far as co-location, but Kent will soon use the same command and deployment software, call-scripting and automatic call distribution which will facilitate a move towards joint staffing. Building in police technology, such as Mobile Asset Utilisation Data and mapping systems allows KFRS to deploy the nearest appliance to the incident, reducing response times. Kent Police and Kent FRS report improved joint working, joint incident command and deployment, and improved resource management, all of which contribute to improving public safety.

¹⁰⁷ Tri-Service Safety Officer: Final Report, June 2016

¹⁰⁸ 16/17 data for NYFRA, Non-incident related calls are internal to NYFRS i.e. do not include switchboard calls, and include calls such as crew changes and notification of incidents. 2016 data for NYP. NYP data are calls answered, rather than presented.

Shared estates

Sharing the estate could bring benefits of a rationalised estate, higher utilisation of the existing estate, benefits from shared maintenance contracts and wider knock-on benefits through co-location of staff. It is assumed that through a review of both NYFRS and NYP estates strategies, the opportunity would be taken to look at a joint estate, to deliver 'community safety services' to the people of North Yorkshire, instead of the current approach of each standalone service looking at its own needs. This could lead to both capital disposals and revenue savings. For the purposes of this business case, a number of assumptions are made, which are subject to further collaboration business case analysis prior to implementation. It should be noted that any plans will maintain at a minimum the existing Fire Cover Review and IRMP requirements.

Financial benefits have been estimated based on a comparison of the NYFRS and NYP estates plans, and assumptions around the possible opportunities for sharing existing sites. This assumes that there are around 8 viable schemes for sharing of the estate to 2023/24. In all cases it is assumed that NYP would free up existing capacity and share an existing NYFRS fixed site. It is estimated that ~£2.0m would need to be spent on refurbishing and modifying host sites and that NYP could achieve capital receipts from disposals in the existing estate of ~£1.5m. Recurrent benefits would also be possible, with an assumption that NYFRS could reduce its running costs by ~10% per annum, based on NYP sharing fixed costs, and that NYP could reduce its running costs by ~40% per annum, based on increasing utilisation and sharing costs.

A further opportunity would be around sharing headquarters. NYP is moving into a new headquarters in Northallerton in June 2017. In 2016, discussions took place around the possibility of NYFRS moving in, on expiration of its current leased accommodation in Northallerton in 2021/22. NYFRS took a decision not to do so in 2016, however the NYFRS is now actively considering this opportunity in the future. If this could be revisited, this may mean a further financial benefit of up to £260k per annum (total cost of NYFRS' current lease arrangement).¹⁰⁹

It is estimated that delivery of the above eight schemes, in addition to a shared HQ would achieve total financial benefits of between £0.2m - £1.3m dependent on the number of shared schemes and the pace of change (see detailed assumptions in the Appendix).

Significantly more benefits could potentially be realised over the long-term from a genuinely integrated community safety estate, through the development of a long-term integrated investment strategy. This could also accelerate the development of sharing with health partners and provide more joined-up services to the public.

Shared senior management positions

It is anticipated that a change in governance could lead to some combined or reduced senior management roles across fire and police, particularly around corporate, non-operational roles. In addition, it is assumed that governance roles can be shared across fire and police (S151 Officer and Monitoring Officer roles). Any changes would be phased in line with existing staff retirements or natural attrition. It is assumed that changes may be able to achieve between £250k - £390k per annum, dependent on the scale and pace of change. As with other benefits, these are subject to more detailed business case analysis.

Shared support services functions

Table 14 describes the potential for shared enabling support services across transport and logistics, estates, training and development and procurement. In addition, the long-list of potential collaboration opportunities included shared functions for IT, HR and Finance. Sharing enabling support services would bring economies of scale in purchasing and in delivery of transactional services, greater resilience and access to a wider set of expertise. Looking at the wider potential for financial benefits from shared services in the public sector, PA Consulting's research has found that standardisation of activities across organisations can achieve a

¹⁰⁹ 16/17 NYFRS Revenue and Capital Budget

revenue cost saving of 10-15%. Shared service arrangements, and outsourcing, has the potential to provide an additional 10-15% saving. A review of the potential benefits of sharing the transport and logistics function conducted by Eversheds for NYFRS and NYP in 2014, found that potential savings of ~3% could be found from sharing functions.

Cautious estimates have been made for scope and scale of savings in North Yorkshire at this stage, in advance of detailed business case analysis, ranging from 0.5% to 5% of in-scope expenditure. As PA's research has shown, however, more savings could be possible if more innovative models, such as development of a third entity providing support services across fire and police, were developed. For the purposes of this high-level LBC, in-scope expenditure is based on budgets for estates, transport, IT, procurement and finance. The total NYFRS 16/17 budget gross service expenditure is ~£7m per annum, whilst total NYP actual 16/17 gross expenditure for the same services is ~£15m. We have made a high level assessment of 'addressable' expenditure i.e. expenditure which could involve duplication across NYFRS and NYP and where there therefore may be opportunities for joint roles or joint purchasing (this includes staffing costs, supplies and services costs). Premises costs have been excluded as they are included in the above estates opportunity. This results in a total 'addressable' spend of £13.9m (£3.4m for NYFRS and £10.5m for NYP). Total estimated benefits under each model have therefore been estimated at between £70k per annum and £690k per annum based on the degree of change. These are intended as an indication of the potential, based on benchmark analysis, with further analysis required on a service by service basis to review the actual opportunity within individual collaboration business cases.

The ability of future governance models to deliver at pace and scale both the priority opportunities and the longer-term vision is assessed in the economic case.

3.3.6 Potential wider benefits from changes to police and fire governance in North Yorkshire

As described above, Fire Authorities and PCCs are both responsible for the conduct of public business and for spending public money, and are accountable for ensuring that business is conducted in accordance with the law and applicable proper practices. They must also be transparent in their decision making and ensure that public money is safeguarded, properly accounted for and used economically, efficiently and effectively. The Framework Delivering Good Governance in Local Government, published by CIPFA in association with SOLACE in 2007 sets the standard for governance in local government (including Fire Authorities and PCCs) in the UK. Both NYFRA and the PCC are subject to the Nolan Principles of Public Life.

NYFRA governance is based on CIPFA's Framework for Delivering Good Governance in Local Government and the latest external audit for 2014/15 found no significant weaknesses in governance arrangements. The Fire and Rescue Authority produce an Annual Governance Statement and an Annual Statement of Assurance. The latest external audit report included an unqualified opinion on the Authority's 2014/15 Statement of Accounts and concluded that the Authority had made proper arrangements to secure economy, efficiency and effectiveness in its use of resources. Internal audit by Veritau Limited for 2015/16 issued 7 High Assurance reports, 2 Substantial reports and 1 Reasonable Assurance report. They also gave an annual audit opinion of substantial assurance. Fire matters are also part of local authority governance, with FRS issues a standing agenda item at Area Committee meetings in NYCC.

NYPCC also has an Annual Governance Statement¹¹⁰, which for 15/16 was also unqualified. The NYPCC external audit also provided an unqualified opinion and its internal RSM Audit Opinion Report for 2015/16 provided three Substantial Assurance scores and one Reasonable Assurance score out of the four pieces of work reviewed (the scale is Substantial Assurance, Reasonable Assurance, Partial/Limited Assurance, No Assurance).

While existing governance arrangements for fire and rescue and policing in North Yorkshire are therefore considered to be effective from an assurance perspective, there are significant differences in practice

¹¹⁰ Annual Governance Statement, 15/16, PCC for NY and CC for NYP

between the transparency and engagement methods used by the PCC and the committee methods used by the FRA.

A summary of the differences in visibility and engagement between the Authority and PCC model in North Yorkshire is shown below. This shows that the engagement model for the PCC is in practice more proactive in its interaction with the public than the Authority model and there is a higher level of public engagement. The NYFRA engages more through existing local authority forums, whereas the PCC model engages more directly with communities.

Table 15: Summary of NYFRA and PCC level of visibility and engagement

Theme	FRA	PCC
Accessibility of meetings	<ul style="list-style-type: none"> • Most take place at NYFRS Easingwold • Advertised on website • Agenda, papers and minutes available online and public can attend • Contact details given for FRA Secretariat but need to look at agenda on how to make statement or ask question, and need to give advance notice 	<ul style="list-style-type: none"> • Corporate Performance, Delivery and Scrutiny Board Meetings are live-streamed and open to public engagement via social media. Questions can be emailed ahead of time or tweeted live. Videos are available in perpetuity • Meetings and forthcoming events advertised on website and by poster in local areas and via the North Yorkshire Community Messaging system • Agenda, papers and minutes available online
Frequency of open meetings	<ul style="list-style-type: none"> • 10 open meetings in 2016 where minutes available • Created a Collaboration Committee in 2017 which will meet more frequently 	<ul style="list-style-type: none"> • 34 open meetings in total in 2016, of which minutes were available for 33
Public attendance	<ul style="list-style-type: none"> • Records not kept on attendance or public questions asked, but shown in minutes 	<ul style="list-style-type: none"> • Approximately 100 view each live-streamed meeting either during or in the days following the meeting • 5 x individuals are recorded as having attended the Police and Crime Panel in person to ask a question since 2013. Of these, 1 person has attended Panel seven times and another has attended twice
Correspondence received to governance bodies	<ul style="list-style-type: none"> • No data kept on correspondence sent to the FA 	<ul style="list-style-type: none"> • About 70-100 pieces of public correspondence received a month by the PCC, 1FTE member of staff handles • This includes enquiries, complaints, policy questions and service requests
Complaints	<ul style="list-style-type: none"> • Complaints and compliments can be made online. In 2016/17, 33 complaints and 47 compliments were received 	<ul style="list-style-type: none"> • Complaints regarding the conduct of officers are managed by the Chief Constable through the Professional Standards Department, though the PCC will manage the complaints process from April 2018. In 2016/17 331 complaints were recorded, and there were 325 compliments. • Complaints regarding the Chief Constable are managed by the OPCC. In 2016/17 3 were recorded. • Complaints regarding the PCC are managed by the Police and Crime Panel. In 2016/17 2 were recorded. • The OPCC deal with non-official complaints about service and the organisation as part of their everyday correspondence (see above).

Theme	FRA	PCC
Public participation in consultation	<ul style="list-style-type: none"> • Consultation on Fire Cover had 1,125 online survey responses, 20 letters/emails and 70 attendees at 18 events. A similar number of attendees attended NYFRA's meeting for Fire Cover decision-making • Consultation on recent budget proposals and the possible increase in Council Tax of up to 1.99% received 2 responses • 486 responses received to the Health Strategy consultation 	<ul style="list-style-type: none"> • Proactive research used: Consultation on PCP 2017 involved staff survey, online survey (767 responses), including in foreign languages, and a representative sample of 1,000 telephone and in-street interviews • Precept consultation of 1,610 (representative survey of 800 by phone or in-person, and online survey)
Outreach (including hard-to-reach groups) by governance bodies	<ul style="list-style-type: none"> • No specific NYFRA outreach work. Outreach is undertaken by NYFRS as part of its prevention work • NYFRS's website (including pages about NYFRA but not NYFRA documents) offers a language translation service enabling webpages to be translated into over 100 different languages. 	<ul style="list-style-type: none"> • 33 advice surgeries in 2016 all around NY – 84 people attended • Speaking events e.g. recent Women's Institute event (450 attendees), York University event and Youth Commission work • Use of market research – 1,000 taxpayers polled over collaboration issues • Regular surveys – customer experience, victims of crime and rural crime surveys
Engagement through local authorities	<ul style="list-style-type: none"> • FRS has a regular slot and papers on NYCC Area Committee meetings that the public can attend. Papers submitted on 21/27 occasions in 2016 and FRS attended 13 times. Questions put to FRS are usually from councillors rather than the public • Attendance once a year at the City of York Council's Scrutiny Board • NYFRS chairs the Safer York Partnership 	<ul style="list-style-type: none"> • Regular attendance at District Council Overview and Scrutiny committees • Ad hoc attendance at District, City and County Executive/Cabinet meetings as invited • Engagement through the Police and Crime Panel
Openness of decision-making	<ul style="list-style-type: none"> • Notice of all decisions to be made by NYFRA are posted online ahead of the meeting. • All interests posted online • Decisions are public but contained in minutes and not searchable • Some matters discussed confidentially (3 in 2016) with most published later • 217 requests under the Freedom of Information Acts responded to in 2016/17 • Summaries of proceedings of four meetings of Appeals Committee also available 	<ul style="list-style-type: none"> • Specified information orders a statutory requirement • All interests and decisions posted online, with search functionality

In addition, the OPCC brings significant independent scrutiny to policing performance and strategy development. It employs 8 people specifically to support the PCC's focus on scrutiny and governance, and the PCC meets formally with the Chief Constable every month. In comparison, unlike some other fire authorities, NYFRA does not have access to independent scrutiny support aside from the formal statutory roles of Monitoring Officer and Section 151 officer, although it can commission external support. Monitoring

Officer spend was just approximately £1,100 in 2016¹¹¹. In addition, the Fire Authority and the Audit and Performance Review Committee met formally four times each, for a total of 6.50 hours and 3.52 hours respectively in 2016.¹¹²

As Parliament has recognised, there are opportunities for the improvements that the PCC model has delivered in policing to be applied to fire, changes which could help introduce further innovation and improve public engagement and transparency contributing to improved effectiveness of service delivery.

By way of example, there are a number of areas in which the PCC in North Yorkshire has brought about an accelerated pace of change. Although it is impossible to say whether these would have taken place under the former Police Authority, it is believed that the changes below represent a step-change, which would have been unlikely under previous models given the experience of their ways of operating.

- Stage 2 staffing arrangements for enabled services, have led to changes to services including introducing professional staff for specific areas of expertise (rather than using officer posts for support services), joint posts across forces and investment in technology.
- Introduction of a commissioning team to invest in victim services and mental health services (introduction of Section 136 suites, leading to a reduction in vulnerable people with mental health considerations being detained in custody).
- New collaborative partnerships with other police forces.
- Local community safety consolidation of strategic partnering arrangements so that there was a move from eight partnerships to two, streamlining partner involvement.
- Initiating a rural crime network and taskforce.

Local evidence of public opinion

Local evidence also suggests that residents of North Yorkshire are in favour of fire and police collaboration, and have indicated a preference for this to be governed by the PCC. A brief consultation conducted by the OPCC in August 2016 (carried out by 'the buzzz', a consultancy), surveyed 1,050 North Yorkshire residents aged between 18-75 through a combination of telephone and face-to-face interviews.¹¹³ This was carried out in light of NYFRA's move to merge with Humberside FRA. The high-level results show that:

- 62% of respondents believed that greater integration between police, fire and ambulance is a good way to manage available resources and budgets;
- 49% of respondents preferred greater collaboration between police and fire services in North Yorkshire, over fire and fire collaboration between Humberside and North Yorkshire;
- When asked who should manage the collaboration, 56% believed that the PCC was best placed, versus a committee of elected councillors. 30% of respondents had a 'strong' preference.

The report also noted that *"the public's main concern ... seems to focus on falls in service levels, funding cuts and issues around leadership and specifically what this means in terms of response and efficiency. This research makes it clear that most people understand the benefits of change but are cautious about the motives of change."*

This will be updated following public consultation.

¹¹¹ Provided by NYFRS

¹¹² Analysis of published minutes on the NYFRS website

¹¹³ Public consultation on fire and rescue services and police collaboration, Buzzz, August 2016, <https://www.northyorkshire-pcc.gov.uk/documents/public-consultation-fire-rescue-service-police-collaboration/>

3.4 Critical Success Factors

Any changes in governance must meet the tests in the Policing and Crime Act 2017 of being in the interests of:

- Economy, efficiency and effectiveness; or
- Public safety.

These tests are not defined in more detail in the legislation, leaving them to be specified against local drivers for change by PCCs. While the link between governance and improved outcomes may not always be a direct one, in North Yorkshire, we have translated these tests into the following design principles for this business case based on the assessment above on the drivers and case for change in North Yorkshire:

- Whether a change in governance would drive economies, efficiency and effectiveness in both police and fire services by significantly accelerating the pace and efficacy of collaboration between these services and their wider partners, to the benefit of public safety.
- Whether a change in governance would deliver wider benefits relating to transparency and accountability.

These factors for change, if proven, have to be balanced against the complexity that could be involved in making the change, which could result in temporary disruption and performance impact that inevitably attends any organisational change. In order to assess the possible options, a set of Critical Success Factors (CSFs) has been identified and agreed for any change in governance in North Yorkshire. The CSFs represent the attributes essential to the successful delivery of the any governance change – in the next section, the possible future governance options will be assessed against these.

Table 16: Critical success factors for change

CSF number	Critical success factor	How the test is met	Test	Public safety	Effectiveness	Economy / efficiency
1	Accelerates scale, pace and effectiveness of collaboration	The governance option can accelerate and enable more effective collaboration and deliver tangible public safety and vulnerability prevention benefits to reduce harm, improve resilience and effectiveness, and increase value for money	How well the option: <ul style="list-style-type: none"> • Improves public safety and vulnerability prevention • Brings efficiencies and resilience to NYP and/or NYFRS and/or local public services, including acceleration of change • Delivers value for money (see overall option quantitative assessment) 	✓	✓	✓
2	Brings benefits in terms of transparency and accountability	The governance option can improve transparency, accountability, visibility, and consistency of decision-making for the public, stakeholders and NYP and/or NYFRS	How well the option provides benefits of transparency and accountability		✓	
3	Is deliverable	The governance option can be implemented successfully	How well the option: <ul style="list-style-type: none"> • Meets the likely availability of funding • Matches the level of available skills and capacity required for successful delivery 	✓	✓	✓

CSF number	Critical success factor	How the test is met	Test	Public safety	Effectiveness	Economy / efficiency
			<ul style="list-style-type: none"> Minimises delivery risks 			
4	Mitigates strategic risks	The governance option can mitigate strategic risks	<p>The impact of strategic risks e.g.:</p> <ul style="list-style-type: none"> Loss of public trust Compromise to links with health / local government services Risk of losing resilience 	✓	✓	✓

3.4.1 Strategic risks, constraints and dependencies

There are a number of strategic risks in a change to governance that options need to be assessed against. The most significant of these are that:

- Public trust in fire may be compromised - this has greater risk for some governance options than others. As noted above, the fire and rescue service has a “*very strong trusted identity*”¹¹⁴ and it is felt by some that too close working or integration with the police could endanger this. Initial indications in some areas that have created shared roles in the UK have not yet seen this impact, although there may be limits of acceptable integration which have not yet been implemented in the UK. Research has shown that all three blue light services have easily recognisable identities in the public, and media perception is that, although they may suffer ups and downs, the services are generally strong and respected and “*retaining the best features of these identities whilst working towards closer collaboration and shared resources*”¹¹⁵ is important. Each option needs to be assessed against the risk of public trust being lost.
- Broader links to wider community safety, health or social care partners may be compromised – there is concern that moving fire and police closer together may compromise collaboration with other partners, especially health. However, the PCC’s responsibilities and commissioning powers also extend to community safety and changes to governance will not prevent joint community safety initiatives, or either service from collaborating with wider partners. Initial discussions with the Yorkshire Ambulance Service as part of this work indicated that simplified or shared governance between fire and police may improve joint working with health.
- Links with local authorities and district councils may not be maintained, democratic challenge from a committee representing a wide range of opinions may be lost, and scrutiny and challenge of the single decision maker may vary.
- The Police and Crime Panel may not have the capability or resources, to exercise a broader scrutiny role, if required.
- Fire receives less attention in a shared governance model – and careful measures would need to be taken to ensure the PCC has sufficient support and expertise to ensure effective governance of fire while also fulfilling her responsibilities for policing and crime.
- Potentially strong resistance from fire unions - risk of industrial action is greater for some governance options than others, which could risk public safety.

¹¹⁴ Firefighters are second most trusted profession, IFSEC, 2015

¹¹⁵ Research into Emergency Services Collaboration, Parry et al, 2015

There are also a number of constraints and dependencies that affect the options under review:

Constraints:

- Under any of the governance options, funding will remain separate between police and fire, with a requirement for separate financial reporting;
- If the PCC wishes to introduce some of the options in the Act sequentially (e.g. start with Governance model and then later move to a Single Employer model), then a further business case and consultation is likely, unless this intention is stated in the initial business case and consultation.

Dependencies:

- Changes will require local authority approval and the endorsement of the Home Secretary or (if local approval is not forthcoming, further independent scrutiny of the business case will be required before the proposed changes can come into effect).

3.5 Conclusions

This section has set out a range of national and local drivers for change. Any governance arrangements for police and fire and rescue must be capable of meeting the national policy drivers, and enabling fire and rescue and policing services to work effectively together to meet the financial and operational challenges they face. Although fire and rescue and policing services are already working together in a number of areas, this work is tactical and has evolved in an ad hoc way with no formal programme of work in place to drive the pace of change. Historical attempts to make collaboration work locally on a broader scale have been unsuccessful to date, with the reality of the governance arrangements proving unable to match the strategic intentions of the governance bodies. There remain tangible further opportunities for greater collaboration which should realise greater benefits for local communities. However, these are limited by issues of organisational sovereignty and culture. If transformational change in collaboration is to be achieved it will require a clear strategic vision and delivery through strong cross-organisational leadership.

National and international best practice recognises that effective governance is a key enabler of collaboration and of greater organisational effectiveness. There is a risk that further significant benefits of police and fire collaboration may not be realised within the existing governance model but the unanimous view of all consulted is that the existing arrangements will not suffice. However, there are inevitably risks and costs attached to making any change and the ability of each of the different governance options to deliver the necessary improvements to collaboration whilst mitigating risks are considered in the Economic Case, the next section.

4 ECONOMIC CASE: THE OPTIONS ASSESSMENT

This Economic Case assesses the governance options introduced by the Policing and Crime Act 2017, against the option of making no change to governance. It considers how well the options could accelerate the pace and scale of collaboration to address the issues and support delivery of the opportunities identified in the Strategic Case. It also considers the extent to which each option could mitigate the strategic risks identified.

4.1 Introduction to the options

For North Yorkshire, the Policing and Crime Act 2017¹¹⁶ translates into four potential governance options:

- The Do Nothing model – retaining current governance arrangements;
- The Representation model – with the PCC becoming an additional member of the NYFRA and having a formal vote;
- The Governance model – with the PCC assuming the role of the FRA;
- The Single Employer model – building on the Governance model to also appoint a single Chief Officer across the police and fire and rescue services.

The following sections describe each option in turn and sets out:

- A description of the option
- An assessment of the option against the critical success factors outlined in the Strategic Case, establishing the likelihood of realising the opportunities. This includes quantification of the economy and efficiency benefits and the extent to which the option:
 - Accelerates scale, pace and effectiveness of collaboration
 - Brings benefits in terms of transparency and accountability
 - Is deliverable
 - Mitigates strategic risks
- A summary assessment of option against the tests of public safety, effectiveness, economy and efficiency, assessed according to the approach described below.

4.1.1 Qualitative assessment of each option

The qualitative assessment reviews each option against each of the CSFs as described in Section 3.4 attributing a low, medium, high rating against each CSF.

A summary assessment of each option is also made against the tests in the Policing and Crime Act 2017. As described in Section 3.4, these tests are not defined in more detail in the legislation, leaving them to be specified against local drivers for change by PCCs. The link between governance and improved outcomes may also not always be a direct one. In North Yorkshire, therefore, we have translated these tests into CSFs for this business case.

This Economic Case concludes with a recommendation for the preferred option.

¹¹⁶ Policing and Crime Act 2017, HM Parliament

4.1.2 Approach to economic appraisal

A net present value (NPV) for each option has been calculated for ten years including 2017/18 (year 0). Only financial benefits and costs have been included in the NPV calculation – we have not attempted to measure the economic value of interventions. The NPV must therefore be viewed alongside the non-financial benefits of a change in governance.

Costs and benefits have been assessed in terms of their 'direct' and 'indirect' impact on governance. 'Direct' costs and benefits are those which can be directly attributable to the governance change (i.e. associated with those activities through which the FRA or PCC exercise their governance and scrutiny roles). 'Indirect' costs and benefits are those which can be indirectly attributable to the governance change, such as a faster pace in delivery of collaboration.

Direct costs and benefits have been estimated as below, with detailed assumptions at Appendix 8.5 and 8.6:

- One-off implementation costs associated with governance change e.g. project costs including project team and professional advice e.g. consultation advice
- Recurrent implementation costs associated with governance change e.g. additional governance resources required
- Direct governance benefit related to the FRA no longer being required in some options and some associated governance costs no longer being required

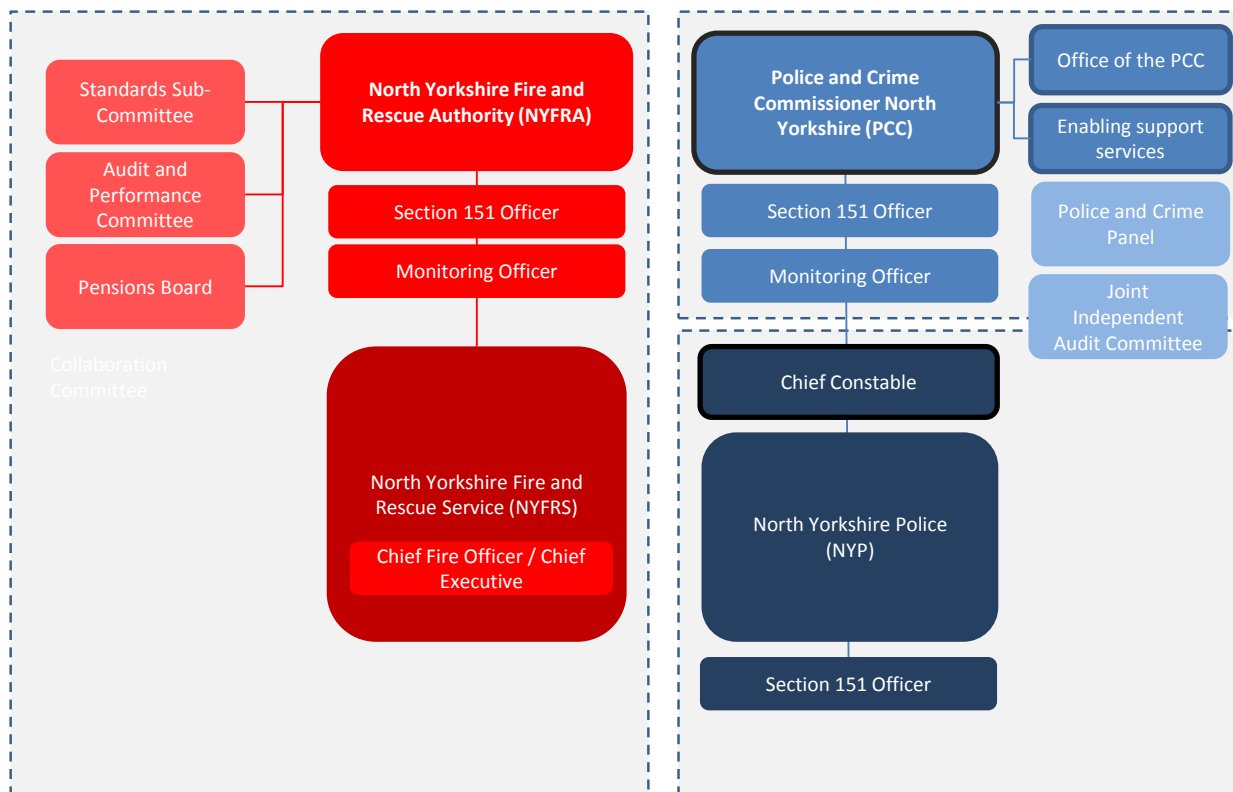
Assumptions have been made in the estimation of 'indirect' financial benefits in this business case, drawing upon the research on the impact of governance on collaboration described in the strategic case, and also the specific opportunities in North Yorkshire. These are described in Section 3.3.5 of the Strategic Case and in detail as part of each option.

4.2 Do Nothing model

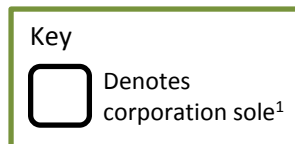
4.2.1 Description of option

This option assumes that existing governance arrangements for the PCC, Chief Constable (CC) and NYFRA remain in place. The organisations would still be under the statutory duty to collaborate (including more widely across the emergency services) as set out in the Policing and Crime Act 2017. The impact of this option is illustrated below.

Figure 5: ‘Do nothing’ model – the existing governance arrangements would remain in place



Notes: 1. A corporation sole is a public office (created usually by an Act of Parliament) that has a separate and continuing legal existence, and only one member (the sole officeholder). Contracts made with a corporation-sole continue from one officeholder to his or her successor. The PCC and Chief Constable are corporations sole.



4.2.2 Implications of the change

With no change to make, there would be no implementation impact on the different areas of the business.

4.2.3 Assessment against each criterion

An assessment of this option against the CSFs is provided below.

CSF 1: Accelerates scale, pace and effectiveness of collaboration

Test: The governance option can accelerate and enable more effective collaboration and deliver tangible public safety and vulnerability prevention benefits to reduce harm, improve resilience and effectiveness, and increase value for money

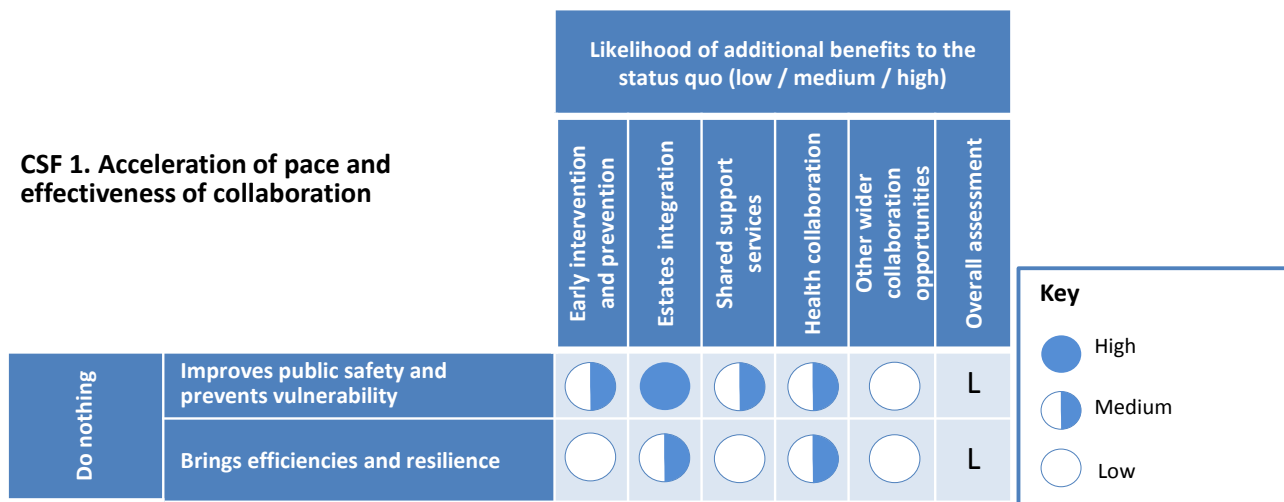
This option would enable continuation of existing planned collaboration at the current rate, improving public safety and prevention through existing plans. It is assumed that the newly-created Collaboration Committee would support closer working between fire and police, as well as other partners. Therefore, some of the collaboration opportunities identified in Table 14, could be achieved, as long as both the PCC and NYFRA agree to plans on a case-by-case basis and agree on objectives and priorities. We have made some assumptions in this business case about which opportunities could and would likely to be achieved, based on feedback and broader evidence (shared estates in line with the current direction of travel). However, as evidenced in the Strategic Case, studies have consistently shown that delivery of collaboration is inherently more challenging in a multi-governance model, and the PCC would not be able to exert formal influence in this model. Similarly, the Chief Constable will not have a formal role on this committee (and the PCC cannot represent the Chief Constable). In addition, it is unlikely to accelerate collaboration significantly as proposals would continue to need to go through separate police and fire governance structures, as the Collaboration Committee only has formal decision-making rights for fire and rescue. Further, collaboration opportunities with health partners would also continue to require multiple governance bodies to sign-off.

More ambitious opportunities that move beyond collaboration and closer to shared functions are also likely to be more difficult to achieve in this model, because of the complexities of decision-making.

No stakeholders consulted to date have favoured this option, believing it will not be sufficient to achieve the degree of collaboration desired between police and fire. The Government have also made it clear that the status quo is not an option.

Figure 6 shows the assessment against CSF 1 as described in the Strategic Case. This looks at the tests agreed, and reviews the degree to which benefits from collaboration could be accelerated through this option.

Figure 6: Assessment against CSF 1



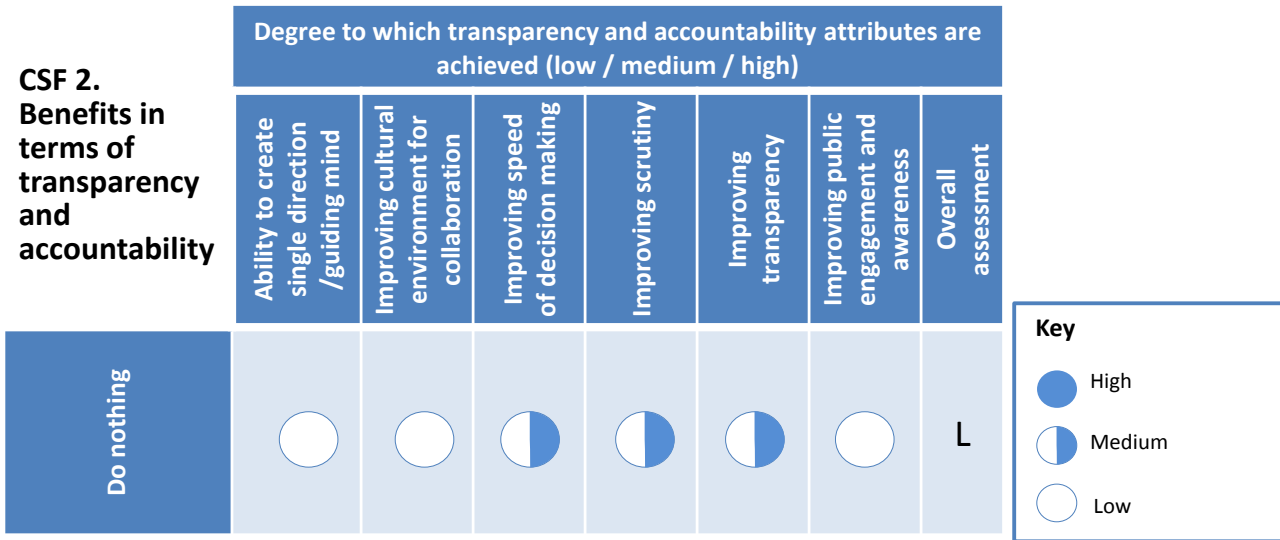
CSF 2: Brings benefits in terms of transparency and accountability

Test: The governance option can improve transparency, accountability, visibility, and consistency of decision-making for the public, stakeholders and NYP and/or NYFRS

The formal mechanisms of transparency and accountability of the FRA would remain the same as today, in line with CIPFA’s Framework for Delivering Good Governance in Local Government and meeting external audit requirements. The new Collaboration Committee is in place, which may bring additional independent cross-agency scrutiny to decision-making, and could increase pace of decision-making; however this will not increase the public’s engagement and the PCC has no formal voting rights on this committee under this option.

Figure 7 shows the assessment against the transparency and accountability CSF 2, broken down by particular governance attributes. It will deliver few benefits.

Figure 7: Assessment against CSF 2

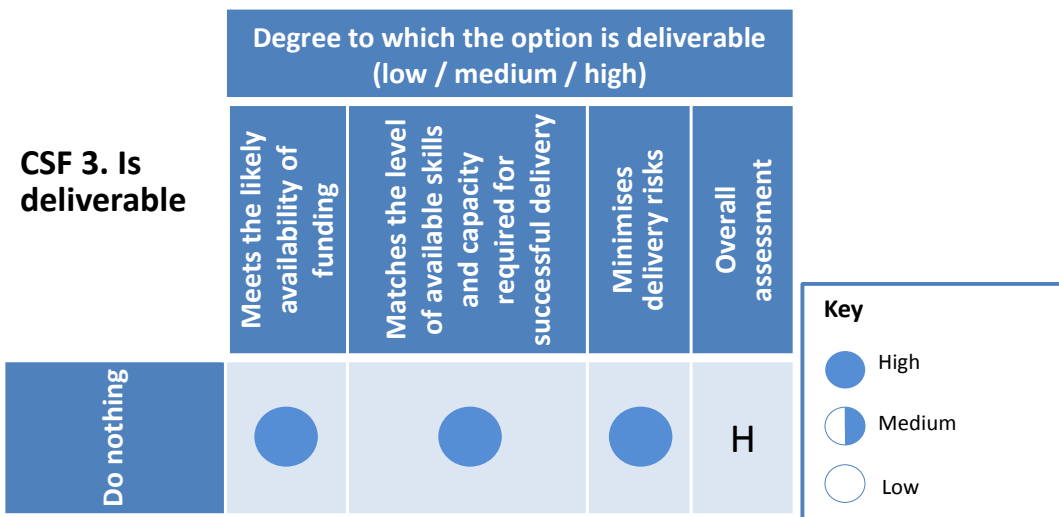


CSF 3: Is deliverable

Test: The governance option can be implemented successfully in terms of meeting the likely availability of funding, matching the level of available skills and capacity required for successful delivery and minimising delivery risks

This represents the status quo position and is therefore in line with medium term financial plans and with the current planned level of available skills and capacity. There would be no formal consultation requirements and no governance change, therefore this option has a low delivery risk.

Figure 8: Assessment against CSF 3

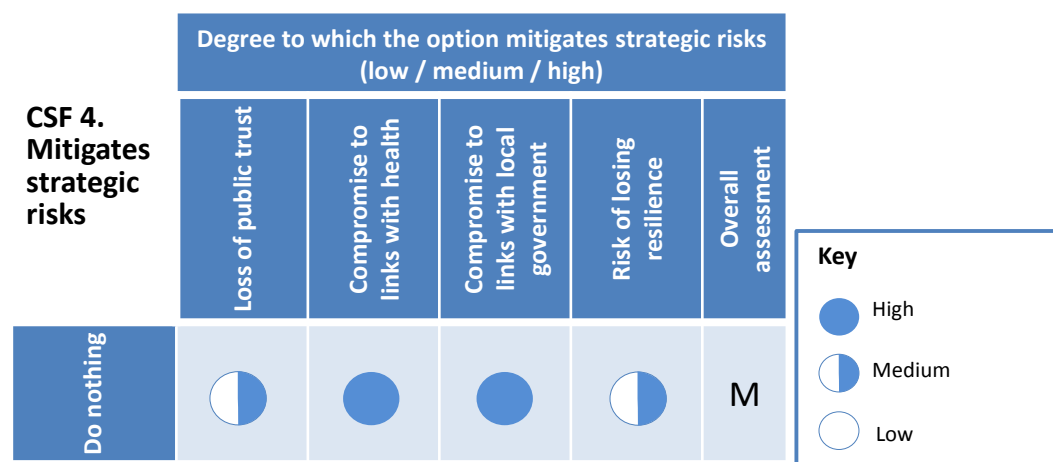


CSF 4: Mitigates strategic risks

Test: The governance option can mitigate strategic risks with the option, including the loss of public trust, compromise to links with health, compromise to links with local government and risk of losing resilience

Under this option, there are not anticipated to be any risks that concerns over the different roles of police and fire, and potential impact on public trust, will materialise, as formal governance will remain distinct and unchanged. The presence of the PCC on the Collaboration Committee presents an opportunity for improved and some small-scale simplified engagement with other partners. Links to local authorities will be maintained through existing structures. However, under this option, opportunities to ensure a joined up and simplified governance between police and fire to health partners will remain limited as there will continue to be separate decision-making and no changes to formal governance.

Figure 9: Assessment against CSF 4



4.2.4 Economic assessment

Table 17 represents the net change versus baseline costs as a result of a change in governance. Costs are shown as negative and savings are shown as positive in Table 17.

This option would incur no additional implementation costs versus the current position, and would achieve benefits from the shared estate. Of the possible 8 pipeline estates schemes, it is assumed that a joint estate would be achieved for 3 schemes in the 10 year period (assumption based on the 3 highest priority schemes). This option would achieve benefits of £0.2m over a 10 year period and an NPV of £0.1m.

Table 17: 'Do nothing' model – economic appraisal (£k)

Year	0	1	2	3	4	5	6	7	8	9	Total
Financial year	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26	2026/27	
Implementation costs - recurrent	-	-	-	-	-	-	-	-	-	-	-
Implementation costs - one-off specialist support	-	-	-	-	-	-	-	-	-	-	-
Direct governance benefit	-	-	-	-	-	-	-	-	-	-	-
Shared estates	-	(280)	(30)	70	70	70	70	70	70	70	180
Shared senior management posts	-	-	-	-	-	-	-	-	-	-	-
Shared enabled support services	-	-	-	-	-	-	-	-	-	-	-
Total	-	(280)	(30)	70	70	70	70	70	70	70	180
Total – direct	-	-	-	-	-	-	-	-	-	-	-

Year	0	1	2	3	4	5	6	7	8	9	Total
Total - indirect	-	(280)	(30)	70	70	70	70	70	70	70	180
NPV											101

4.2.5 Summary assessment against of this option

The Do Nothing model has been assessed above against the CSFs agreed in Section 3.4. A summary is shown below. In addition, we have developed an assessment against the tests in the Policing and Crime Act 2017, based on the definition in Section 3.4.

Table 18: Summary qualitative assessment against CSFs and statutory tests

Critical success factors			Statutory tests	
Critical success factor	How the test is met	Do nothing (High / medium / low)	Economy / efficiency / effectiveness	Public safety ¹¹⁷
Accelerates scale, pace and effectiveness of collaboration	The governance option can accelerate and enable more effective collaboration and deliver tangible public safety and vulnerability prevention benefits to reduce harm, improve resilience and effectiveness, and increase value for money	L	✓	N/A
Brings benefits in terms of transparency and accountability	The governance option can improve transparency, accountability, visibility, and consistency of decision-making for the public, stakeholders and NYP and/or NYFRS	L	✓	N/A
Is deliverable	The governance option can be implemented successfully	H	N/A	✓✓
Mitigates strategic risks	The governance option can mitigate strategic risks	M	✓	✓✓
Net present value (£k)		£0.1m	N/A	

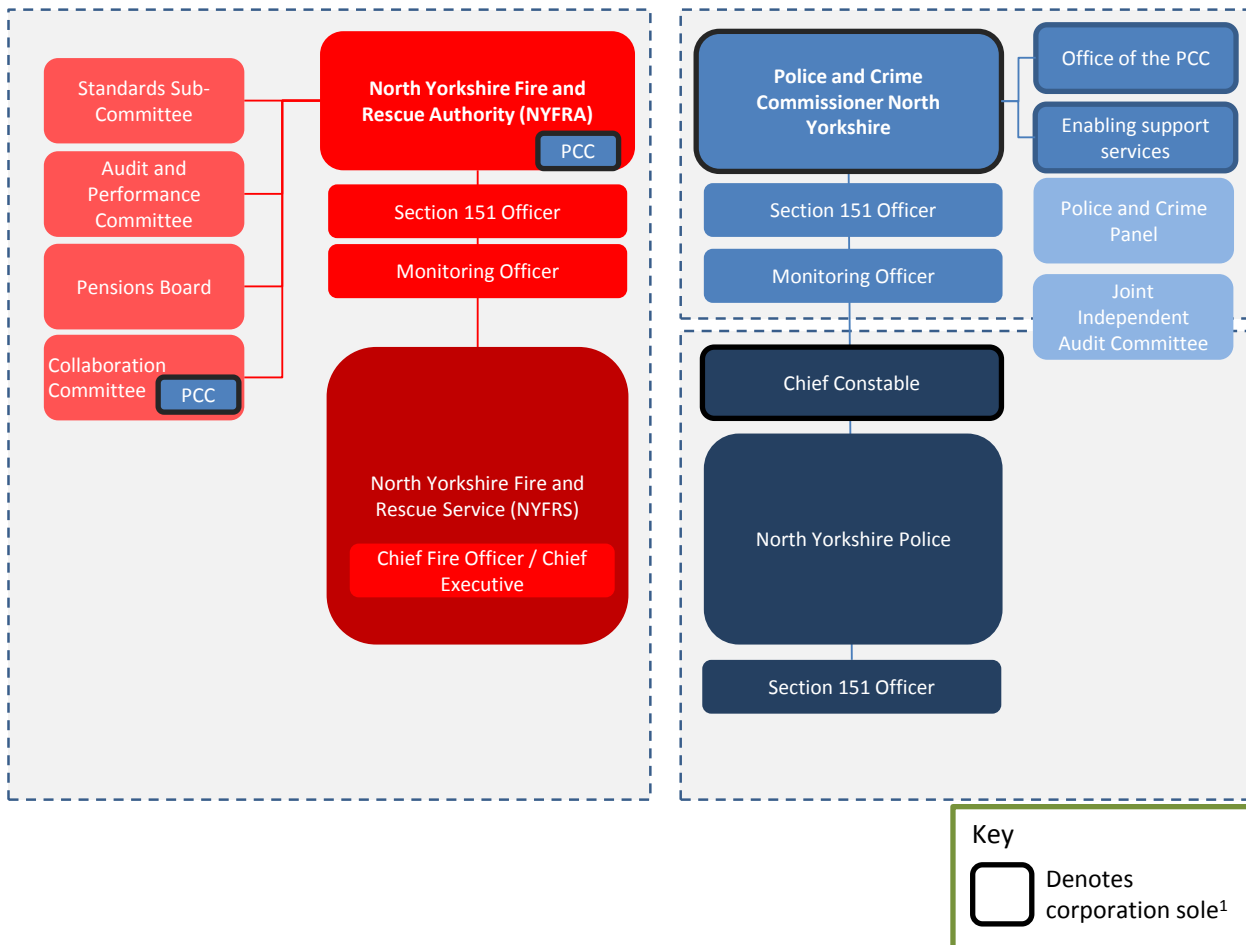
¹¹⁷ It should be noted that this LBC does not seek to make a statement on public safety in relation to the degree to which collaboration or governance will directly impact on it. Therefore we will not make an assessment against CSF1 and CSF2. We will make an assessment of the degree to which deliverability and risk could impact on public safety on each option.

4.3 Representation model

4.3.1 Description of option

This option uses the powers set out in the Act to allow the PCC to be represented on the Fire and Rescue Authority or any of its committees with full voting rights, subject to agreement of the Fire and Rescue Authority. The PCC will also be represented on the newly-created Collaboration Committee of the NYFRA. The Home Office has recently indicated that a short period of public consultation will be required to give effect to the powers in the Act as far as they apply to Combined Fire and Rescue Authorities.¹¹⁸

Figure 10: Representation model – PCC is represented on the FRA (or its committees) in their police area with full voting rights, subject to the consent of the FRA



4.3.2 Implications of the change

This section describes the implications of the change and the assumptions which have been made in this LBC for this option.

Table 19: Implications of the change

Theme	Implication
Overarching	<ul style="list-style-type: none"> The PCC will sit on the FRA and be a voting member, with one vote, in addition to the existing membership.

¹¹⁸ Letter from Home Office to Fire and Rescue Authorities, April 2017

Theme	Implication
	<ul style="list-style-type: none"> The change requires agreement from NYFRA and a review of the existing members of the FRA to ensure that the political balance remains. There would be scope under this option to create an integrated fire and police plan and risk strategies, and a single commissioning approach. This option does not preclude moving to Governance model at a later date, should it prove to be insufficient to drive collaboration at the required pace and/or to achieve wider benefits.
Staffing, assets and liabilities	<ul style="list-style-type: none"> There would be no direct impact on staffing, asset and liabilities; there would be no changes to roles or resources as a direct consequence of the governance arrangements, except for additional responsibilities for the PCC. There may be a need for a small amount of additional capacity in the OPCC to help the PCC with the new commitments (see below). Under this option, it is possible that there would be scope for: <ul style="list-style-type: none"> A shared Section 151 and Monitoring Officer role across the FRA and PCC, subject to consultation. Shared fire/police governance support. An integrated fire and police plan and risk strategies, and single commissioning approach. Some shared enabling support functions.
Governance and approval	<ul style="list-style-type: none"> No formal public consultation is required to implement this option. Requires amendment to Government legislation to enact this option.
Implementation timescales	<ul style="list-style-type: none"> This could be delivered as soon as the legislation is in place, and therefore we assume could take place from September 2017. This will need to be kept under review.
Direct costs and financial benefits	<ul style="list-style-type: none"> There will be some additional recurrent costs associated with the additional workload for the Office of the PCC (we have assumed 0.5 FTE of a Policy and Scrutiny Officer, at a cost of ~£17k per annum). There will be no direct governance savings.
Indirect costs and financial benefits	<ul style="list-style-type: none"> Of the possible 8 pipeline estates schemes, it is assumed that all schemes could take place, however that 4 schemes start one year later than could be possible, and 2 schemes start 2 years later than could be possible. It is assumed that a shared HQ would also be implemented, assuming that ongoing discussions result in this outcome. It is assumed that marginal benefits might be achieved through shared services, equivalent to several joint posts or purchasing arrangements to 0.5% of in-scope expenditure, or £70k per annum. This would be an extension of current arrangements e.g. a shared transport manager has already been in place last year.

4.3.3 Assessment against each criterion

CSF 1: Accelerates scale, pace and effectiveness of collaboration

Test: The governance option can accelerate and enable more effective collaboration and deliver tangible public safety and vulnerability prevention benefits to reduce harm, improve resilience and effectiveness, and increase value for money

This option would enable continuation of planned collaboration and ensure that the PCC has a formal opportunity to influence the shaping and improvement of future collaboration opportunities that come formally before the NYFRA or the Collaboration Committee. The PCC would also have a formal (albeit limited) role in approving future strategies and budgets for NYFRS, which might help to reduce the risk of inappropriately non-aligned strategies. PCC representation could also bring additional external scrutiny or additional weight to collaboration discussions. The Collaboration Committee will bring additional time and scrutiny in considering local collaboration. It may also simplify interactions for other partners. This is the option currently preferred by the Fire and Rescue Authority.

Based on discussions with stakeholders, analysis of the collaboration priorities identified during this work, and the evidence base set out in the Strategic Case on the role of governance in enabling effective collaboration, it is assessed that this model would support delivery of aspects of the collaboration agenda between fire and police, which are likely to bring long term qualitative and quantitative benefits. Under this option, many of the priority opportunities for collaboration as identified in Table 14, could be achieved in line with the current direction of travel, but only if both the PCC and NYFRA agree on objectives and priorities. Those opportunities which are not yet in flight, such as shared support services functions, are unlikely to take place. As described above, it would be possible to create shared support roles between police and fire under this model (as under any governance option). However, as the strategic case showed, previous discussions on these types of options in North Yorkshire have not led to change, and they are inherently more complex to achieve through multiple governance routes.

Figure 11: Degree of potential collaboration change under Representation

Early intervention and prevention	Joint commissioning of specific interventions to target a specific community need: <ul style="list-style-type: none"> Extended road safety prevention
Effective joint response	Opportunities to improve joint response for specific targeted interventions and where there are response synergies: <ul style="list-style-type: none"> Joint forced entry service
Shared support	Opportunities for shared enabling service functions where there are efficiencies to be gained, with an early emphasis on: <ul style="list-style-type: none"> Joint transport and logistics assets and teams Shared estates - HQ and operational Joint procurement

As evidenced in the Strategic Case, studies have consistently shown that delivery of collaboration is inherently more challenging in a multi-governance model, and the PCC would not be able to exert significant formal influence in this model. Similarly, the Chief Constable will not have a formal role on this committee (and the PCC cannot represent the Chief Constable). In addition, it is unlikely to accelerate collaboration significantly as proposals would continue to need to go through separate police and fire governance structures, as the Collaboration Committee only has formal decision-making rights for fire and rescue. Similarly, collaboration opportunities with health partners would also continue to require multiple governance bodies to sign-off.

The Representation model would also make development and delivery of the more strategic vision set out in Table 14 more challenging. Development of single commissioned services, innovative delivery models and integrated estates would be challenging under a fragmented governance model and also higher risk to sustain as they would remain dependent upon continuing joint support for the changes.

The difference in practice therefore between the 'Do Nothing' model and this option is difficult to discern, and more ambitious, transformational opportunities that move beyond collaboration and closer to shared functions are likely to continue to be more difficult or slower to achieve in this model.

Figure 12 shows the assessment against the CSFs as described in the Strategic Case. This looks at the tests agreed, and reviews the degree to which benefits from collaboration could be accelerated through this option.

Figure 12: Assessment against CSF 1

		Likelihood of additional benefits to the status quo (low / medium / high)					
		Early intervention and prevention	Estates integration	Shared support services	Health collaboration	Other wider collaboration opportunities	Overall assessment
FRA representation	Improves public safety and prevents vulnerability						M
	Brings efficiencies and resilience						L

Key

- High
- Medium
- Low

CSF 2: Brings benefits in terms of transparency and accountability

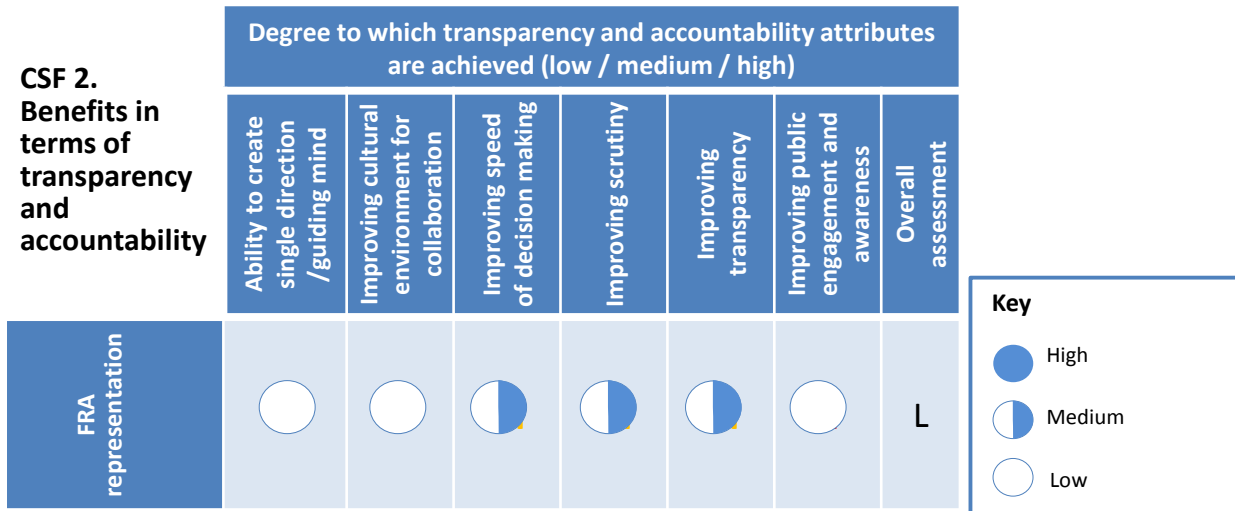
Test: The governance option can improve transparency, accountability, visibility, and consistency of decision-making for the public, stakeholders and NYP and/or NYFRS

The formal mechanisms of transparency and accountability of the FRA will remain the same as today under this option, in line with CIPFA’s Framework for Delivering Good Governance in Local Government and meeting external audit requirements. The new Collaboration Committee is also in place, which may bring some additional independent scrutiny to decision-making, and could make some difference to the pace of decision-making on collaboration matters. In addition, the PCC would be able to contribute formally on fire matters, bringing additional outside scrutiny.

The Chair of the Fire Authority at the time of the beginning of this process indicated in interview that he thought the FRA did not meet frequently enough, and wished to increase the frequency of meetings through the Collaboration Committee that could accelerate decision-making, and also improve aspects of scrutiny. It is also possible that the PCC’s presence on the NYFRA could act as a catalyst to introduce the types of proactive public engagement the PCC has undertaken in policing. However, changes in NYFRA leadership as a result of the recent local elections, and the fact that no formal proposals have yet been made at the NYFRA, mean that this has not been assessed as probable at this stage.

Figure 13 shows the assessment against the transparency and accountability CSF 2, of the additional benefits that the Representation model could bring, broken down by particular governance attributes. The option is assessed as low because it does not bring a material change to the status quo position on the governance attributes below.

Figure 13: Assessment against CSF 2



CSF 3: Is deliverable

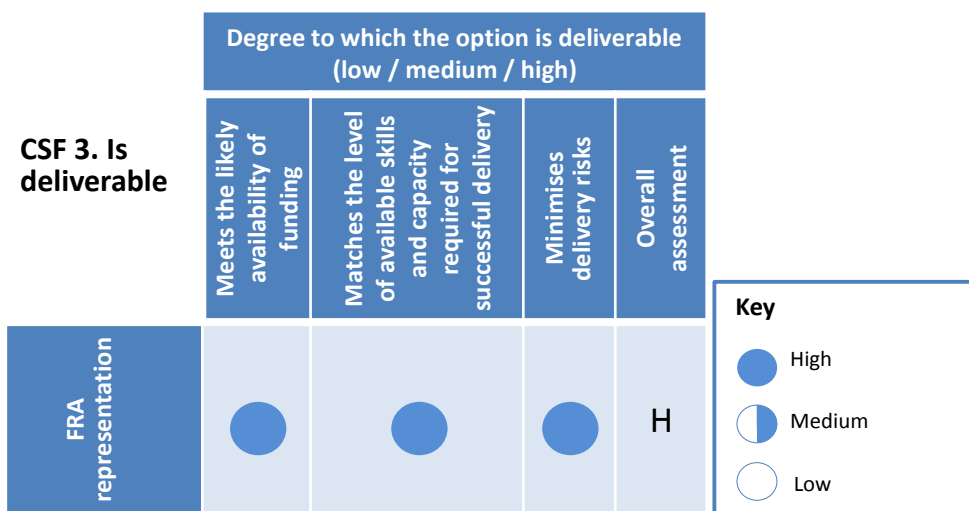
Test: The governance option can be implemented successfully in terms of meeting the likely availability of funding, matching the level of available skills and capacity required for successful delivery and minimising delivery risks

Implementation of this option would be straightforward and quick with no HR or commercial implications, although it requires the Government to enact the relevant parts of the legislation. There would be no formal consultation requirements. Therefore, no one-off project costs to implement the change have been assumed.

PCC representation would bring an increased workload for the OPCC, and therefore it is assumed that a small amount of additional resource would be required as part of the change. There would be no overall governance savings under this option as existing mechanisms for the NYFRA and PCC would continue.

This option is currently supported by the existing NYFRA and so would be easy to implement. It could also be a stepping stone to Governance or the Single Employer model in the future.

Figure 14: Assessment against CSF 3



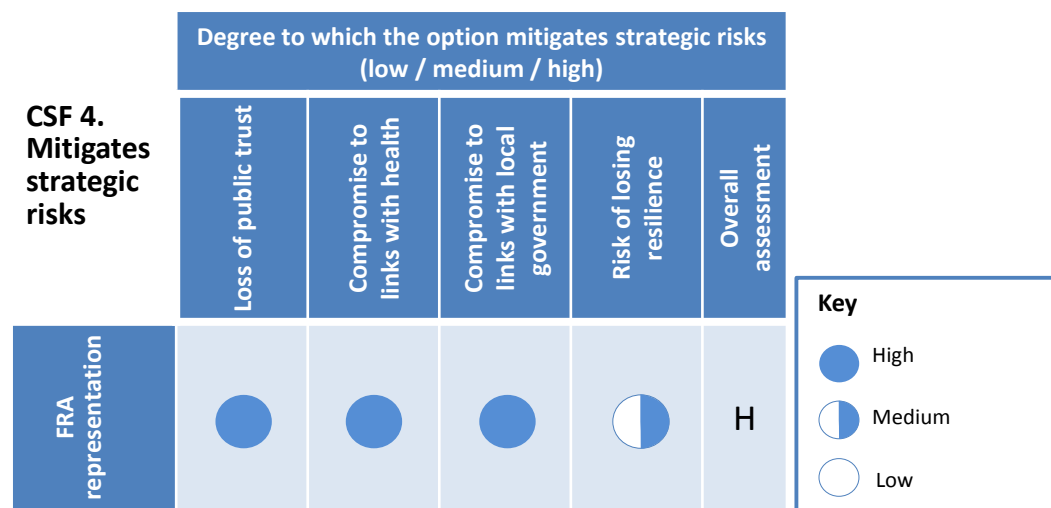
CSF 4: Mitigates strategic risks

Test: The governance option can mitigate strategic risks with the option, including the loss of public trust, compromise to links with health, compromise to links with local government and risk of losing resilience

Under this option, the risk arising from concerns over the different roles of police and fire, and potential impact on public trust, are unlikely to materialise, as the role of the PCC in fire governance will be limited and one voice among many. As with the Do Nothing model, the presence of the PCC on the Collaboration Committee presents an opportunity for improved and some simplified engagement with other partners. Links to health partners and local authorities will be maintained through existing structures. There will be some opportunities to ensure a joined up and simplified governance between police and fire to health partners and the perceived risk that fire priorities will move away from health collaboration is low.

In addition, closer alignment between fire and police should bring greater resilience to both services, however residual resilience risk is likely to remain and the ability of police and fire to meet operational and financial challenges is likely to be harder to achieve without the drive for deeper and faster collaboration.

Figure 15: Assessment against CSF 4



4.3.4 Economic assessment

Table 20 below represents the net change versus baseline costs as a result of a change in governance. Costs are shown as negative and savings are shown as positive in Table 20.

This option would achieve benefits of £1.6m over a 10 year period and an NPV of £1.3m.

Table 20: Representation model – economic assessment (£k)

Year	0	1	2	3	4	5	6	7	8	9	Total
Financial year	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26	2026/27	
Implementation costs - recurrent	(9)	(17)	(17)	(17)	(17)	(17)	(17)	(17)	(17)	(17)	(162)
Implementation costs - one-off specialist support	-	-	-	-	-	-	-	-	-	-	-
Direct governance benefit	-	-	-	-	-	-	-	-	-	-	-
Shared estates	-	(280)	50	(30)	200	220	220	210	290	290	1,170
Shared senior management posts	-	-	-	-	-	-	-	-	-	-	-

Year	0	1	2	3	4	5	6	7	8	9	Total
Shared enabled support services	-	70	70	70	70	70	70	70	70	70	630
Total	(9)	(227)	103	23	253	273	273	263	343	343	1,639
Total – direct	(9)	(17)	(17)	(17)	(17)	(17)	(17)	(17)	(17)	(17)	(162)
Total - indirect	-	(210)	120	40	270	290	290	280	360	360	1,800
NPV											1,280

4.3.5 Summary assessment of this option

The Representation model has been assessed above against the CSFs agreed in Section 3.4. A summary is shown below. In addition, we have developed an assessment against the tests in the Policing and Crime Act 2017 tests, based on the definition in Section 3.4.

Table 21: Summary qualitative assessment against CSFs and statutory tests

Critical success factors			Statutory tests	
Critical success factor	Economy / efficiency / Effectiveness	Economy / efficiency / Effectiveness	Economy / efficiency / effectiveness	Public safety ¹¹⁹
Accelerates scale, pace and effectiveness of collaboration	The governance option can accelerate and enable more effective collaboration and deliver tangible public safety and vulnerability prevention benefits to reduce harm, improve resilience and effectiveness, and increase value for money	L	✓✓	N/A
Brings benefits in terms of transparency and accountability	The governance option can improve transparency, accountability, visibility, and consistency of decision-making for the public, stakeholders and NYP and/or NYFRS	L	✓	N/A
Is deliverable	The governance option can be implemented successfully	H	N/A	✓✓
Mitigates strategic risks	The governance option can mitigate strategic risks	H	✓✓	✓✓
Net present value (£)		£1.3m	N/A	

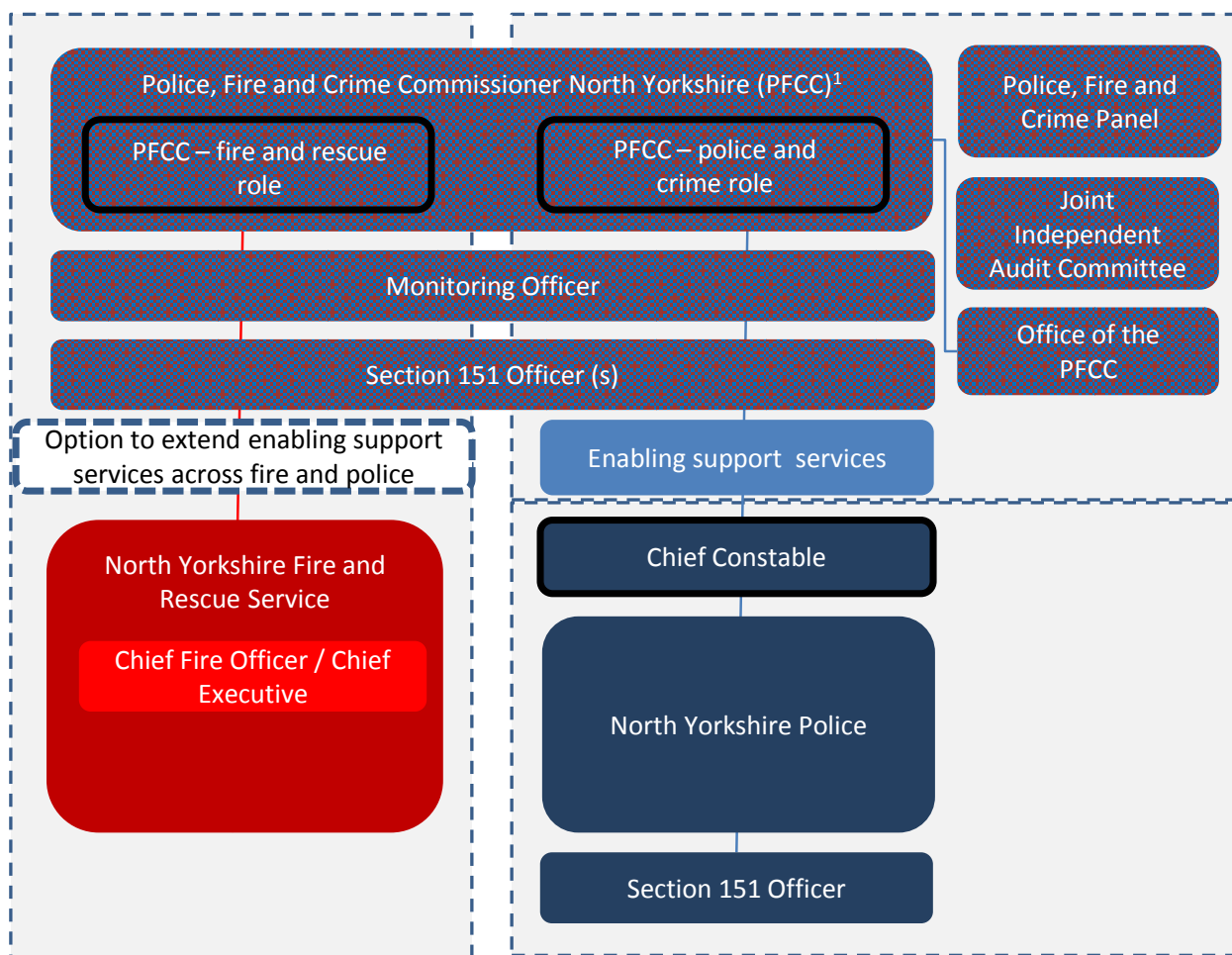
¹¹⁹ It should be noted that this LBC does not seek to make a statement on public safety in relation to the degree to which collaboration or governance will directly impact on it. Therefore we will not make an assessment against CSF1 and CSF2. We will make an assessment of the degree to which deliverability and risk could impact on public safety on each option.

4.4 Governance model

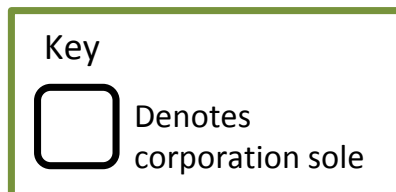
4.4.1 Description of option

This option uses the powers set out in the Act to allow the PCC to take on the role of the Fire and Rescue Authority (FRA). Under this option, known in the Act as the “Governance model”, the FRA will be abolished and its functions transferred to the Police, Fire and Crime Commissioner (PFCC). There will technically still be three legal entities as the PFCC is two corporations sole: the PFCC conducting PCC functions; the PFCC conducting Fire and Rescue Authority functions, employing fire staff; and the Chief Constable. NYFRS and NYP will continue to have their own Chief Officers. The PFCC would have governance responsibility for both NYFRS and NYP.

Figure 16: Governance model – PCC takes on responsibility for the fire and rescue service; individual services retain their operational independence, their Chief Fire Officer and Chief Constable, and their own staff



Notes: 1. The PFCC has 2 corporations sole – one in the PCC role and one in the FRA role.



4.4.2 Implications of the change

This section describes the implications of the change and the assumptions which have been made in this LBC for this option.

Table 22: Implications of the change

Theme	Implication
Overarching	<ul style="list-style-type: none"> • The PCC would become the Police Fire and Crime Commissioner (PFCC) and the employer of all fire and rescue staff, and holder of assets and contracts. The Chief Fire Officer will continue to have operational responsibility and day-to-day responsibility for the leadership of NYFRS. The Chief Constable will also continue to employ staff in line with current arrangements. The distinction between operational policing and fire-fighting will be maintained, with the law preventing a full-time police officer from being a fire-fighter. • The PCC continues to be both a corporation sole for policing and crime and a separate corporation sole for the FRA functions. Operation of governance of fire would however be changed to resemble the PCC model in policing, with more frequent meetings and no committees • The Office of the PFCC would need to be expanded and restructured to take on the role of governance of NYFRS and enhanced collaboration. • Following hand-over, the members of NYFRA will step down from their role and governance support arrangements will transfer to the Office of the PFCC. • The Police, Fire and Crime Panel will continue to provide oversight of the PCC including with the additional remit. The PCP has estimated that this would increase costs, although it is assumed in this business case that any reasonable additional costs (if agreed) continue to be grant funded by the Home Office (this assumption has not been confirmed formally by the Home Office yet). • Under this option, there is an assumption that over time, it is likely that there would be: <ul style="list-style-type: none"> – A shared Section 151 officer across the FRA and PCC, subject to consultation. – A modified Chief Fire Officer / Chief Executive role to maintain the fire aspect to the role and merge aspects of the corporate support role with current enabling support services provided by the Chief Executive and Monitoring Officer of the PCC for NYP. – Shared fire/police governance support (while recognising the different governance models between police and fire given the separate statutory role of the Chief Constable). – An integrated fire and police plan and risk strategies, and single commissioning approach.
Staffing, assets and liabilities	<ul style="list-style-type: none"> • The PCC would need to carry out a detailed review of the contracts, assets, liabilities, etc. of NYFRA prior to transfer and there would need to be a transfer of contracts, assets and liabilities to the new entity. Initial legal advice suggests that this should be relatively straightforward, however formal due diligence would need to take place on novation or change control terms that could delay implementation or create complexity. • For NYFRS staff, there would need to be a staff consultation process relating to the transfer of their employment, which would take place following Cabinet Office Statement of Practice (COSOP) procedures. • There will be no changes to terms and conditions arising directly from the change in governance.

Theme	Implication
Governance and approval	<ul style="list-style-type: none"> This option requires formal public consultation then scrutiny of a business case (by the Home Office) before approval by the Home Secretary and secondary legislation to enact the change. The degree of scrutiny will depend upon the level of local support there is for change.
Implementation timescales	<ul style="list-style-type: none"> Based on current advice and guidance, it is assumed that this option can be implemented within one year of going out to consultation i.e. April 2018 based on current plans.
Direct costs and financial benefits	<ul style="list-style-type: none"> There will be some additional recurrent costs associated with the additional workload for the Office of the PCC (estimated as 1 FTE of a Policy and Scrutiny Officer) and additional costs of taking on FRA governance responsibilities at an estimated cost of ~£64k per annum. There will be one-off requirements for specialist implementation resources (e.g. project management, consultation advice and potential additional audit costs), estimated to cost ~£121k. There will be a reduction in expenditure of direct fire governance costs of ~£100k pa, based on no requirement for member direct costs, training or committee services.
Indirect costs and financial benefits	<ul style="list-style-type: none"> Of the possible 8 pipeline estates schemes, it is assumed that a joint estate would be achieved for all schemes in the 10 year period, in the timescales set out by stakeholders as possible. It is assumed that a shared HQ would also be implemented. It is assumed that it would be possible to combine some senior management roles across fire and police particularly around corporate roles. There is also an assumption that there would be a shared Section 151 Officer between NYFRA and PCC and that the Monitoring Officer role would be covered by the PCC's CEO. It is assumed that these changes might achieve benefits of £250k recurrently. Any changes would be phased in line with existing staff retirements or natural attrition and would be subject to consultation. It is assumed that benefits might be achieved through shared services, equivalent to a number of joint posts or purchasing arrangements to 4% of in-scope expenditure, or £550k per annum. This is based on the assumption that a number of shared posts could be achieved across services, subject to consultation, based on analysis of existing structures.

4.4.3 Assessment against each criterion

The assessment of this option is described below.

CSF 1: Accelerates scale, pace and effectiveness of collaboration

Test: The governance option can accelerate and enable more effective collaboration and deliver tangible public safety and vulnerability prevention benefits to reduce harm, improve resilience and effectiveness, and increase value for money

This option would enable collaboration of a different scale than has been possible previously, with the ability to align priorities and budgets and share resources more easily. Under this option, the PCC would be able to move closer towards her transformational vision by delivering a fire / police whole system approach to prevention and early intervention. These could be supported by a more strategic approach to use of data and intelligence to inform the commissioning of services. Wider integration of control room and enabling support

services (due to some police enabling services being managed by the Chief Executive of the OPCC) would also be more possible, although this would represent a significant change and incur implementation costs. This may, in future include a range of delivery options, including further review of a new delivery model such as a third entity, as described earlier in the Strategic Case. A separate business case would be required to assess the case for such a change. This option will bring benefits in terms of resilience, flexibility in access to resources, thus making it easier to deliver front line services such as joint response and early intervention and prevention. In delivering collaboration, the PCC could act as a driver of change and transformation. Over the longer term, staff teams working together over time would also be likely to collaborate more, bringing more benefits and impacting on cultural barriers.

Figure 17: Degree of collaboration change possible under Governance model

Early intervention and prevention	Whole-system fire and police preventative service model across targeted communities
Effective joint response	Wider service and system integration for control rooms
Shared support	Wider shared support / enabling services, where applicable e.g. joint IT systems. Also, shared learning and development
Aligned strategic commissioning	Integrated data and intelligence to support integrated strategic planning and response across communities

Under this option, it is also more likely that the opportunities to create shared governance roles across fire and police will be taken promptly, and the PCC would move to create streamlined governance structure which operates at the speed of the required activity and aligns with the model adopted in policing. With a single decision-maker it is also more likely that over time opportunities will be seized to create shared support roles where there is a good business or cost reason to do so.

It is also considered, based on the evidence provided in the Strategic Case about how single governance can accelerate decision-making, that the pace of collaboration is more likely to increase. A single decision maker will ensure that there is aligned political will and ambition.

A single governance approach could also simplify collaboration arrangements with other partners, such as health and local authorities, reducing duplication and enhancing the ability of both services to collaborate more effectively and efficiently. It would reduce the number of decision makers needed in discussions and be able to join up discussions across the services. Initial engagement with health partners has indicated that this is anticipated by partners already.

Figure 18 shows the assessment against the CSFs as described in the Strategic Case. This looks at the tests agreed, and reviews the degree to which benefits from collaboration could be accelerated through this option.

Figure 18: Assessment against CSF 1

		Likelihood of additional benefits to the status quo (low / medium / high)					
		Early intervention and prevention	Estates integration	Shared support services	Health collaboration	Other wider collaboration opportunities	Overall assessment
Transfer of functions (Governance)	Improves public safety and prevents vulnerability	High	High	Medium	High	Medium	H
	Brings efficiencies and resilience	High	High	Medium	Medium	Medium	M

Key

- High
- Medium
- Low

CSF 2: Brings benefits in terms of transparency and accountability

Test: The governance option can improve transparency, accountability, visibility, and consistency of decision-making for the public, stakeholders and NYP and/or NYFRS

This option could also enable the changes that the PCC model has brought to policing to apply to fire and rescue services. There would be increased public engagement through a directly elected PFCC who would put in place similar accountability and engagement arrangements for fire as exist currently for police. This can contribute to the increased effectiveness of emergency services to understand and meet public expectations. It would mean:

- Direct and joined-up access to PFCC through police and fire public surgeries (FRA matters are discussed currently at local NYCC Area Committee meetings), making it easier for the public to raise concerns.
- Easier access to public meetings (PCC’s Corporate Performance, Delivery and Scrutiny is live streamed and questions can be posed on social media such as Twitter live whereas the public can attend or pose questions in advance to the FRA).
- Independent technical resources within an OPFCC who would provide additional capacity and capability to provide effective independent scrutiny and challenge to decision-making, although this would incur additional costs.
- Speed of decision making is likely to increase as PCC formal governance is more frequent than the NYFRA with weekly and monthly decision-making meetings.
- It is likely to raise the public profile of fire governance, as the PCC role has been shown to raise the profile of police governance. There would be a single, democratically accountable person responsible for fire governance, with a clear port of call for people to contact and a visible public presence.

Figure 19 shows the assessment against the transparency and accountability CSF, broken down by particular governance attributes. The option is assessed as medium because it will bring a material change to the status quo position on the governance attributes below.

Figure 19: Assessment against CSF 2

CSF 2. Benefits in terms of transparency and accountability	Degree to which transparency and accountability attributes are achieved (low / medium / high)						
	Ability to create single direction /guiding mind	Improving cultural environment for collaboration	Improving speed of decision making	Improving scrutiny	Improving transparency	Improving public engagement and awareness	Overall assessment
Transfer of functions (Governance)							M

Key

- High
- Medium
- Low

CSF 3: Is deliverable

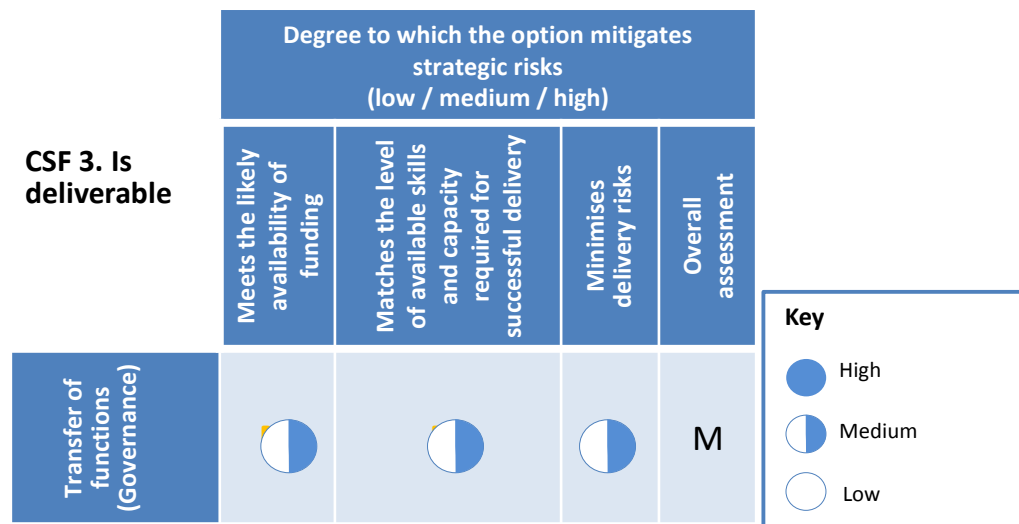
Test: The governance option can be implemented successfully in terms of meeting the likely availability of funding, matching the level of available skills and capacity required for successful delivery and minimising delivery risks

This option represents a transformational change, versus the limited change in the Representation model. Formal public consultation and secondary legislation would be required to enact the change, and staff consultation will be required to engage on, and manage the change, including engagement with representative bodies.

There will be additional costs – a one-off implementation cost and ongoing costs. There will be an ongoing requirement for additional support to the OPFCC as part of the OPCC, to ensure that the PFCC can sustainably increase her remit. The Police and Crime Panel has indicated that it is also likely to need additional funding for the additional remit. It is assumed currently that this will be funded by the Home Office as part of existing arrangements (if agreed), but no formal guidance has been received on this matter to date. In addition, there will be one-off requirements for specialist implementation resources (e.g. project management and consultation advice). Implementation challenges can be expected, due to transfer of staff, assets, contracts and liabilities to the new PFCC entity, although this is relatively low risk as there will be no changes to terms and conditions arising from the change of governance. There is also a risk that the complexity of novating PFI contracts to the new OPFCC could result in delay and additional cost, although an initial review of the contract suggests that this is low risk.

The Governance model could be a stepping stone to Single Employer but it is not possible to revert to the Representation model after this option has been implemented unless there is subsequent primary legislation.

Figure 20: Assessment against CSF 3



CSF 4: Mitigates strategic risks

Test: The governance option can mitigate strategic risks with the option, including the loss of public trust, compromise to links with health, compromise to links with local government and risk of losing resilience

Closer integration and strategic joint commissioning of early intervention, prevention and response activities across fire and police, will present a greater opportunity for the police and other public sector partners to further benefit from the strong fire identity. It should also bring faster access to a greater number of resources, thus bringing further resilience.

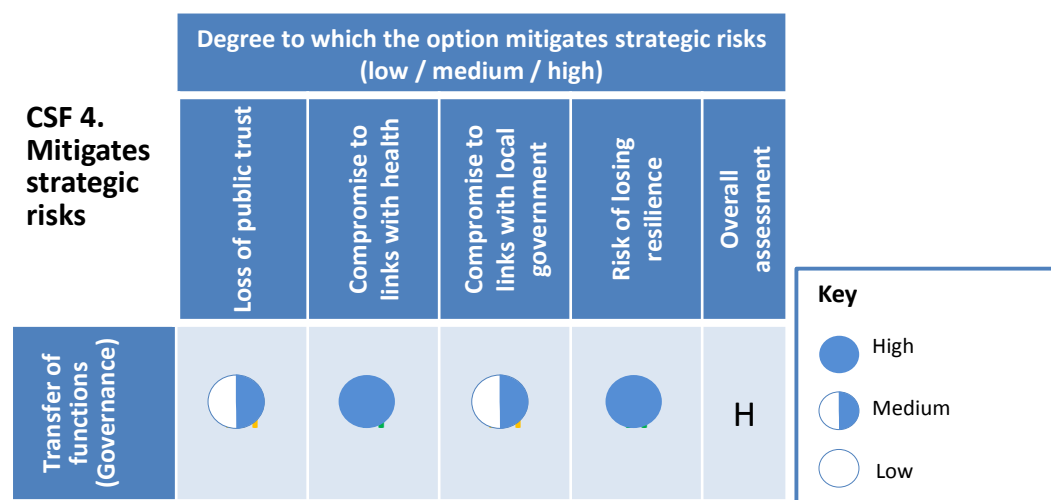
Conversely, where fire are taking on more responsibilities as part of integrated services, there is a risk that activities are perceived to be involved in law enforcement and therefore there may be a risk of loss of trust – this risk would need to be measured on an individual collaboration business case basis, as there is no evidence yet from elsewhere that this is the case. While there may be a risk for fully integrated operational roles, public consultation in other areas has indicated that shared governance is not a public concern (see Section 3.2.3).

There is unlikely to be an impact on existing fire and police partnerships with other agencies and all collaboration opportunities would be subject to a detailed business case which would need to consider this risk. Conversely, closer fire and police governance may strengthen partnerships with other agencies or make it easier to engage with fire and police, particularly around place-based early intervention and prevention. Also, it may present new opportunities for partners, for example around the estate.

However, there is a long term risk that strategic commissioning becomes more geared towards achievement of police objectives than fire and that local authority links, currently enabled by the role of councillors in the governance of fire and access to local authority resources, will be damaged. The PCC will need to put appropriate resource into maintaining links with local government (City of York, County and Districts). If this could be done in a joined up way, so that police and fire issues are considered together, it could improve emergency services links overall. A publicly-elected Police, Fire and Crime Commissioner would have a mind to the overall public need and the outcomes that should be delivered, incorporating both services at the same time. From a community safety outcomes approach they would be able to approach such discussions with a mind to how the two services can provide a response rather than thinking about each separate organisation.

There is also a risk that there is a perceived lack of separation and therefore lack of challenge between police and fire, particularly when it comes to allocation of cost. The PCC would need to put robust controls and independent scrutiny of the cost allocations in place.

Figure 21: Assessment against CSF 4



4.4.4 Economic assessment

Table 23 represents the net change versus baseline costs as a result of a change in governance. Costs are shown as negative and savings are shown as positive in Table 23.

This option would achieve benefits of £8m over a 10 year period and an NPV of £6.6m.

Table 23: Governance model – economic assessment (£k)

Year	0	1	2	3	4	5	6	7	8	9	Total
Financial year	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26	2026/27	
Implementation costs - recurrent	-	(64)	(64)	(64)	(64)	(64)	(64)	(64)	(64)	(64)	(576)
Implementation costs - one-off specialist support	(60)	(60)	-	-	-	-	-	-	-	-	(121)
Direct governance benefit	-	100	100	100	100	100	100	100	100	100	900
Shared estates	-	(280)	(30)	70	220	270	210	290	290	290	1,330
Shared senior management posts	-	25	50	250	250	250	250	250	250	250	1,825
Shared enabled support services	-	350	450	550	550	550	550	550	550	550	4,650
Total	(60)	71	506	906	1,056	1,106	1,046	1,126	1,126	1,126	8,009
Total – direct	(60)	(24)	36	36	36	36	36	36	36	36	204
Total - indirect	-	95	470	870	1,020	1,070	1,010	1,090	1,090	1,090	7,805
NPV											6.6

4.4.5 Summary assessment of this option

The Governance model has been assessed above against the CSFs agreed in Section 3.4. A summary is shown below. In addition, we have developed an assessment against the tests in the Policing and Crime Act 2017 tests, based on the definition in Section 3.4.

Table 24: Summary qualitative assessment against CSFs and statutory tests

Critical success factors			Statutory tests	
Critical success factor	Economy / efficiency / Effectiveness	Economy / efficiency / Effectiveness	Economy / efficiency / effectiveness	Public safety ¹²⁰
Accelerates scale, pace and effectiveness of collaboration	The governance option can accelerate and enable more effective collaboration and deliver tangible public safety and vulnerability prevention benefits to reduce harm, improve resilience and effectiveness, and increase value for money	H	✓✓	N/A
Brings benefits in terms of transparency and accountability	The governance option can improve transparency, accountability, visibility, and consistency of decision-making for the public, stakeholders and NYP and/or NYFRS	M	✓✓	N/A
Is deliverable	The governance option can be implemented successfully	M	N/A	✓✓
Mitigates strategic risks	The governance option can mitigate strategic risks	H	✓✓	✓✓
Net present value (£)		£6.6m	N/A	

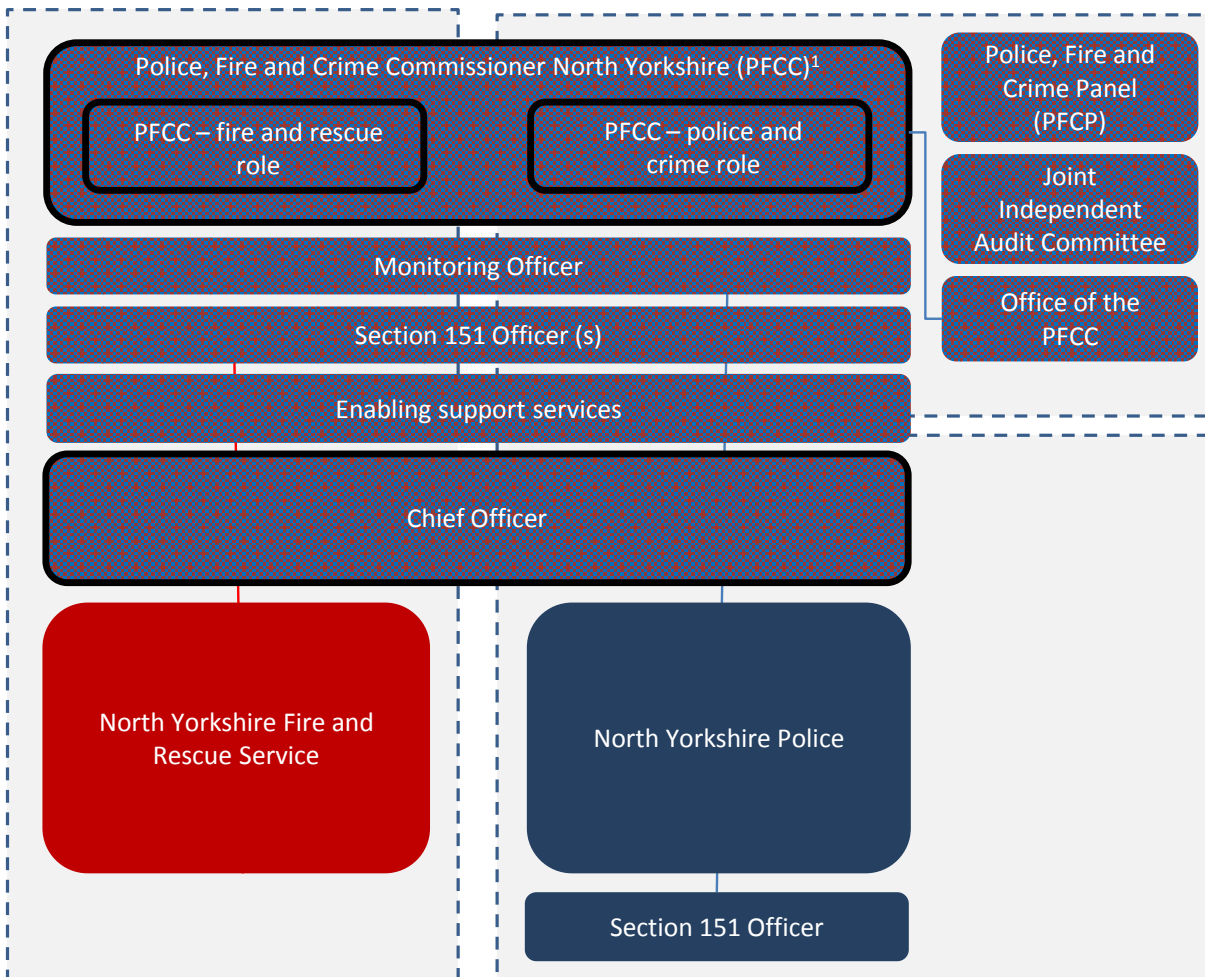
¹²⁰ It should be noted that this LBC does not seek to make a statement on public safety in relation to the degree to which collaboration or governance will directly impact on it. Therefore we will not make an assessment against CSF1 and CSF2. We will make an assessment of the degree to which deliverability and risk could impact on public safety on each option.

4.5 Single Employer model

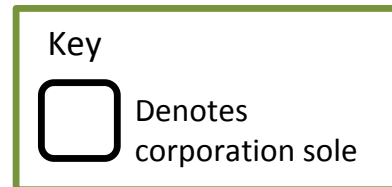
4.5.1 Description of option

Under this option, the PCC takes on the role of NYFRA and creates a Single Employer for both police and fire personnel under a single Chief Officer. The PCC becomes the Police Fire and Crime Commissioner (PFCC).

Figure 22: Single Employer model – fire functions are delegated to a single Chief Officer for policing and fire; services remain operationally distinct



Notes: 1. The PFCC has 2 corporations sole – one in the PCC role and one in the FRA role.



4.5.2 Implications of the change

This section describes the implications of the change and the assumptions which have been made in this LBC for this option.

Table 25: Implications of the change

Theme	Implication
Overarching	<ul style="list-style-type: none"> • The PCC would become the Police Fire and Crime Commissioner (PFCC) • A Chief Officer would be appointed as head of both NYFRS as well as NYP, employing both fire and police personnel. The PCC continues to be a corporation sole and a separate corporation sole would exist for the FRA functions. • There will continue to be two separate precepts and funding streams for fire and policing. Budgets need to be accounted for separately, however there is flexibility to pool funds. • The Office of the PFCC would need to be expanded and restructured to take on the role of scrutiny of NYFRS and enhanced collaboration. • The Police, Fire and Crime Panel will continue to provide oversight of the PCC including with the additional remit. The PCP has estimated that this would increase costs (as per the Governance model). • Following hand-over, members of NYFRA will step down from their role. Governance support arrangements will transfer to the Office of the PFCC. • The Integrated Risk Management Plan would be integrated across two emergency services.
Staffing, assets and liabilities	<ul style="list-style-type: none"> • The Chief Officer would appoint a senior fire officer to lead fire operations and a deputy chief constable to lead police operations, under their command. The distinction between operational policing and fire-fighting will be maintained, with the law preventing one person being both full-time police officer and fire-fighter remaining in place. However, as now, fire fighters can become specials or PCSOs. • There is scope to share the Section 151 and Monitoring Officer roles, subject to consultation. Wider shared roles and greater sharing of support services are a possibility, subject to consultation. • All fire personnel would transfer under CoSOP arrangement (this could be a one or two-step process) and there could be harmonisation of terms and conditions over time in some areas. • Under this model, the PCC would need to decide if she intended to make changes to terms and conditions, which are likely to be required in order to gain the full benefits and also mitigate risks of pay inequality. Any complexity would lead to a longer and more risky staff transfer process than under the Governance model, which could delay delivery of benefits. The risk of industrial action is considered high. This would lead to wider disruption, including a risk to public safety, delays to other changes and increases in costs. • Transfer of staff to the single Chief Officer is considered to be legally complex but achievable. • There would be an option to transfer contracts, assets and liabilities from the former Fire and Rescue Authority to the Chief Officer or to the new Fire and Rescue Authority entity. • Further work would also be needed on how complaints and professional standards would be managed under a Single Employer. Current arrangements differ significantly between police and fire. Fire would be subject to Police codes on disciplinary matters. There is likely to receive a high degree of interest from staff and unions on how this would operate.

Theme	Implication
Governance and approval	<ul style="list-style-type: none"> As with the Governance model, this option requires formal public consultation then scrutiny of a business case by the Home Office before approval by the Home Secretary and secondary legislation to enact the change. The degree of scrutiny will depend upon the level of local support there is for change. Once approval for this option is given, the PFCC could take on the role of the Fire and Rescue Authority and establish a single employer. It is likely that this would take place as a two-step process, with the Governance model being the first stage. If the PCC does not implement the Single Employer model within a short period of time (a year or less) advice is that this would require additional consultation and a further local business case, as well as enabling secondary legislation.
Implementation timescales	<ul style="list-style-type: none"> It is estimated that delivery of this option would take at least six months and potentially twelve months longer than the Governance model due to the potential impact on staff making consultation more complex, appointment of the single chief and deputies and any other required organisational restructuring to enable the Single Employer model to take effect.
Direct costs and financial benefits	<ul style="list-style-type: none"> There will be some additional recurrent costs associated with the additional workload for the Office of the PCC (we have assumed 1 FTE of a Policy and Scrutiny Officer) and additional costs of taking on FRA governance responsibilities at an estimated cost of ~£64k per annum. There will be one-off requirements for specialist implementation resources (e.g. programme and project management, consultation advice, professional HR and legal advice and potential additional audit costs), estimated to cost ~£390k. There will be a reduction in expenditure of direct fire governance costs of ~£100k pa, based on no requirement for member direct costs, training or committee services.
Indirect costs and financial benefits	<ul style="list-style-type: none"> Of the possible 8 pipeline estates schemes, it is assumed that a joint estate would be achieved for all schemes in the 10 year period, in the timescales set out by stakeholders as possible (starting the estates programme once this option is implemented, in 2019/20). It is assumed that a shared HQ would also be implemented. It is assumed that it would be possible to combine some senior management roles across fire and police particularly around corporate roles. There is also an assumption that there would be a shared Section 151 Officer between NYFRA and PCC and that the Monitoring Officer role would be covered by the PCC's CEO. These changes might achieve benefits of £390k recurrently. Any changes would be phased in line with existing staff retirements or natural attrition and subject to consultation. It is assumed that benefits might be achieved through shared services, equivalent to a number of joint posts or purchasing arrangements to 5% of in-scope expenditure, or £690k per annum. This is based on the assumption that a number of shared posts could be achieved across services, subject to consultation, based on analysis of existing structures.

4.5.3 Assessment against each criterion

CSF 1: Accelerates scale, pace and effectiveness of collaboration

Test: The governance option can accelerate and enable more effective collaboration and deliver tangible public safety and vulnerability prevention benefits to reduce harm, improve resilience and effectiveness, and increase value for money

This option would enable transformational collaboration of a different scale than previously possible, with the ability to align budgets and share resources more easily. It drives the single point of accountability and decision-making down a further level, to the Chief Officer, which is likely to increase the scope for increased sharing of fire and police roles, and also simplify decision-making even further. Under this option the PCC would be able to move closer towards her vision of community policing by delivering a fire / police whole system approach to prevention and early intervention. These could be supported by a more strategic approach to use of data and intelligence to inform the commissioning of services. Wider integration of control room and enabling support services (owing to some police enabling services being managed by the Chief Executive of the OPCC) would also be more possible. This may, in future include a range of delivery options, including further review of a new delivery model such as a third entity, as described earlier in the Strategic Case. However, this would represent a significant change and incur implementation costs. This will likely be a deeper level of integration over time, than under the Governance model.

This will bring benefits in terms of resilience, flexibility in access to resources, thus making it easier to deliver front line services such as joint response and early intervention and prevention. In delivering collaboration, the PCC and Chief Officer could act as drivers of change and transformation. However, maintaining two separate precepts may inhibit the level of collaboration that can be achieved to meet the PCC's vision of a truly integrated preventative service.

Figure 23: Degree of collaboration change under Single Employer

Early intervention and prevention	Whole-system fire and police preventative service model across targeted communities
Effective joint response	Wider service and system integration for control rooms
Shared support	Wider shared support / enabling services, where applicable e.g. joint IT systems. Also, shared learning and development
Aligned strategic commissioning	Integrated data and intelligence to support integrated strategic planning and response across communities

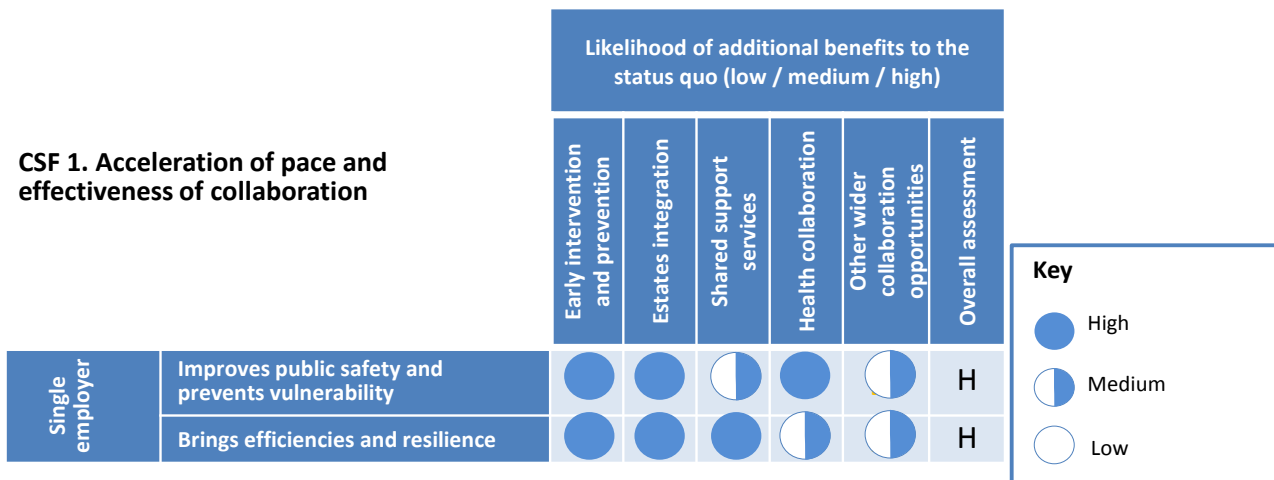
Based on the evidence provided in the Strategic Case about how single governance can accelerate decision-making, it is also considered that the pace of collaboration is more likely to increase. A single decision maker will ensure that there is aligned political will and ambition, supported by a single Chief Officer. Initial engagement with health partners has also indicated that a single governance approach could also simplify collaboration arrangements with other partners, reducing duplication.

A single decision maker will ensure that there is aligned political will and ambition and therefore there should be faster access to additional resource, bringing resilience to both fire and police services.

Over the longer term, staff teams working together over time would be likely to collaborate more, bringing more benefits and impacting on cultural barriers over time.

Figure 24 shows the assessment against the CSFs as described in the Strategic Case. This looks at the tests agreed, and reviews the degree to which benefits from collaboration could be accelerated through this option.

Figure 24: Assessment against CSF 1



CSF 2: Brings benefits in terms of transparency and accountability

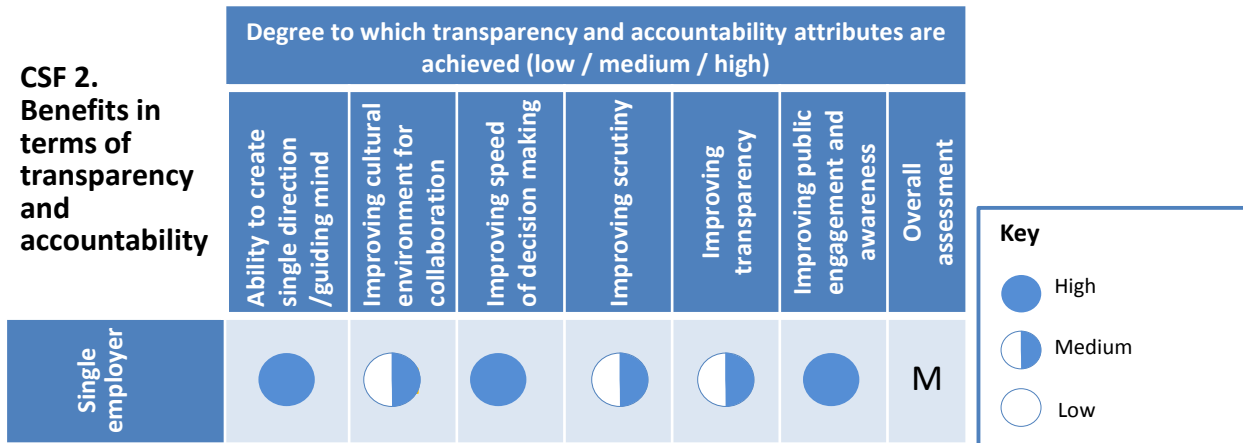
Test: The governance option can improve transparency, accountability, visibility, and consistency of decision-making for the public, stakeholders and NYP and/or NYFRS

There would be no material difference to the Governance model in terms of the operation of the PFCC role, however it is also possible that the existence of a single Chief Officer might also increase visibility. There would be increased public engagement through a directly elected PFCC who would put in place similar accountability arrangements for fire as exist currently for police. This can contribute to the increased effectiveness of emergency services to understand and meet public expectations. It would mean:

- Direct and joined-up access to PFCC and potentially the single Chief Officer through police and fire public surgeries (FRA matters are discussed currently at local NYCC Area Committee meetings), making it easier for the public to raise concerns.
- Easier access to public meetings (PCC's Corporate Performance, Delivery and Scrutiny is live streamed and questions can be posted on social media e.g. Twitter live, whereas the public can attend or pose questions in advance to the FRA).
- Independent technical resources within an OPFCC who would provide the capacity and capability to provide effective independent scrutiny and challenge to decision-making, although this would incur additional costs.
- Speed of decision-making is likely to increase as PCC formal governance is more frequent than the NYFRA with weekly and monthly decision-making meetings and there would only be one Chief Officer to engage with.
- It is likely to raise the public profile of fire governance, as the PCC role has been shown to raise the profile of police governance. There would be a single person responsible for fire and police governance, as well as for fire and police operational delivery, with a clear port of call for people to contact and a visible public presence.

Figure 25 shows the assessment against the transparency and accountability CSF, broken down by particular governance attributes. The option is assessed as medium because it will bring a material change to the status quo position on the governance attributes below.

Figure 25: Assessment against CSF 2



CSF 3: Is deliverable

Test: The governance option can be implemented successfully in terms of meeting the likely availability of funding, matching the level of available skills and capacity required for successful delivery and minimising delivery risks

This option represents a much greater change than the other options. As per the Governance model, a formal public consultation and secondary legislation would be required to enact the change, and staff consultation will be required to engage on, and manage the change, including engagement with unions and staff associations. The implementation would be complex, with two stages, first a move to the Governance model, and as a second phase the Single Employer model. This would bring with it complexities in implementation, including greater risk of industrial action. The fire unions, in particular the FBU, have highlighted in public documents that they do not agree with the Single Employer model. Staff may also see this as a significant upheaval at a time of other major change in both organisations. Should this translate into industrial action, it presents public safety risks.

There will be additional costs – a one-off implementation cost and ongoing costs. There will be an ongoing requirement for additional support to the OPFCC as part of the OPCC, to ensure that the PFCC can sustainably increase her remit. The Police and Crime Panel is also likely to need additional funding for the additional remit. There will also be one-off requirements for specialist implementation resources (e.g. programme and project management, consultation advice, professional HR and legal advice and additional audit costs).

Also the joint Chief Officer role will need the appropriate experience and skillset to have operational accountability for both fire and policing operations. This is untested at this stage as it has not been done in the UK before.

Figure 26: Assessment against CSF 3

		Degree to which the option is deliverable (low / medium / high)			
		Meets the likely availability of funding	Matches the level of available skills and capacity and required for successful delivery	Minimises delivery risks	Overall assessment
CSF 3. Is deliverable	Single employer				L

Key

- High
- Medium
- Low

CSF 4: Mitigates strategic risks

Test: The governance option can mitigate strategic risks with the option, including the loss of public trust, compromise to links with health, compromise to links with local government and risk of losing resilience

In line with the Governance model, closer integration and strategic joint commissioning of early intervention, prevention and response activities across fire and police, will present a greater opportunity for the police and other public sector partners to further benefit from the strong fire identity. It should also bring faster access to a greater number of resources, thus bringing further resilience.

Conversely, where fire are taking on more responsibilities as part of integrated services, there is a risk that activities are perceived to be involved in law enforcement and therefore there may be a risk of loss of trust – this risk would be greater under the Single Employer model than the Governance model (as described in the Strategic Case, similar roles have been abandoned in some parts of the US because of these concerns). This is because the same Chief Officer would cover both police and fire.

There is unlikely to be an impact on existing fire and police partnerships with other agencies and all collaboration opportunities would be subject to a detailed business case which would need to consider this risk. Conversely, closer fire and police governance may strengthen partnerships with other agencies or make it easier to engage with fire and police, particularly around place-based early intervention and prevention. Also, it may present new opportunities for partners, for example around planning the estate.

However, there is a long term risk that strategic commissioning becomes more geared towards achievement of police objectives than fire. Also, the PCC will need to put appropriate resource into maintaining links with Local Government (City of York, County and Districts). If this could be done in a joined up way, it would improve emergency services links overall.

If there is any integration of governance roles in the future as part of this option e.g. the Monitoring Officer or Section 151 Officer role, there is a risk of conflict of interests and appropriate governance processes would need to put in place to ensure separation of FRA and PCC roles within a single FTE.

Figure 27: Assessment against CSF 4

		Degree to which the option mitigates strategic risks (low / medium / high)				
		Loss of public trust	Compromise to links with health	Compromise to links with local government	Risk of losing resilience	Overall assessment
CSF 4. Mitigates strategic risks						
Single employer						L

Key

- High
- Medium
- Low

4.5.4 Economic assessment

Table 26 represents the net change versus baseline costs as a result of a change in governance. Costs are shown as negative and savings are shown as positive in Table 26.

This option would achieve benefits of £9.2m over a 10 year period and an NPV of £7.5m.

Table 26: Single Employer model – economic assessment (£k)

Year	0	1	2	3	4	5	6	7	8	9	Total
Financial year	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26	2026/27	
Implementation costs - recurrent	-	-	(64)	(64)	(64)	(64)	(64)	(64)	(64)	(64)	(512)
Implementation costs - one-off specialist support	-	(195)	(195)	-	-	-	-	-	-	-	(389)
Direct governance benefit	-	-	100	100	100	100	100	100	100	100	800
Shared estates	-	-	(280)	(30)	70	220	270	210	290	290	1,040
Shared senior management posts	-	-	50	390	390	390	390	390	390	390	2,780
Shared enabled support services	-	-	690	690	690	690	690	690	690	690	5,520
Total	-	(195)	301	1,086	1,186	1,336	1,386	1,326	1,406	1,406	9,239
Total – direct	-	(195)	(159)	36	36	36	36	36	36	36	(101)
Total - indirect	-	-	460	1,050	1,150	1,300	1,350	1,290	1,370	1,370	9,340
NPV											7,500

4.5.5 Summary assessment of this option

The Single Employer model has been assessed above against the CSFs agreed in Section 3.4. A summary is shown below. In addition, we have developed an assessment against the tests in the Policing and Crime Act 2017 tests, based on the definition in Section 3.4.

Table 27: Summary qualitative assessment against CSFs and statutory tests

Critical success factors			Statutory tests	
Critical success factor	How the test is met	Single Employer (High / medium / low)	Economy / efficiency / effectiveness	Public safety ¹²¹
Accelerates scale, pace and effectiveness of collaboration	The governance option can accelerate and enable more effective collaboration and deliver tangible public safety and vulnerability prevention benefits to reduce harm, improve resilience and effectiveness, and increase value for money	H	✓✓✓	N/A
Brings benefits in terms of transparency and accountability	The governance option can improve transparency, accountability, visibility, and consistency of decision-making for the public, stakeholders and NYP and/or NYFRS	M	✓✓	N/A
Is deliverable	The governance option can be implemented successfully	L	N/A	✓
Mitigates strategic risks	The governance option can mitigate strategic risks	L	✓	✓
Net present value (£)		£7.5m	N/A	

4.6 Summary appraisal

Table 28 summarises the models from the perspectives of:

- Each of the CSFs, based on the commentary and high level L/M/H assessment;
- The economic appraisal (NPV £m);
- High-level assessment against the statutory tests.

The Governance Model and Representation Model are the options which rated highest against the CSFs, therefore are those most likely to deliver the benefits set out in the Strategic Case. The Do Nothing model does not represent a change, and the Single Employer model represents a number of significant risks and deliverability challenges. Assessment against the statutory tests also rates the Governance model more highly. From an economic point of view, both Governance and Single Employer are expected to bring higher levels of benefit versus other options, however the delivery risks outweigh the financial benefits on the Single Employer model.

¹²¹ It should be noted that this LBC does not seek to make a statement on public safety in relation to the degree to which collaboration or governance will directly impact on it. Therefore we will not make an assessment against CSF1 and CSF2. We will make an assessment of the degree to which deliverability and risk could impact on public safety on each option.

Table 28: Summary of evaluations

Critical success factors		Models			
Critical success factor	How the test is met	Do nothing	Representation	Governance	Single Employer
Accelerates scale, pace and effectiveness of collaboration	The governance option can accelerate and enable more effective collaboration and deliver tangible public safety and vulnerability prevention benefits to reduce harm, improve resilience and effectiveness, and increase value for money	L	L	H	H
Brings benefits in terms of transparency and accountability	The governance option can improve transparency, accountability, visibility, and consistency of decision-making for the public, stakeholders and NYP and/or NYFRS	L	L	M	M
Is deliverable	The governance option can be implemented successfully	H	H	M	L
Mitigates strategic risks	The governance option can mitigate strategic risks	M	H	H	L
CSF summary assessment		L - 2 M - 1 H - 1	L - 2 M - 0 H - 2	L - 0 M - 2 H - 2	L - 2 M - 1 H - 1
Net present value (£)		£0.1m	£1.3m	£6.6m	£7.5m
Assessment against statutory tests		[7] ✓✓ ✓✓ ✓✓ ✓	[9] ✓✓ ✓✓ ✓✓ ✓✓ ✓	[10] ✓✓ ✓✓ ✓✓ ✓✓ ✓✓	[8] ✓✓ ✓✓ ✓✓ ✓✓

A sensitivity analysis has also been carried out on the preferred option, the Governance option, to test whether the quantitative results stated above would change if the costs and quantitative benefits in the appraisal were to change. The following sensitivities were tested:

1. Recurrent implementation costs increase by 100%
2. Only 50% of the direct governance benefit and indirect collaboration benefits are achieved

Sensitivity 1, results in an NPV of £6.1m and therefore does not materially affect the appraisal. Sensitivity 2 results in an NPV of £3.5m which is still higher than the Representation option. In order for the Governance option to bring lower benefits than the Representation option, it would need to achieve less than ~15% of the modelled direct and indirect benefits in this business case. It should be noted that this reflects the quantitative benefits only.

4.7 Preferred model

Based on the assessment in sections 0 to 0 above, the Do Nothing model will continue the current pace and scale of change, furthering collaboration on the current ad hoc, tactical basis, but bringing no delivery or additional strategic risks. Stakeholders through this process have not considered this to be a viable option. Representation will bring some tangible changes, with a new Collaboration Committee, however this is not expected to drive a materially different step change in the level of collaboration and the type of governance employed. It is however low-risk.

The Governance model will bring a material change, with greater likelihood of joint commissioning strategies and greater flexibility in resourcing, bringing with it greater likelihood of achieving financial and non-financial benefits. Although this brings with it some risk, this is not believed to be as great as under the Single Employer model. The Single Employer model could bring greater benefits than the Governance model, however it also brings significant delivery and strategic risk. The Governance model therefore offers most of the benefits of the Single Employer model and at lower risk to implement.

Based on the assessment of the options against the critical success factors and the four tests the preferred option is therefore the Governance model.

In the following sections, we consider the Commercial, Financial and Management Cases for the preferred option.

5 COMMERCIAL CASE

The main commercial implications from adopting the Governance model for NYFRA are relatively straightforward and focus on the transfer of contracts, assets and liabilities from the old FRA to the new FRA, led by the PCC. This transfer will take place through a statutory transfer scheme.

In addition, the disbanding of the current NYFRA will affect existing contractual arrangements with North Yorkshire County Council for the provision of finance services, committee and legal services. The Office of the PFCC will take on these responsibilities, using in-house staff with external support as required, although there may need to be transitional arrangements in place with NYCC.

The Governance model requires NYFRS staff to transfer from the existing FRA as their employer, to the new FRA, led by the PCC, under Cabinet Office Statement of Practice (COSO P).

5.1 Commercial implications

5.1.1 Context

Contracts that support delivery of policing in North Yorkshire are held by the PCC, and contracts associated with delivery of Fire and Rescue Services are held by NYFRA. There will be no change to policing contracts. Existing Fire and Rescue Authority contracts will need to be transferred to the new PFCC.

To give effect to the Governance model, the Policing and Crime Act 2017 gives the Secretary of State the power to make an order which makes the PCC the FRA for the area covered by the order. The order will also provide for the creation of a corporation sole as the FRA. This arrangement is intended to *“preserve the distinct legal identity of the fire and rescue service by creating the PCC-style FRA as a separate corporation sole, rather than transferring the fire and rescue functions to the PCC”*.¹²²

If the Secretary of State makes an order which makes the PCC the FRA for the area covered by the order, she may also make schemes transferring property, rights and liabilities from an existing FRA to the new PCC-style FRA (Section 4C (2) of the Fire and Rescue Services Act 2004, as inserted by paragraph 5 of Schedule 1 to the Act).

Assets and liabilities that can be transferred under a transfer scheme include:

- Property and rights and liabilities which could not otherwise be transferred
- Property acquired, and right and liabilities arising, after the making of the scheme
- Criminal liabilities

References to “property” above include the grant of a lease.

¹²² HM Parliament (2016) [Policing and Crime Bill: Explanatory Notes](#), para 307

5.1.2 Commercial implications for the Governance model

This section outlines the high-level commercial implications of the Governance model.

- There will be a need for further examination of all existing assets, liabilities and contracts held by NYFRA to understand if there are complexities created by the transfer to the new PCC-style FRA, such as restrictions on novation or change control. This can take place in parallel with the public consultation but may increase the timescales and costs of transfer. The initial review of contracts suggest that this is low risk (subject to more detailed assessment of the Easingwold training centre PFI contract).
- As the PFCC takes over the role of NYFRA, this will mean disbanding the current Authority and its sub-committees. The additional scrutiny responsibilities of the PCC will be supported by the OPFCC.
- NYFRA currently purchases support services from third party organisations and these contracts will need to be novated or ended. This includes contracts with NYCC for the provision of finance services, committee and legal services. It is assumed these will transfer to the PCC to begin with.
- The OPFCC will conduct a full review of its structure in order to meet its future requirements. The current expectation is that services will continue to be delivered in-house, with external support (such as legal services) purchased as and when required.

In the longer term, if enabling support services are brought together through collaboration arrangements, some of the supporting contracts may also change. The PCC has retained responsibility for some enabling back office services (estates and logistics, technology, organisation and development and corporate communications). As described in the economic case, there may be the potential in the future to bring additional fire services into these arrangements to achieve further benefits. Further work would be needed to full understand the commercial implications of any change involving enabling services. There will also be commercial and contractual implications of making better use of the joint estate that will need to be understood and implemented depending upon the approach taken.

5.2 Potential staffing implications

Under the Governance model, all fire and rescue staff will transfer from the current NYFRA to the new FRA, led by the PFCC. The transfer will take place via the transfer scheme described in 5.1.1 (because references to 'rights and liabilities' includes rights and liabilities under an employment contract). The transfer will be governed by the Cabinet Office Statement of Practice (COSO P), protecting the terms and conditions of staff.

It will be for the PFCC and its Executive Board to consider whether any specific collaboration projects may require changes to standard terms and conditions – to improve public safety, effectiveness or efficiency – or whether the same result can be achieved by a collaboration agreement between the new FRA and Police with staff working together on different terms and conditions. Any additional changes will be subject to appropriate consultation.

Without standardisation, where staff are doing the same job, there could potentially be claims for breach of trust and confidence or equal pay. Initial legal advice obtained by the Police and Crime Commissioner for Essex suggests that such claims will be unlikely to succeed under the Governance model; however legal advice will need to be obtained for the local situation.

These issues will need to be considered as part of the wider collaboration programme, but under the requirements to consult during the transfer process, it is likely that unions and staff associations will seek assurances on terms and conditions.

5.3 Consultation implications

Under the Policing and Crime Act (2017), the PCC is obliged to consult publicly on any LBC exploring options for changes to the governance of the Fire and Rescue Service. As such, consultation – its scale, length, content and resource requirements – are key issues to consider when making decisions around the

LBC and potential implementation of change. Set out below are some high level consultation implications that will require consideration:

- Transparency – all consultation plans – including the draft LBC are supported by clear communication materials for staff, stakeholders and public;
- Genuine commitment to consult and listen to different voices – using defined and varied communication forums and channels across different platforms – designed to reach different audiences;
- Sufficient resources committed to delivering meaningful consultation – using communications resources across OPCC, Police and Fire – with possible need for additional resources;
- A sufficient consultation period for the public, local authorities and staff to be consulted– as stipulated by the Act;
- Ability to measure and evidence – building into consultation planning the ability to measure – in order to evaluate and evidence depth and breadth of consultation;
- Overall objective – all communications around the LBC (internally and externally) should be geared towards delivering a successful public consultation process which has the confidence of key stakeholders in North Yorkshire.

6 FINANCIAL CASE

This Financial Case shows that the cost of implementing the Governance model is affordable within current budgets. We estimate that the direct costs of implementation will be £121k. These costs will be funded through the OPCC's earmarked reserves, and offset by a saving in operational costs as a direct result of a change to the Governance model of £100k per annum.

6.1 Note about the Financial Case

The figures quoted in the Financial Case differ from those in the Economic Case because they include inflation. Figures in the Economic Case are presented at current prices (excluding inflation). For clarity, both sets of figures are shown here, however those including inflation should be used for the purposes of informing affordability and funding.

Note that VAT is also typically included in the Financial Case, but is not included here as the OPCC can recover VAT.

6.2 Implementation costs of the Governance model

The tables below show the estimated implementation costs. For comparison to the Economic Case, these are shown with and without inflation.

Table 29: Implementation costs and savings (£k, excluding inflation)

Financial year	17/18	18/19	19/20	20/21	21/22	22/23	23/24	24/25	25/26	26/27	Total
Implementation costs - recurrent	-	(64)	(64)	(64)	(64)	(64)	(64)	(64)	(64)	(64)	(576)
Implementation costs - one-off	(60)	(60)	-	-	-	-	-	-	-	-	(121)
Direct benefit - governance	-	100	100	100	100	100	100	100	100	100	900
Total direct implementation costs	(60)	(24)	36	36	36	36	36	36	36	36	204

Table 30: Implementation costs and savings (£k, including inflation)

Financial year	17/18	18/19	19/20	20/21	21/22	22/23	23/24	24/25	25/26	26/27	Total
Implementation costs - recurrent	-	(66)	(68)	(69)	(70)	(72)	(73)	(75)	(76)	(78)	(646)
Implementation costs - one-off	(61)	(62)	-	-	-	-	-	-	-	-	(124)
Direct benefit - governance	-	104	105	108	110	112	114	116	119	121	1,009
Total direct implementation costs	(61)	(25)	38	39	39	40	41	42	43	44	240

All of the implementation costs are expected to be resource costs. Unless the PCC is able to secure Government funding for these costs, they will need to be met from the budgets of each organisation, with the majority likely to fall to the OPCC.

6.3 Impact of enabled net benefits

In addition to the direct costs and benefits outlined above, the indirect benefits from shared estates and shared enabling support services will further improve the financial position. The tables below show the estimated net benefit.

Table 31: Indirect costs and savings (£k, excluding inflation)

Financial year	17/18	18/19	19/20	20/21	21/22	22/23	23/24	24/25	25/26	26/27	Total
Enabled benefit - shared estates	-	(280)	(30)	70	220	270	210	290	290	290	1,330
Enabled benefit - shared senior management posts	-	25	50	250	250	250	250	250	250	250	1,825
Enabled benefit - shared enabled support services	-	350	450	550	550	550	550	550	550	550	4,650
Total benefits (direct and enabled)	-	95	470	870	1,020	1,070	1,010	1,090	1,090	1,090	7,805

Table 32: Indirect costs and savings (£k, including inflation)

Financial year	17/18	18/19	19/20	20/21	21/22	22/23	23/24	24/25	25/26	26/27	Total
Enabled benefit - shared estates	-	(290)	(32)	75	241	302	240	338	344	351	1,570
Enabled benefit - shared senior management posts	-	26	53	269	274	280	285	291	297	303	2,078
Enabled benefit - shared enabled support services	-	363	475	591	603	615	628	640	653	666	5,235
Total benefits (direct and enabled)	-	98	496	935	1,119	1,197	1,153	1,269	1,294	1,320	8,882

6.4 Impact on medium term financial forecasts

The overall impact of the direct and indirect costs and benefits are shown below. As the estimates are high level at this stage, we have not tried to estimate where the costs and benefits would fall. The majority of the costs and benefits would be resource and professional fees, but there would also be capital costs. All collaboration opportunities would be subject to individual business cases.

Table 33: Total direct and indirect costs and benefits (£k, including inflation)

Financial year	17/18	18/19	19/20	20/21	21/22	22/23	23/24	24/25	25/26	26/27	Total
Implementation costs - recurrent	-	(66)	(68)	(69)	(70)	(72)	(73)	(75)	(76)	(78)	(646)
Implementation costs - one-off	(61)	(62)	-	-	-	-	-	-	-	-	(124)
Direct benefit - governance	-	104	105	108	110	112	114	116	119	121	1,009

Enabled benefit - shared estates	-	(290)	(32)	75	241	302	240	338	344	351	1,570
Enabled benefit - shared senior management posts	-	26	53	269	274	280	285	291	297	303	2,078
Enabled benefit - shared enabled support services	-	363	475	591	603	615	628	640	653	666	5,235
Total net benefit (direct and enabled)	(61)	73	534	974	1,158	1,238	1,194	1,311	1,337	1,364	9,122

6.5 Impact on the organisations' financial positions

The Governance model would give the PCC influence over the budget of NYFRA as well as control over assets:

- Total budgets of £169m, based on 2016/17 budgets of £29m for NYFRA and £140m for PCC
- Total long term property, plant and equipment assets of £80m¹²³, £38m of which are for NYFRA and £42m for PCC

Applying inflation to these 2016/17 figures, the total annual expenditure that could be controlled by the PFCC would be of the order of £175m in 2018/19:

Table 34: Summary forecasts for the organisations (£m including inflation)

Financial year	2018/19
NYFRA gross expenditure	30
PCC gross expenditure	145
Total expenditure potentially overseen by PFCC	175

More detailed work would be required on aspects of the financial case before submission of a business case to the Home Office. These include consideration of any pension issues, impact on budgets of each organisation and any changes to shared staff roles.

¹²³ Based on 15/16 Accounts

7 MANAGEMENT CASE

The Management Case describes the arrangements and plan for managing implementation of the Governance model, including the governance arrangements, plans, stakeholder, risk and benefits management arrangements and an equalities impact assessment.

7.1 Governance and project management arrangements

The implementation of the governance changes will be led by the CEO of the OPCC who will manage the change process internally. However, it may be necessary to commission specialist professional advice during the consultation process. Project teams will also need to be established in NYP and NYFRS and a formal project governance structure established to oversee the implementation, including alignment with other transformation activity.

There will need to be some recruitment activity within the OPCC to enable the PCC to exercise new responsibilities.

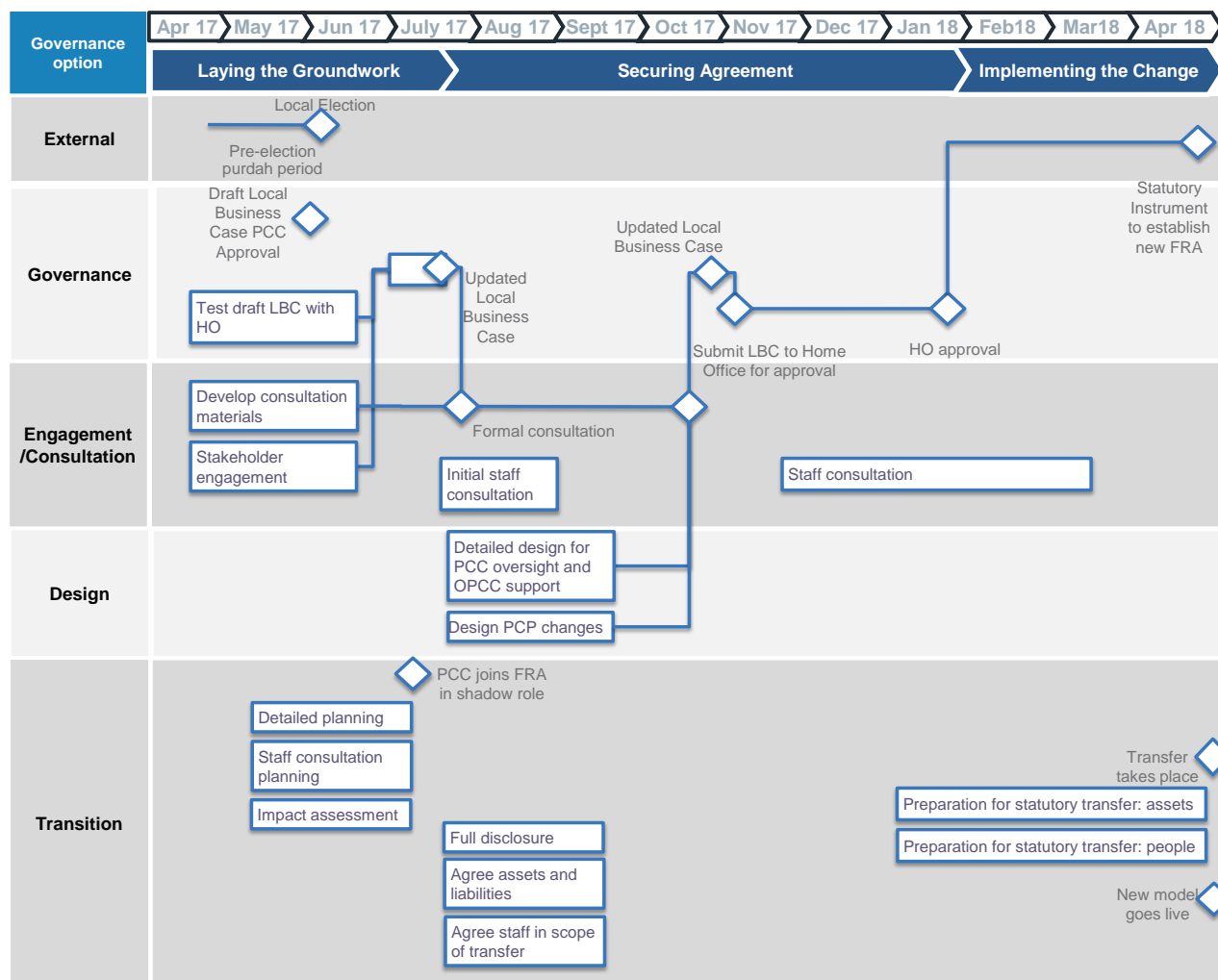
Prior to implementation a detailed design of the PFCC oversight structure for fire and rescue will need to be developed and agreed with the representative bodies, to ensure the equivalent level of access to people and data continues, and they are able to fully represent their members. Assurances in relation to the protection of terms and conditions upon transfer may also need to be made by the PCC.

7.2 Implementation plan

Figure 28 shows the likely timescales for implementation of the Governance model of approximately 10 months. However, this estimate is based on gaining local agreement to the change.

Without local agreement, independent scrutiny of the business case would be required. In these circumstances, we estimate that it may take a further three months to implement this option. However, given the need to align changes with budgetary cycles, it is likely to delay implementation to October 2018, a delay of six months.

Figure 28: Governance model high level implementation plan (with local agreement)



This plan is based on the following assumptions:

- The PCC will engage with NYFRA through the second quarter of 2017 on the emerging proposals alongside the further development of proposals and plan, including consultation documents, in order to be ready for formal consultation at the earliest opportunity.
- Satisfactory informal feedback from the HO is received following the general election purdah period post 9 June 2017.
- The PCC will go out to consultation, with staff, the local authorities, other stakeholders and members of the public across North Yorkshire. The consultation period will be 10 weeks.
- Following the completion of the consultation period and appropriate consideration of the feedback received, a revised business case will be submitted to the Home Office for the Home Secretary's consideration and requested approval.
- Home Office consideration of the LBC will take three months.
- Implementation of the Governance model will require the creation of a new Fire and Rescue Authority by statutory instrument. The Policing and Crime Act 2017 gives the Secretary of State the power to make an order which makes the PCC the FRA for the area covered by the order. The order will also provide "for the creation of a corporation sole" as the FRA for the area specified in the order (see new Section 4A of the Fire and Rescue Services Act 2004, as proposed to be inserted by paragraph 5 of Schedule 1 to the Bill). Finalisation of the Order may take two to three months.
- A statutory transfer scheme will be required to move staff, contracts and assets to the new FRA. We have assumed a staff consultation process of three months.

- For clarity of accounting, implementation of the governance changes should take place either at the start of the financial year (April) or the half year point (October). The former would be easier but the latter is feasible.
- Based on current assumptions the earliest target implementation date for the new governance arrangements is April 2018.

On transfer, work will begin to realise the ideas set out in this business case.

- A Police, Fire and Crime Plan will be developed that would set out how efficiency and effectiveness could be improved in order to protect frontline services.
- Business cases, including staff and union consultations, would be developed for community safety and prevention services and to create a third entity to provide enabling services to NYP and NYFRS.
- The estates strategies of both organisations would be reviewed to develop a single 'community safety estate' strategy that would seek to bring in other partners as well.
- Data analysis and the implementation of data sharing structures would be put in place to strengthen collaborative working.
- A change review would be initiated to start discussions around the future senior management structure of NYFRS to identify where efficiencies might be made, though this would be implemented through natural attrition.

7.3 Stakeholder engagement

Implementation of the changes will rely on ongoing engagement with stakeholders, staff and trade unions. For the proposal to move forward, it will require further engagement with:

- **Local authorities** – formal approval is needed from NYCC and City of York for the proposals to be submitted to the Home Secretary without independent scrutiny. There will need to be time built into the consultation for the two Tier One councils to meet formally and decide their position. District Councils will also need to be consulted through the consultation process.
- **NYFRA** – Senior representatives of NYFRA have been consulted during the development of this LBC and continuing engagement will be required during implementation.
- **NYFRS** – Senior representatives of NYFRS have also been consulted during the development of this LBC and additional engagement will be required during implementation, as well as support in helping to manage engagement and communication with FRS staff.
- **Staff** – All staff working for NYFRS/NYFRA will be affected by any change in governance. Whilst some of the knock-on effects may be in perception alone this should not be underestimated and so engagement (and therein consultation) with this key group and representative bodies will be vital.
- **Police and Crime Panel** – discussion will be needed on the extended role and remit of the Police and Crime Panel and how this will work and potentially funded in practice.
- **Home Secretary** – If a decision is taken to proceed with the Governance model, following scrutiny of the LBC by the Home Office, it will be for the Home Secretary to consider and, if appropriate, approve the proposed change and the associated statutory instrument to give effect to the change.
- In addition, the development of more detailed proposals will benefit from a wider range of stakeholder input from the public, county, city and district councils, local members of parliament and other local and regional partners before and during the public consultation exercise.

7.4 Risk management

Proactive risk management will form part of the transition to the Governance model, building on existing risk management arrangements adopted by the OPCC for current transformation activity in NYP. This means:

- Establishing and maintaining a risk log;
- Ensuring that each risk is owned by a named responsible individual;

- Carrying out regular risk reviews and setting target dates for mitigation;
- Providing strategic oversight of risks and mitigation by appropriate governance bodies based on clear thresholds for escalation.

It should be noted that any plans will maintain at a minimum the existing Fire Cover Review and IRMP requirements, and there will be no change to the NYFRS IRMP on transfer.

The following risks are associated with the PCC implementing the Governance model.

Table 35 - Risks and mitigations

Risk	Owner	Mitigation
Senior management distraction during the implementation of changes	OPCC CEO CC and CFO	<ul style="list-style-type: none"> • Appoint appropriate governance to monitor the progress of implementation and balance demands against other priorities.
Requirement to transfer fire staff employment to new Fire and Rescue Authority, via a statutory transfer, causes industrial relations problems	PCC and CFO	<ul style="list-style-type: none"> • Early and ongoing engagement with staff and representative bodies. • Clear messaging that terms and conditions will be protected in the transfer.
That contract provisions, assets or liabilities are not well understood prior to transfer and therefore unforeseen costs arise post-implementation or unexpected delays in implementation occur	OPCC CEO	<ul style="list-style-type: none"> • A phase of due diligence will need to be undertaken during implementation, including detailed review of the PFI contract to ensure that novation clauses and existing commitments are understood
Oversight of fire performance is overshadowed by the requirements of police oversight	OPCC CEO	<ul style="list-style-type: none"> • Design of OPCC arrangements to extend robust oversight to the Fire and Rescue Authority.
Insufficient public scrutiny of the PCC's performance in respect of Fire by the Police and Crime Panel	PCP	<ul style="list-style-type: none"> • Identify the changes that would be required to the remit of the NY Police and Crime Panel, including discussions with the Chair of the Panel, to ensure robust scrutiny of the PCC in relation to Fire.
PCC inherits plans for NYFRS part way through the financial year that have the wrong priorities or are unaffordable	PCC CFO	<ul style="list-style-type: none"> • PCC to seek observer status on NYFRA in advance of the changes to ensure visibility of planning processes.
Costs of change are higher than estimated	OPCC CEO CFO	<ul style="list-style-type: none"> • Costs are tested during the implementation phase and updated prior to submission of the business case to the Home Office

7.5 Benefits management

Implementation of the changes will also need to be underpinned by proactive benefits management arrangements to ensure that the identified benefits are realised – but are challenged robustly to ensure they are real and tangible. At some point during the process they will be subject to external scrutiny and may eventually be scrutinised nationally through, for example, the National Audit Office and Public Accounts Committee. These arrangements will need to be overseen by appropriate governance arrangements which will have regard to the two types of benefit, detailed in the Economic Case above:

- Governance benefits (i.e. those benefits directly associated with improvements in the governance of the Fire and Rescue Service)
- Collaboration benefits (i.e. those benefits that flow from collaboration between the two services, which are enabled and more likely to be realised as a result of the governance changes)

The approach to benefits realisation includes:

- Establishing a benefits register;

- Identifying clear owners with responsibility for benefits realisation;
- Developing common benefits realisation plans;
- Regular review processes and challenge arrangements.

7.6 Equalities impact assessment

The Equalities Impact Assessment (EIA) is concerned with anticipating and identifying the equality consequences of a particular policy/service initiative and ensuring that as far as possible any negative consequences for a particular group or sector of the community are eliminated, minimised or counterbalanced by other measures.

Our initial view is that the proposed governance changes will not affect – directly or indirectly -any particular group or sector of the community differentially. The intention is to increase the level of public visibility and accountability in the governance of the Fire and Rescue Service through the new governance arrangements including the revised operation of the North Yorkshire Police and Crime Panel and the forms of public accountability that are associated with the office of PCC.

However, this point will need to be tested through the public consultation and the PCC will need to use this feedback as evidence to input to an EIA as part of the updated Local Business Case that will be submitted to the Home Office for final approval.

8 APPENDICES

8.1 Governance costs

8.1.1 NYFRA governance costs

Total annual costs of NYFRA's Corporate and Democratic Services is £278k per annum (based on 15/16 data). Direct expenditure is £149k. £127k of the total expenditure is indirect and relates to corporate recharges including the following:

- Finance and payroll (includes the S151 Officer role, the bulk of which is supporting senior management in preparation for papers for FRA)
- HR
- Management
- Overheads
- IAS adjustments

The above corporate recharges are calculated on the basis of staffing numbers and therefore are believed to overstate the true cost of governance. The section below is an NYFRA estimate of delivering governance services for the FRA.

Adjusted 15/16 governance costs

The first table below shows the total direct governance costs. The second below shows an adjustment based on legal services, which includes both legal advisory services to the NYFRA as well as Monitoring Officer costs, and therefore has been adjusted to reflect the Monitoring Officer role only.

Figure 29: NYFRA governance costs

Baseline 2015/16 FA governance costs		Notes
Members direct costs	76,130	Allowances for members
Members training	27	
Bank charges	1,023	
External audit fees	31,927	
Finance SLA	7,210	
Legal Services SLA	11,527	Includes Monitoring Officer role, member related services and general NYFRS legal costs (i.e. those which are not governance related). Monitoring Officer role is charged on an hourly rate for attendance at meetings.
Committee Services SLA	21,488	Support costs in relation to the FA, charged at an hourly rate (includes team, printing etc.)
Total	149,332	

Source: as provided by NYFRS

Adjusted Baseline 2015/16 FA governance costs		Notes
Members direct costs	76,130	
Members training	27	
Bank charges	1,023	
External audit fees	31,927	
Finance SLA	7,210	
Legal Services SLA	1,153	Assumption, based on NYFRA estimates. The majority of this cost is legal expenses for the NYFRS in relation to employment issues. NYFRA has made an assumption that 10% is the Monitoring Officer time spent on NYFRA governance.
Committee Services SLA	21,488	
Total	138,957	

Assumptions based on Representation option

No change to the above adjusted baseline

Assumptions based on Governance (or Transfer of Functions) or Single employer option

2015/16 FA governance costs		Notes
Members direct costs		No member costs as the Fire Authority remit will be part of OPFCC
Members training		No member training as the Fire Authority remit will be part of OPFCC
Bank charges	1,023	
External audit fees	31,927	Still need separate accounts
Finance SLA	7,210	
Legal Services SLA		It is assumed that this role could be subsumed within the PCC Monitoring Officer role
Committee Services SLA		Meetings would no longer exist in current form
Total	40,160	

Governance change benefits (98,797)

8.1.2 OPCC costs

It should be noted that the costs of governance of the NYFRA and PCC are not directly comparable. A significant amount of the FRA's statutory responsibilities are delegated to officers who are authorised to discharge specific functions, whereas the PCC has a small team that manages day to day responsibilities as well as independent scrutiny of the constabulary and the chief constable.

Figure 30: OPCC costs

PCC FOR NORTH YORKSHIRE CORPORATION SOLE (OPCC)		
PRIVATE OFFICE FOR POLICE AND CRIME COMMISSIONER (OPCC)		
PCC Direct Costs		
PCC Salary costs including pension and NI contributions		79,000
PCC Travel and Subsistence e.g. mileage		9,500
PCC Telephony and Comms		400
Deputy PCC Salary costs including pension and NI contributions		52,000
OPCC - Staffing Costs		
Private Office Staffing		300,000
Other staffing costs - Travel		9,000
Other staffing costs - Subsistence		500
Courses and Conferences		4,500
Other staffing costs - Recruitment		5,000
OPCC - Premises and Office Activities		
Running Costs - Office Expenses		9,570
Accommodation - Premises Costs		32,840
Communications and IT Costs		10,000
PCC Private Office Total		512,310
STATUTORY OFFICER FUNCTIONS		
Chief Finance Officer (CFO - M Porter) - Employment & travel costs		50,500
Chief Executive Officer (CEO - J Carter)		145,000
CEO - APCCCE subscription		1,000
CEO - Travel & Subsistence		2,500
CEO - Communication		500
Courses and Conferences		1,000
Miscellaneous incl PATS Subscriptions		3,000
Independent Audit Committee Travelling		1,500
Independent Panel Members		1,500
Custody Visitors		8,500
External Audit		32,430
Internal Audit		34,000
APCC subscription		23,000
Statutory Officer Functions Total		304,430
SERVICES TO THE COMMUNITY		
Community Engagement - Hire of Premises		2,000
Community Engagement - Public Relations incl Web Site		10,000
Community Engagement - Conferences that the PCC organises		2,500
Community Engagement - Public Engagement		75,331
Community Engagement - Community Projects		2,000
Community Engagement - Interpreters for meetings		1,000
CAP - Honoraria		500
CAP - Travel		500
Services to the Community Total		93,831
TOTAL PRIVATE OFFICE FOR POLICE AND CRIME COMMISSIONER (OPCC)		910,571

8.2 NYFRA committee meetings

Table 36: NYFRA Committees

Committee	Meeting Frequency	Terms of Reference
Audit and Performance Review Committee	4 per year	1) To monitor, and report to the Authority on, the performance of the Service against: <ul style="list-style-type: none"> • The standards set by Government, including the National Fire and Rescue Framework and the Authority. • The Authority's Code of Governance in terms of implementation and compliance. 2) To develop and review the Authority's Business Management Framework, incorporating the Risk Management, Performance Management and Project Management frameworks, and to monitor the performance of the Authority against them. 3) To oversee the work of Internal Audit and consider its findings. 4) To oversee the work in respect of improvement planning and the Service's involvement in partnerships. 5) To oversee the work in respect of specific service improvement reviews and associated improvement plans. 6) To approve the final accounts. 7) To consider the External Auditors' Management Letter, Audit Plan and any consequent reports and to report to the Authority on any action it considers necessary to take as a consequence of those issues. 8) To monitor the exercise of delegated powers by officers. 9) To develop and review the Authority Members' development programme. 10) To oversee the production of the Authority's Annual Governance Statement and to make recommendations thereon to the Authority. 11) To ensure effective scrutiny of the Treasury Management Strategy and Policies (as required by the CIPFA Code of Practice on Treasury Management). 12) To carry out the Authority's standards functions, with a sub-committee of the Committee being responsible for standards and standards complaint handling issues.
Standards Sub-Committee	2 per year	1) To be responsible for standards and standards complaint handling issues. 2) To have a role in relation to issues raised by or in relation to persistent and/or vexatious complainants. 3) To grant dispensations to Members and Co-opted Members under the Local Ethical Framework, after consultation with the Independent Person. (Power to grant dispensations has been delegated to the Monitoring Officer, after consultation with the Independent Person, where the timescales are such that a Standards Sub-Committee meeting cannot be convened and where the Monitoring Officer has consulted every available Member of the Standards Sub-Committee, all of whom consent to the granting of the dispensation.)
Pensions Board	1 per year	The purpose of the Board is to assist North Yorkshire Fire and Rescue Authority in its role as a scheme manager of the Fire Fighters Pension Scheme. Such assistance is to: <ol style="list-style-type: none"> a) secure compliance with the Regulations, any other legislation relating to the governance and administration of the Scheme, and requirements imposed by the Pensions Regulator in relation to the Scheme and; b) ensure the effective and efficient governance and administration of the Scheme.
Appeals Committee	Ad hoc	To hear and determine appeals against the decision of officers, where provision exists for appeals to a Member level body, in respect of:- <ol style="list-style-type: none"> a) dismissals; b) individual grievances (Principal Officers only); c) awards under the Firefighters' Pension Scheme.

Committee	Meeting Frequency	Terms of Reference
Appointments Committee	Ad hoc	<ol style="list-style-type: none"> 1) To exercise the functions set out below in respect of the Chief Fire Officer/Chief Executive and his/her Directors. 2) To determine an appropriate recruitment package within existing policies as regards salary, benefits and removal expenses in respect of vacancies in the above posts. 3) To appoint, as necessary, any recruitment consultants in respect of vacancies in the above posts. 4) Where a vacancy occurs in one of the above posts, to:- <ol style="list-style-type: none"> a) interview all applicants who meet the Personal Qualities and Attributes, and National Occupational Standards relevant to the post; or b) select a short-list of suitable applicants and interview those on that list; and (in either case) c) having carried out such interviews, either appoint one of the candidates to the vacancy, or decide not to appoint any of the candidates, but instead to take such further action in relation to the filling of the post as the Committee may determine. 5) To evaluate, from time to time, with the support of the Head of Human Resources as technical adviser, the terms and conditions of the above posts and make necessary changes to them.

8.3 Existing NYFRS and NYP collaboration

8.3.1 Collaboration between NYFRS and NYP

Table 37: NYP and NYFRS collaboration

Collaboration initiative	Partners	Detail
Transport and Logistics - Thirsk	NYP and NYFRS	Co-location of NYP and NYFRS Transport and Logistics functions.
Shared Transport and Logistics Manager	NYP and NYFRS	Shared post across NYP and NYFRS on a fixed term basis. This arrangement was ended by NYFRS on 31/03/17, but as of 15/06/17 discussions have restarted.
Co-location and estates sharing	NYP and NYFRS (possibly YAS)	Co-location of fire and police at Bedale since 2003. Plans in place for co-location of fire and police at Ripon, possibly with the Ambulance Service.
Integrated Community Safety Hub - Scarborough	NYFRS, NYP and other agencies	NYFRS Community Safety Officers, NYP and other agencies work out of the centrally located town hall and as such are able to communicate more effectively with one and other when providing a multi-agency approach to preventative measures and other issues. The success at Scarborough is now being extended into other areas with the creation of hubs in York, Harrogate and Selby.
Driver training – Coxwold House, Easingwold	NYP and NYFRS	Relocation of police driver training to the NYFRS training centre in Easingwold (a PFI site with an adjacent building that has spare capacity).
Procurement	NYFRS and NYP	Joint procurement for some services.

8.3.2 NYFRS collaboration (excluding collaboration with police)

Table 38: NYFRS collaboration excluding NYP

Collaboration initiative	Partners	Detail
Cornwall Control and Mobilising	Cornwall FRS	<ul style="list-style-type: none"> • Cornwall's Control Room receives calls and dispatches resources on behalf North Yorkshire (and vice versa), during busy periods.
Joint Fire Investigation Team	NYFRS, WYFRS, SYFRS, HFRS	<ul style="list-style-type: none"> • The regional fire investigation team comprises officers from each of the constituent fire authorities.
Emergency First Responders	NYFRS and YAS	<ul style="list-style-type: none"> • A pilot scheme designed to provide immediate first aid to people in life-threatening medical emergencies who live in rural communities. Uses a Retained Duty System, or 'on-call firefighters,' who already live and work in outlying areas, being deployed in a first responder capacity to medical emergencies in addition to ambulance crews. The firefighters will be deployed by YAS in the role of an Emergency First Responder to Red category calls, such as cardiac arrest patients, to provide time-critical care.
Financial services	North Yorkshire County Council	<ul style="list-style-type: none"> • SLA with the Council to provides some aspects of Treasury Management (i.e. investment of balances and TM Advisor), provision of the General Ledger and also Insurance advice and claims handling service.
Legal services	North Yorkshire County Council	<ul style="list-style-type: none"> • SLA to provide legal advice and democratic services (Authority secretariat)
Pensions administration (operational staff)	West Yorkshire Pension Fund	<ul style="list-style-type: none"> • SLA
Pensions administration (non-operational staff) and payroll	North Yorkshire County Council	<ul style="list-style-type: none"> • SLA
A joint tender for Property Valuations	NYFRS, HFRS, NYP, SYP, WYP and Humberside Police	<ul style="list-style-type: none"> • Carter Jonas won the contract.
Operational guidance	NYFRS, WYFRS, SYFRS, HFRS	<ul style="list-style-type: none"> • A virtual team developing operational guidance, delivered through the regional FRS meeting structure
Hazardous Materials and Environmental Protection Officers	NYFRS, WYFRS, SYFRS, HFRS	<ul style="list-style-type: none"> • Regional delivery of training and regional response arrangements in place

8.3.3 NYP collaboration (excluding collaboration with police)

Table 39: NYP collaboration excluding NYFRS

Collaboration initiative	Partners	Detail
Dogs Support Unit	Evolve – Cleveland, Durham and NYP	<ul style="list-style-type: none"> • Live as of 1 August 2016
Director of Collaborative Legal Services	Evolve – Cleveland, Durham and NYP	<ul style="list-style-type: none"> • Appointment commences 30 January 2017.
Legal Services Collaboration	Evolve – Cleveland, Durham and NYP	<ul style="list-style-type: none"> • Business case for a shared legal services provision to be developed once Director of Collaborative Legal Services is in post.
Major Investigation Team	Evolve – Cleveland and NYP	<ul style="list-style-type: none"> • Live as of 1 November 2016

Collaboration initiative	Partners	Detail
Substance Misuse Testing Service	Northumbria and NYP	<ul style="list-style-type: none"> Ends April 2018
Procurement	YatH (HP, NYP, SYP, WYP)	<ul style="list-style-type: none"> SYP is the lead force (since 2013)
Scientific Support	YatH (HP, NYP, SYP, WYP)	<ul style="list-style-type: none"> WYP is the lead force
Underwater Search	YatH (HP, NYP, SYP, WYP)	<ul style="list-style-type: none"> In place from September 2012, Humberside is the lead force
Odyssey	YatH (HP, NYP, SYP, WYP)	<ul style="list-style-type: none"> WYP is the lead force. Includes the Regional Organised Crime Unit, Intelligence Unit, Cyber Crime Unit, Protected Persons Unit, Asset Recovery Team and Government Agency Intelligence Unit.
Regional Asset Recovery Team	NE Region (Cleveland, Durham, HP, Northumbria, NYP, SYP, WTP)	<ul style="list-style-type: none"> WYP is the lead force, through Odyssey (above)
Regional Intelligence Unit	YatH (HP, NYP, SYP, WYP)	<ul style="list-style-type: none"> Work commenced December 2015, blueprint for an Early Help Safeguarding and Support hub expected March 2017.
Firearms Training	YatH (HP, NYP, SYP, WYP)	<ul style="list-style-type: none"> SYP is the lead force (since 2013)
Fleet	YatH (HP, NYP, SYP, WYP)	<ul style="list-style-type: none"> Regional Fleet Board
Technical Support Unit Direction and Control	YatH (HP, NYP, SYP, WYP)	<ul style="list-style-type: none"> WYP has direction of control of all resources
Core Capabilities	YatH (HP, NYP, SYP, WYP)	<ul style="list-style-type: none"> WYP is leading on the development of a business case for TSU, UCOL, UCF and OCG Mapping.
Disaster Victim Identification	NE Region (Cleveland, Durham, HP, Northumbria, NYP, SYP, WTP)	<ul style="list-style-type: none"> Regional DVI service, live as of 1 May 2016
CBRN	NE Region (Cleveland, Durham, HP, Northumbria, NYP, SYP, WTP)	<ul style="list-style-type: none"> Regional CBRN response. Go live began in May 2016, due to go live fully alongside national rollout of SOR in 2017.
Forensic Services	NE Region (Cleveland, Durham, HP, Northumbria, NYP, SYP, WTP)	<ul style="list-style-type: none"> Joint contract established November 2015
Special Branch and CT	NE Region (Cleveland, Durham, HP, Northumbria, NYP, SYP, WTP)	<ul style="list-style-type: none"> National review ongoing
National Police Air Service	Cleveland, Durham, NYP, SYP, WYP and NPAS	<ul style="list-style-type: none"> National collaboration in place since July 2015
ESMCP	All forces	<ul style="list-style-type: none"> Airwave replacement system, YatH forces working together to implement during 2017/18.

8.4 Collaboration opportunity assessment – prioritisation matrix

The matrix below shows the relative benefits for each in-scope collaboration opportunity.

Figure 31: Collaboration opportunity assessment

	Implementation start date	Speed of benefit	Scale of financial benefit	Scale of non-financial benefit	Cost of change	Complexity of change	Confidence in opportunity at this stage	Level of delivery risk	Overall
Shared data and intelligence	18/19	Medium term	Low	Medium	Medium	Medium	High	Medium	Yellow
Community Vulnerability Multi-agency Role (Safe and well visits)	18/19	Long term	Medium	High	Medium	High	Low	High	Yellow
Road safety	17/18	Long term	Low	Medium	Low	Low	Medium	Low	Red
Rural intervention	17/18	Long term	Low	Low	Medium	Medium	Low	Low	Red
Control room: opportunities for joint processes and estate	18/19	Medium term	Medium	Medium	High	High	Low	Medium	Yellow
Community Vulnerability Response Role (forced entry)	17/18	Medium term	Medium	Medium	Medium	Medium	Medium	Medium	Yellow
First responder scheme	18/19	Medium term	Low	Medium	Low	Low	Medium	Medium	Yellow
Shared transport and logistics	17/18	Long term	Low	Medium	Medium	Medium	High	Medium	Green
Shared estates	16/17	Long term	High	High	Medium	Medium	High	Medium	Green
Shared learning and development	18/19	Medium term	Low	Medium	Medium	High	Medium	Medium	Yellow
Shared procurement	16/17	Short term	Low	Low	Low	Low	High	Medium	Yellow
Shared corporate functions (sharing HR / IT / Finance teams) ¹	18/19	Short term	Low	Medium	Medium	High	Low	Low	Yellow
Shared corporate functions (sharing Estates functions) ¹	17/18	Short term	Low	Medium	Low	Medium	High	Low	Green
Shared corporate systems (IT) ¹	18/19	Long term	Low	Medium	Medium	High	Low	High	Yellow

Note: subsequent to workshops, some shared services were added as potential areas of focus, which might be possible under a change in governance, but not in the current model

8.5 Financial modelling assumptions – collaboration

8.5.1 Estates assumptions

- Capital investment across 8 different schemes - £2.0m
- Capital receipts from disposals of NYP sites - £1.5m
- Total current NYFRS recurrent expenditure across 8 schemes - £200k per annum
- Total NYP recurrent expenditure across 8 schemes - £350k per annum
- No attempt has been made at this stage to assess the operational benefits or viability of the proposals
- No attempt has been made to assess whether the capital funding is available for the proposals, and borrowing costs have not been included
- Capital costs for alterations / refurbishments are estimates. All figures are rounded
- Capital receipts for disposals for NYP are based on recent market valuations
- All floor areas and space requirements for new buildings and altered buildings are estimated
- Co-location dates are estimated based on NYP estates strategy dates but these currently have no standing in NYFRS
- The team has made an assumption that the projects are technically viable, but no work has been done to actually verify this

8.6 Financial modelling assumptions – governance options

This section describes the financial modelling assumptions for each collaboration opportunity and governance option.

8.6.1 Representation model

Table 40: Representation model assumptions

Type	Cost / benefit	£ (rounded)	Assumption
Recurrent	Governance cost	£17k	0.5 FTE of a Policy and Scrutiny Officer

8.6.2 Governance model

Table 41: Governance model assumptions

Type	Cost / benefit	£ (rounded)	Assumption
Recurrent	Governance benefit	£100k	NYFRA no longer exists and Monitoring Officer role can become part of OPCC Monitoring Officer role

Type	Cost / benefit	£ (rounded)	Assumption
Recurrent	Implementation cost	£34k	1 FTE of a Policy and Scrutiny Officer
Recurrent	Implementation cost	£30k	Additional governance support costs in OPCC
Total recurrent implementation costs		£64k	
One-off	Project manager	£49k	1 FTE, based on NYP pay scales
One-off	Project support	£29k	1 FTE, based on NYP pay scales
One-off	Consultation advice	£25k	An estimate of external support required
One-off	Audit fees	£17.5k	An estimate, if additional accounts are required
Total one-off implementation costs		£121k	

8.6.3 Single Employer model

Table 42: Single Employer model assumptions

Type	Cost / benefit	£ (rounded)	Assumption
Recurrent	Governance benefit	£100k	NYFRA no longer exists and Monitoring Officer role can become part of OPCC Monitoring Officer role
Recurrent	Governance cost	£34k	1 FTE of a Policy and Scrutiny Officer
Recurrent	Governance cost	£30k	Additional governance support costs in OPCC
Total recurrent implementation costs		£64k	
One-off	Programme manager	£126k	1 FTE, based on NYP pay scales, over 2 years

Type	Cost / benefit	£ (rounded)	Assumption
One-off	Project manager	£98k	1 FTE, based on NYP pay scales, over 2 years
One-off	Project support	£58k	1 FTE, based on NYP pay scales, over 2 years
One-off	Consultation advice	£40k	An estimate of external support required for public and staff consultation
One-off	Additional professional advice	£50k	Estimate of HR and legal advice required
One-off	Audit fees	£17.5k	An estimate, if additional accounts are required
Total one-off implementation costs		£390k	

8.6.4 Overarching financial modelling assumptions

Economic case

- The HM Treasury discount rate of 3.5% has been applied to real terms prices to calculate a net present value
- Year 0 start date for NPV calculations starts at April 2017
- All costs are assumed to be flat in real terms

Financial case

For the financial case, costs are uplifted for inflation based on the ONS GDP deflators as at Dec-16:

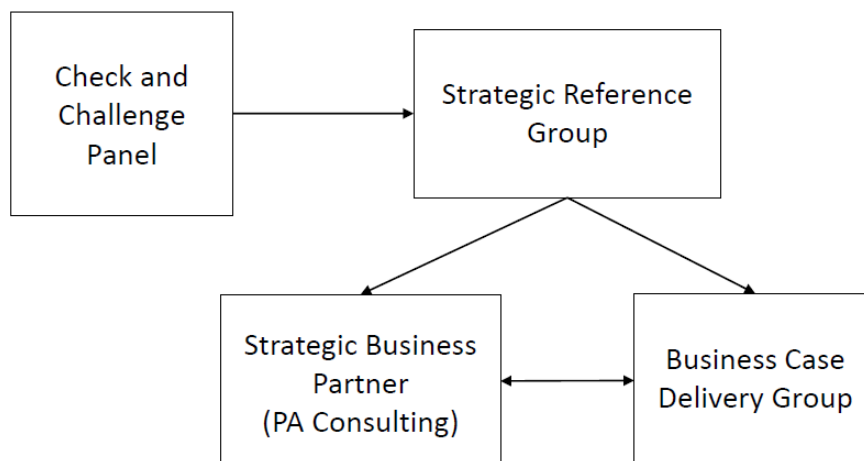
- 2017/18: 1.5%
- 2018/19: 2.1%
- 2019/20: 1.8%
- 2020/21: 1.9%
- 2021/22 onwards: 2.0% (based on inflation target)

<https://www.gov.uk/government/statistics/gdp-deflators-at-market-prices-and-money-gdp-december-2016-quarterly-national-accounts>

8.7 Terms of Reference for Boards

The LBC process has been supported by the following governance structure.

Figure 32: LBC governance structure



8.7.1 Strategic Reference Group terms of reference

- **Membership:** PCC, NYFRA Chair, Leader of North Yorkshire County Council, Leader of CYC, NYP Chief Constable, NYFRS Chief Fire Officer, PCC Monitoring Officer, NYFRA Monitoring Officer, Chief Executive of NYCC, Chief Executive of CYC, PCC Section 151 Officer, NYFRA Section 151 Officer
- **Meets:** Monthly or at presentation of options assessments and local business case.
- **Purpose:** To ensure that the local business case (under the provisions of S.6 Police & Crime Bill 2016) is fully informed, adequately resourced and can make the very best recommendation in the interests of economy, efficiency and effectiveness, and public safety.
- **Aims:**
 - To ensure that the strategic business partner appointed has access to all necessary information to inform the business case
 - To ensure that the business case is developed in compliance with the national guidance on Police and Fire Integration, HM Treasury's 'Green Book' model for public sector business cases and any other emerging best practice
 - To ensure the Business Case Delivery Group co-ordinates the work needed to enable and inform the development of the business case in a timely and efficient manner
 - To help ensure that communications by interested parties on the development and progress of the business case are clear, factual and accurate.
 - To be cognisant of learning emerging from both the Home Office Working Group and the development of other similar business cases being prepared nationally
 - To maintain a close working relationship with the 'Bluelight' Emergency Services Collaboration Working Group and ensure all relevant information is shared
 - To help interested parties identify and mitigate any risks in relation to the development of the business case
 - To consider and respond to recommendations of the Check & Challenge Panel

8.7.2 Check and Challenge Panel terms of reference

- **Membership:** D&DRFRS CFO, T&WFRS CFO, GMFRS Director of Corporate Support, former NYP ACC, WAS Chair, Civil Contingencies Secretariat Deputy Director, NY HMIC, NYFRA Monitoring Officer; PCC Chief of Staff, PCC Monitoring Officer
- **Meets:** Prior to presentation of options assessment reports and local business case.
- **Purpose:** The 'Check and Challenge Panel' will draw on each member's knowledge, skill and experience to advise the Strategic Reference Group.

- **Aims:**
 - Provide expert and objective scrutiny of the project's thinking and findings
 - Act as a critical friend to the Strategic Reference Group by providing insightful and invaluable feedback to help shape the very best business case for the public of North Yorkshire

8.7.3 Business Case Delivery Group terms of reference

- **Membership:** The following individuals or their deputies as appointed on a meeting-by-meeting basis: PCC Chief of Staff, NYP Head of Organisational Development, NYP Partnership Hub Superintendent, NYP Chief Finance Officer, NYFRS Assistant Chief Fire Officer, NYFRS Head of Finance and Administration, NYFRS Head of Risk Management
- **Meets:** Fortnightly
- **Purpose:** To facilitate the development of the local business case with the strategic business partner in response to the provisions made under S.6 Police & Crime Bill 2016, working to the timescales specified.
- **Aims:**
 - To act as points of contacts for the strategic business partner and to facilitate the business partner having access to all necessary information from members respective organisations to ensure the business case is as best informed as possible
 - To act as points of contacts for the individual interested parties and ensure that the appropriate lines of communication are provided to and from each parties respective governance structure
 - To identify with the business partner potential risks and issues
 - To ensure that communications by interested parties on the development and progress of the business case are clear, factual and accurate
 - To use any best practice and learning available from the group members
 - To take into consideration the collaboration opportunities identified by the Emergency Services Collaboration Working Group and other bodies where best practice may be emerging

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**ANNEX B****Proposal for Representation Model****Introduction**

This document sets out the North Yorkshire Fire and Rescue Authority's alternative proposal to that set out in the business case developed by the Police and Crime Commissioner (PCC) for a transfer of governance from the current Authority to the PCC.

Whilst there is no requirement for a formal business case to change the governance arrangements to the Representation Model (whereby the PCC is a voting member of the Fire Authority), it is assumed that people interested in this will also be considering the PCC's business case.

The Authority's alternative proposal, below, sets out the high-level reasons for change (the Strategic Case) and why the North Yorkshire Fire and Rescue Authority is proposing to change to a 'Representation Model' (the Economic Case).

The Authority believes that the proposal to move to the Representation Model is the most appropriate way forward which balances costs, savings, collaboration and public safety in a risk assessed way.

Case for Change

The Fire Authority recognises that there is a case for change in order to drive improvements and the delivery of public services. The recent legislation (Policing and Crime Act 2017) enables certain changes that the Fire Authority would like to take full advantage of in respect of closer working with Police. This will assist progression of collaboration with the Police that has been part of the Authority's plans over the last few years, but has not always been achievable.

However, the Fire Authority's ambition extends further than this and it wishes to move to a model whereby collaboration with all partners, including local authorities and the health sector, as well as with the Police,

North Yorkshire Fire and Rescue Authority has a strong track record of collaborating with partners. At the February Authority meeting, a new collaboration strategy was agreed in order to further drive the pace of



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collaboration. A Collaboration Committee was also established (to include the PCC as one of two voting members and with other partners invited), and this committee oversees the collaboration work.

Collaboration

There are many examples of existing collaboration between NYFRA and a wide range of partners to directly or indirectly improve public safety. These include:

- Shared Transport and Logistics facility with North Yorkshire Police
- Shared virtual Control Room with Cornwall Fire and Rescue Service
- Emergency First Responder scheme with Yorkshire Ambulance Service
- Joint Fire Investigation provision across the regional fire and rescue services
- Community safety partnerships across North Yorkshire and City of York
- 95 Alive with North Yorkshire, City of York, North Yorkshire Police, and other partners
- Service level agreements with NYCC to provide support services
- LIFE courses (youth engagement and diversion) delivered by FRA, funded by local authorities and OPCC

NYFRA is outward facing and is constantly seeking new opportunities for collaborative working. These include:

- Safe and Well visits (home fire safety checks with additional checks around health and well-being related issues) being developed with Clinical Commissioning Groups and local authority Public Health
- Ongoing discussions with health partners around increasing the fire and rescue response to medical emergencies, including cardiac arrests and falls in the home
- Ongoing discussions with health partners and the voluntary sector around fire and rescue delivering health advice
- Driver training co-location with NYP at NYFRA premises
- Opportunities for sharing premises with a wide range of partners.

As can be seen from the above, the collaborations that will deliver the best community outcomes are often with a range of partners. The



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recent focus, nationally, as well as in North Yorkshire and York, has been on the fire and rescue service becoming more involved in the delivery of health initiatives, as there is a growing body of evidence that demonstrates the benefits of this work.

In all respects other than collaboration, the Authority is high performing and has driven forward change.

History of assessments, audit and performance

North Yorkshire Fire and Rescue Authority is consistently high performing, as evidenced by independently external opinion:

- In 2006 in the Comprehensive Performance Assessment (CPA), NYFRA was rated “good” (range = excellent, good, fair, weak or poor).
- In 2007, under a direction of travel assessment, NYFRA was rated as “performing well” (consistently above minimum requirements; range = inadequate performance, adequate performance, performing well, performing strongly).
- In 2009 under Comprehensive Area Assessment (CAA), NYFRA was rated as “performing well” (as above).
- In 2013 NYFRA underwent a Peer Review. This is not an assessment, but a process to provide external challenge and support improvement. The team were asked to consider a number of areas, including new management structures and the Service’s response to flooding. The report provided some useful direction (which for example resulted in the Fire Cover Review being undertaken), but on the whole was positive about the Service and Authority.
- In 2014/15 and 2015/16 the external auditors issued an “Unqualified Value for Money” conclusion. Prior to that, under different guidelines from the National Audit Office, the auditors reported each year that the “Authority had proper arrangements in place to secure economy, efficiency and effectiveness in its use of resources”.
- Performance indicators show that NYFRA is consistently high performing and demonstrating continuous improvement year on year.

In other areas of work, the Authority has shown consistent innovation. Recent years have seen increasing flexible use of these staff through

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temporary transfers to whole time contracts and the introduction of new duty systems (including self-rostering, the use of mid shifts and variable hours (part time) contracts). The introduction of the Tactical Response Vehicles, which is a new model of operational response, also uses staff more efficiently as these vehicles respond to the same types of incident as standard fire engines, but with fewer staff.

Therefore, the changes that are required are only those that will further enable the collaboration with partners. In all other respects the evidence is that the current governance arrangements are resulting in a high performing organisation.

Why the Representation Model?

The starting point for considering a new governance model should be about how the proposals will improve outcomes for citizens living in the area in terms of better multi-agency working, increased effectiveness and resilience and the delivery of efficiencies.

The Authority believes that local leaders are best placed to determine the sort of collaboration that is in the best interests of the communities they are elected to serve. We are committed to steps that will enable the police, fire and rescue, and other emergency services to collaborate where it helps us to achieve the outcomes we aspire to for our communities and where it brings greater efficiency and effectiveness in achieving those outcomes.

We can however get there more easily and more quickly. We do not need to rely on time-consuming structural reform to get better collaboration. We can look for local solutions to collaboration on all aspects of public protection that use the legislation's criteria for ways of working together, namely economy, efficiency, effectiveness, and public safety.

The Representation Model is one where the PCC is a voting member of the Fire Authority. However, in recognition that this would be only one vote among many, this Authority has taken what we believe to be a unique step, in creating a Collaboration Committee, with delegated authority to make decisions relating to collaboration. The PCC sits on this committee as one of only two voting members. This means that the PCC has an equal say about collaborations that Fire and Rescue Service enters into and with whom. In this respect the Fire Authority has effectively ceded some of its decision making to the PCC. In addition to



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that, other partner agencies are invited to attend the committee, meaning that this arrangement will provide the opportunity to consider all potential collaborations to determine which are in the best interests of the community.

Assessment of Representation Model

The PCC's business case sets out a number of "critical success factors" against which the various options are tested. A summary of the Fire Authority's Representation Model against each factor is set out below.

- *Accelerates scale and pace of change.* The Representation Model can deliver collaborative change effectively and quickly. This is due to the Collaboration Committee, which includes the PCC, and the fact that the representation retains close links with local authorities.
- *Brings benefits in terms of transparency and accountability.* There is increased transparency and accountability that would accrue under the Representation Model. This is because the local councillors retain their elected accountability to the residents of North Yorkshire and York, over a large geography, including areas of deep rurality. Therefore, the challenges resulting from our geography means that it would be more beneficial to have a number of elected representatives and the PCC to represent the views and concerns of our diverse communities. This is better than either alternative of elected members or PCC alone.
- *Is deliverable.* The Representation Model is highly deliverable. The Collaboration Committee has already been set up, and the necessary secondary legislation to allow the PCC to become a voting member of the Fire Authority is currently being put in place.
- *Mitigate strategic risks.* There are a number of risks identified in the PCC's business case of moving to the Governance Model. These include "a long term risk that strategic commissioning becomes more geared towards achievement of police objectives than fire". Also, "the PCC will need to put appropriate resource into maintaining links with local government". Finally, "there is also a risk that there is a perceived lack of separation and therefore lack of challenge between police and fire, particularly when it comes to allocation of cost. The PCC would need to put robust controls and independent scrutiny of the cost allocations in place." The Representation Model manages these risks by having the PCC as

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part of the decision making process, but with the check and challenge of the other elected members of the Fire Authority.

An Irreversible Change

One of the key points in respect of any governance change under the legislation is that a move directly to the Governance model (which is the PCC's preference) is irreversible. The three options of Representation Model, Governance Model and Single Employer Model can be seen as sequential, in that it is possible to move through the different models of governance, if the experience of one model fails to deliver the anticipated benefits i.e. scale and pace of collaboration, financial savings etc.

However, and this is a crucial point to note, in the event that the Governance Model is implemented, but then fails to deliver the benefits purported in the PCC's business case, or if the risks cannot be mitigated, it is not possible in law to move to the Representation Model (the Fire Authority's preferred model). In this regard it is analogous to a one-way street.

Therefore, it appears that the risk appropriate way of dealing with governance change to a critical and highly effective, public safety organisation, would be to move through those stages to test the assumptions that are made in each case. The Authority is suggesting that the Representation Model will deliver all the benefits of the governance model, in terms of collaboration and improved outcomes for citizens. If that model fails to deliver all of those benefits, then a change to the Governance Model can be considered. A move to the Governance Model now would be premature as the Representation Model has not been tested, and high risk as it cannot be reversed.

Financial benefits of Representation Model

One of the principles underlying the Representation Model, is that any collaboration can occur under this model with the Police or the PCC. Many of the projects set out in the PCC's business case, such as a shared HQ, are already being considered in the Authority's plan.

The PCC's business case does not consider in detail any of the proposals, and indeed says that there will need to be business cases produced for each project. This is exactly the approach taken by the

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Authority currently, and any such case must deliver value for money and therefore must consider all possible options, including collaboration with other partners.

The PCC's business case contains a number of assumptions that are not supported by evidence. The business case itself recognises this and makes clear that detailed further analysis and consultation is required to identify the true costs and potential benefits of any change. This makes these benefit claims theoretical at best and suggests that supporting a major governance change on these basic estimates would be premature.

Due to the lack of detail on each of the projects in the PCC's business case, the Authority is unable to determine how the level of savings set out for the Governance Model have been arrived at. However, given that the Representation Model will be able to deliver the same collaboration projects, it follows that similar levels of savings will accrue from the Representation Model.

Conclusion

North Yorkshire Fire and Rescue Authority's proposal for a change of governance to the Representation Model represents a risk appropriate change that balances costs, savings, collaboration and public safety. It does not preclude further change, including to the Governance Model.

Councillor Andrew Backhouse

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Executive

31 August 2017

Report of the Corporate Director of Health, Housing and Adult Social Care Portfolio of the Executive Member for Adult Social Care and Health

A Further Phase of the Older Persons' Accommodation Programme: deciding the future of Woolnough House Older Persons' Home

This report provides Members with the results of the consultation undertaken with the residents, relatives and staff of Woolnough House residential care home to explore the option to close the home with current residents moving to alternative accommodation, and for Members to make a decision about whether to close Woolnough House. The context for this decision is that the Older Persons' Accommodation Programme aims to meet people's changing needs for accommodation with care, and in particular the needs of those with dementia and the demographic challenges faced by the city, through delivering additional Extra Care accommodation and new, good quality, residential and nursing care accommodation.

Recommendations

1. The Executive are asked to:
 - a. Note that the Older Persons' Accommodation Programme aims to address the needs and aspirations of older people who need accommodation and care, both now and in the future, equipping York to meet their needs by delivering new Extra Care accommodation and good quality residential and nursing provision which meets modern day standards.
 - b. Receive the outcome of the consultation undertaken with residents, family, carers and staff of Woolnough House to explore the option to close the home with current residents moving to alternative accommodation.
 - c. Make a decision about whether to close Woolnough House residential care home and, if a decision is made to close it, require that residents' moves to their new homes are carefully planned and managed in line with the Moving Homes Safely protocol.

- d. Agree that the alternative uses of the Woolnough House site and adjacent land, in total 0.76 acres, be examined in accordance with the revised Corporate Asset Strategy and should it be concluded that sale is the preferred option that it be sold forthwith in order to generate a capital receipt to support the wider Older Persons' Accommodation Programme.

Reason: In order to increase the supply of good quality accommodation with care for independent living together with new residential and nursing home provision to address the changing needs and aspirations amongst York's older population and ensuring that more can choose to live independently at home.

Summary

2. The Older Persons' Accommodation Programme aims to meet people's changing needs for accommodation with care, and in-particular the needs of those with dementia and the demographic challenges faced by the city, through delivering additional Extra Care accommodation and new, good quality, residential and nursing care accommodation.
3. On the 30th July 2015 the Executive agreed its vision and a business plan for the Older Persons' Accommodation Programme and at subsequent meetings this Programme has been expanded. The Programme involves delivering, by the end of 2020, over 850 new units of accommodation including many that will serve those with high care needs including dementia, facilitating the replacement of out of date care beds. All new facilities would incorporate modern day features including bigger bedrooms, self-contained bathrooms and better communal and social spaces, all absent from current council-run care homes. The current Council-run facilities fall short of current Care Quality Commission (CQC) expectations and would therefore provide no certainty of provision into the future.
4. This increase in the supply of accommodation with care will set York on the right path to deal with a 50% increase in the number of citizens over 75 by 2030.
5. At the meeting of the Executive on 14th July 2016 Members agreed that, "this autumn, a six week period of consultation is undertaken with the residents, family, carers and staff of one of the Council's Older Persons' Homes to explore the option to close the home with current residents moving to alternative accommodation and that a further report on the outcome of this consultation be received at the Executive before a final decision to close is made and that this process is repeated in the first half of 2017 in respect of a further Council run Older Persons' Home".

6. This report provides Members with the results of the consultation undertaken with the residents, relatives and staff of Woolnough House residential care home (and with other interested parties) to explore the option to close the home with current residents moving to alternative accommodation.
7. The consultation has engaged all residents, many of their relatives as well as staff. Users of short stay services and their carers were also consulted. Any issues, concerns and queries that were raised have been addressed at the time or in follow-up conversations and/or correspondence. The six week consultation concluded on 31st July 2017. The outcome of the consultation is dealt with further on in this report.
8. The issues raised in the consultation process had been anticipated in the development of the Programme and in the conduct of consultation concerning home closure and the management of any potential moves. In particular, the Moving Homes Safely protocol has been developed (and used) to ensure that the management of any move is focused on the needs of each individual and handled in such a way as to minimise distress. We therefore conclude that no new issues have been raised during this period of consultation which brings into question the need for consideration of the closure of Woolnough House nor the plan and purpose behind the Older Persons' Accommodation Programme.
9. In addition, the views and wishes of current residents, their relatives and staff at Woolnough House should be considered in the light of the needs of the wider older persons' population of York, both now and in the future. For these people the overwhelming wish is to remain living independently in their own home if they can and when this is not possible, to live independently in Extra Care accommodation or, for the smallest proportion, to move to good quality residential or nursing care.
10. The public consultation which underpins the Older Persons' Accommodation Programme identifies that 97% of questionnaire respondents agreed that bigger bedrooms, en-suite facilities, wider corridors and more social space should be key features of residential care homes. Bigger bedrooms give more social space for residents to entertain visitors, they can accommodate the resident's own furniture and bigger rooms give staff more space in which to work and support residents, particularly where bed hoists need to be used.
11. Woolnough House is used by people needing short stay accommodation, this is often necessary to give carers a break. The needs of users of short stay accommodation at Woolnough House have also been considered and can be met by alternative provision.

12. The progress forward of the Older Persons' Accommodation Programme is dependant upon the closure of existing council-run OPHs as this releases revenue savings, capital receipts and land to allow us to invest in modernising York's provision. Any delay in closures will incur an additional monthly cost to the Programme of £15,300, or £183,000 for a full year, and will delay the conclusion of the Programme.

Background

13. For older people it is recognised that having adequate accommodation is fundamental for dignity and security. Having access to appropriate accommodation with care underpins health and well-being and is the cornerstone to the delivery of sustainable NHS and social care services. York's older residents want to remain living independently in their own home for as long as they can and, if they must move, want choice over where to live to receive care.
14. York's older population is growing rapidly with the number of 75+ residents expected to increase by 50% by 2030; the number with complex needs including dementia is growing even faster. York does not currently have sufficient accommodation with care to cater for this rising population. Further, current supply is no longer fit for purpose, particularly Council run OPHs which are outdated and lack modern facilities, for example, just 16 of the 138 bedrooms have en-suite facilities.
15. In 2011 many residents, relatives and many others were engaged in consultation on the Council's review of residential care homes and the options available to replace them. Following that consultation the Council started on a programme to replace council-run older persons' homes with new and alternative provision and, later in 2011 and in 2012, consulted on and then closed Fordlands older persons' home and Oliver House older persons' home. Over the following three years there has been further progress and change with residents being kept informed via meetings, press coverage, etc.
16. On 30 July 2015, the Council's Executive agreed detailed plans for Older People's Accommodation in the city. These plans seek to address the needs of York's ageing population, replacing the council's seven out-dated Older People's Homes with more modern accommodation.
17. One of the key aims of the plan is to maximise use of York's existing Sheltered Housing stock, converting some to Extra Care Housing and therefore making it more accessible for people with higher care needs by increasing the care and support available. This will include

increasing overnight care services and developing individual packages of care so people can remain independent in their own home. This work has begun: Auden House, Glen Lodge and Marjorie Waite Court Extra Care schemes now have 24/7 care available. These changes allow a person with high care needs – including dementia - to live in these schemes as a viable alternative to residential care. Glen Lodge will in September 2017 benefit from the opening of a 27 home extension, with facilities specifically designed for the needs of people with dementia.

18. The Older Persons' Accommodation Programme will provide accommodation to facilitate the replacement of the Council's remaining OPHs. Furthermore, it creates additional capacity in order to allow for population change. The provision of accommodation for those with high care needs is particularly important as it means that the needs of the increasing number of people with complex care needs including dementia can be met. The expected outcomes are listed in Table 1 below:

Table 1: Expected outcomes achieved by the Programme

Where	When	Total	High Care Needs	Medium Care Needs	Low Care Needs
Auden House Extra Care	Apr - 15	41	16	15	10
Glen Lodge Extra Care (existing)	Feb -16	42	17	15	10
Marjorie Waite Court Extra Care	Q1 -17	42	17	15	10
Chocolate Works Care Home	Q2 -17	90	90	0	0
Glen Lodge Extra Care (extension)	Sep -17	27	20	4	3
<i>Fordlands Care Home</i>	Q1-19	62	62	0	0
<i>Carlton Tavern</i>	Q1-19	79	79	0	0
<i>Burnholme Care Home</i>	Q2-19	80	80	0	0
New Lodge – Care Home	Q2 -19	46	46	0	0
New Lodge - Extra Care	Q2-19	105	35	35	35
<i>Regency Mews Extra Care extension</i>	Q3-19	25	9	8	8
<i>Oakhaven Extra Care Scheme</i>	Q3 -19	56	24	16	16
<i>Marjorie Waite Court extension</i>	Q3-19	33	20	8	5
<i>Lowfield Green Care Home</i>	Q4-19	70	70	0	0
<i>New Haxby Hall Care Home</i>	2020	65	65	0	0
TOTAL		863	650	116	97

Note: items marked in italics are subject to receipt of planning consent.

19. The Older Persons' Accommodation Programme should also be seen in the context of our wider efforts to re-model the provision of care services and, in particular, our work with Health colleagues to modernise reablement services, align step-down and short stay provision and extend support for people with dementia.

The Context for the Consultation

20. Following the decision of Executive on 14th July 2016 to agree "that, this autumn, a six week period of consultation is undertaken with the residents, family, carers and staff of one of the Council's Older Persons' Homes to explore the option to close the home with current residents moving to alternative accommodation and that a further report on the outcome of this consultation be received at the Executive before a final decision to close is made and that this process is repeated in the first half of 2017 in respect of a further Council run Older Persons' Home", this consultation initially begun on 24th April 2017 and re-started on 19th June 2017 and ended on 31st July 2017. It is agreed "that a... report on the outcome of this consultation be received at the Executive before a final decision to close is made".
21. Woolnough House on Woolnough Avenue [Hull Road ward] was the subject of this consultation on closure. The reasons for choosing this home are described in **Annex 1**.
22. Permanent residents of Woolnough House have come from across the city – few are local to the area, as shown on the map in **Annex 2**. Similarly, their relatives also live across the city and further afield, as shown in **Annex 2**.
23. While a majority of residents have moved into Woolnough House recently, there is still a significant proportion of them that have been there for a long period of time.

Moved in 2016	Moved in 2015	Moved in 2014 or before
30%	30%	40%

The Consultation Process

24. It was agreed that we would follow the same approach to consultation and, subject to Member decision, closure, as was followed for other homes. For these homes we used the Moving Home Safely protocol which proved to be appropriate and successful. It was reviewed and updated following its use earlier this year. A copy is attached as **Annex 3**.

25. Residents, relatives and staff have been engaged in consultation. Each was invited to a meeting on 24th April 2017; however this meeting was cancelled due to the purdah following the General Election. A second meeting was scheduled for 19th June 2017 to which residents, relatives and staff were invited. Everyone received a copy of the meetings' minutes and they each then received a letter giving more detail of the reasons why closure was being considered, setting out how the consultation would be conducted and informing them on when a response to the consultation will be received.
26. The consultation allowed for the opportunity for each person who would be affected by closure to talk on a one-on-one basis about the proposals. Vitally, each resident who had the capacity to do so was able to be consulted individually and face-to-face with a care manager. Residents had the option to have a family member or close friend present, and could request support from an independent advocate. At meetings we:
 - a) Talked through and explained the proposals and discussed wishes.
 - b) Explained and explored the options that could be open to the resident should the closure be agreed. This was based on each individual resident's need and could include moving to sheltered housing with extra care or to an alternative care home.
 - c) Talked through the Moving Homes Safely protocol so residents are able to fully understand – and hopefully be reassured – by the process that would be followed should closure be agreed.
27. Residents and their family/friends were also able to respond to the consultation in writing. All communications with residents and family were recorded.

The Outcome of the Consultation

Residents and their relatives

28. Woolnough House had the capacity to accommodate 33 residents. At the time of the closure of consultation the home had 9 permanent and 23 temporary residents. The care home has 35 staff in total, the majority of who work part time.
29. The majority of temporary residents are scheduled to move out before the home's closure, it will therefore have a limited affect upon these residents. Temporary residents with no current scheduled exit date are currently undergoing review to determine their options.

30. The following engagements were made and/or responses received:

Residents and relatives	<p>14 residents and relatives contacted and informed of original meeting's cancellation.</p> <p>13 letters inviting to June meeting sent to residents and relatives.</p> <p>10 courtesy calls made to relatives to inform of and discuss meeting</p> <p>14 residents and their relatives attended the meeting on 19 June 2017</p> <p>Each resident and relative given a copy of the Moving Homes Safely protocol.</p> <p>3 phone calls received</p> <p>6 emails received</p>
Staff	<p>Staff briefing attended by 15 members of staff</p> <p>Each member of staff received a letter explaining the consultation process</p> <p>Four drop in sessions ran from 21 June until 7 July 2017 was attended by a total of 29 staff.</p> <p>No further comments were received during the consultation.</p>

31. Four residents wished to meet and begin their review during the consultation period, five wanted to wait until the Executive decision was made. Discussions with both residents and their relatives with the care home managers and review manager have been recorded. A significant number of residents do not have the capacity in terms of decision making to fully engage with the consultation process, and in these cases relatives have been contacted and discussions with them have taken place. Since the end of the consultation one resident has moved out and one is planning to move. These moves are in accordance with their care plan and are undertaken in the full knowledge that no decision has yet been taken to close the home.
32. No direct comments from external parties were received during the consultation process.

Responses to the Issues raised during Consultation

Concerns regarding closure

33. Issue: Older, vulnerable, people being moved to an unfamiliar environment.
34. Response: Moving to an unfamiliar environment, where they might not necessarily know anyone, can understandably be a stressful and difficult time for residents. To help cope with moves such as this the council in 2011 developed and adopted the Moving Homes Safely protocol in order to minimise stress to residents where possible. The protocol's most recent iteration was developed in summer 2016. One addition to the protocol is a new handover check list for care staff to follow to ensure a smooth transition to the new home. As part of this additional task, residents will be visited by staff that they are familiar with in their new care homes within the first month of their move. This will help them to express any concerns they have regarding their new home with a familiar face, this will hopefully help to alleviate any stress of being moved to an unfamiliar environment.
35. Issue: Residents and relatives hoped for residents who were friends to be moved together.
36. Response: All potential moves for residents can be considered, including keeping residents who are friends together. However, this is subject to the residents/relative's wishes. Furthermore, the specific needs to the resident must be considered when making any such move.
37. Issue: Relatives were confused of how to find out individual resident's needs.
38. Response: All residents have either had a one-on-one meeting with the review manager, or have one scheduled, subject to the Executive's decision. These reviews would allow for a further discussion on Moving Home Safely protocol and to begin working through the process. Residents and relatives have been reassured that there is "no rush" and that this can be done at their own pace.
39. Issue: Residents and relatives expressed some concern about searching for alternative care.
40. Response: Each resident will have a one-on-one review with the review manager, which their relatives or close friends will be able to attend with them. During this meeting their future care needs and the move can be discussed. The review manager will be able to assist with providing vacancy lists for City of York Council contracted beds in other care

homes within York. Residents currently have a monthly review and these sessions can be used to try and anticipate their future care needs to reduce the risk that the residents will need to move again in the future. Residents will not be rushed throughout this process and will be able to complete it within their own time. Furthermore, one relative expressed concern that a resident would require a home with nursing care; the moves themselves will be person-centred, tailored to each individual, following the Moving Homes Safely protocol.

41. Issue: The choice of accommodation available
42. Response: There are a range of options for new accommodation available to residents, and the review manager either has or will work through and discuss these options with each resident to allow them and their relatives to come to a conclusion on where they move to. This will take into account each individual resident's needs. Some residents will be able to move to a nursing care home, which the council cannot provide ourselves, giving them the opportunity to have access to a higher level of care that better deals with their needs. One resident has chosen this option already. Other residents may perhaps feel they can move into sheltered housing with extra care, a number of which are council run, giving them an option for greater independence. The council-run residential care home Haxby Hall remains an option for residents.
43. Issue: Future use of temporary beds at Woolnough House. Step down beds are used for hospital discharges for a 4 to 6 week period. Short break beds are used for planned and unplanned stays of between 2 and 4 weeks. Currently there are 20 temporary beds in use.
44. Response: Woolnough House had a number of step-down beds for residents; the home's closure will reduce the number of step-down beds within Council run Older Persons' Homes. However, 6 step-down beds will remain at Haxby Hall and further availability has been offered in the private sector. The short break beds will be provided in the remaining three OPHs and across the private sector, depending on the need of the individual.

Meeting

45. Issue: The original meeting was set for April (but was delayed due to the purdah), letters were sent to relatives and some residents informing them of this meeting, however due to the delay on the consultation this meeting was cancelled.
46. Response: Each resident and relative invited to the event was contacted individually, often through phone call to inform them of the

meeting's cancellation. Invites to the second meeting were sent via letter, phone calls to those invited were also made.

Staff concerns

47. Discussions with staff will continue.
48. Woolnough House has 35 members of staff, the majority of who work part-time. Staff were informed of the consultation on closure and its implications at a staff briefing held on 19th June 2017. Four drop in sessions were also held throughout the consultation period for staff members to discuss these issues, and a letter with guidance was delivered to each individual member of staff. In accordance with Council policy, members of staff will be assessed for redeployment to other teams – this is particularly viable with the imminent opening of Glen Lodge – or voluntary redundancy.
49. Should a decision to close be made, a dedicated resource from the Workforce Development Unit would work one day per week with individual staff to tailor training and support to ensure staff are up-skilled and competent in their role moving forward. This includes ensuring there is a benchmark for all staff to achieve i.e. NVQ Level 2 in care. Courses relating to change management and development are an integral part of this.

Woolnough House Transition Plan

50. Should the decision be made to close Woolnough House, we have assessed what a likely transition plan would look like.
51. There are currently 8 permanent residents at Woolnough House as of writing. Should Members decide to close the home, individuals will be moved following a robust assessment in line with the Moving Homes Safely Protocol within a timescale which suits the needs of the resident and the families. The remaining reviews will take place in the next 4 weeks.
52. Four assessments by care and review managers have been made of permanent residents thus far. It has been determined that each of these four require residential care. Reviews for the remaining residents have been scheduled or planned for September, respecting residents and relatives wishes to wait for the Executive's decision.
53. As stated above, in early in August two residents moved to other homes. This decision was in line with their care assessment and was undertaken in the full knowledge that no decision had yet been taken to close Woolnough House.

54. There is currently a good supply of alternative accommodation options available and, in September, additional accommodation will become available at Glen Lodge, including accommodation suitable for those with dementia.

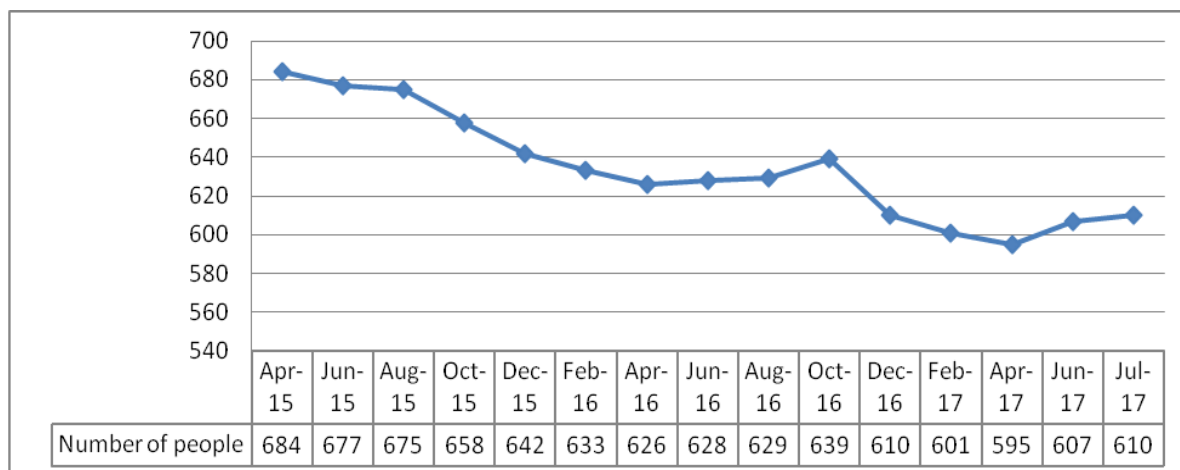
The future use of the Woolnough House site

55. Should Woolnough House close, the site could easily be redeveloped for housing or other care uses or sold, with the capital receipt helping to fund the wider Older Persons’ Accommodation Programme and so benefit more older persons in the city. The future use of this site will be decided in accordance with the revised Corporate Asset Strategy which will be reported to members shortly.

The operation of the care market in York

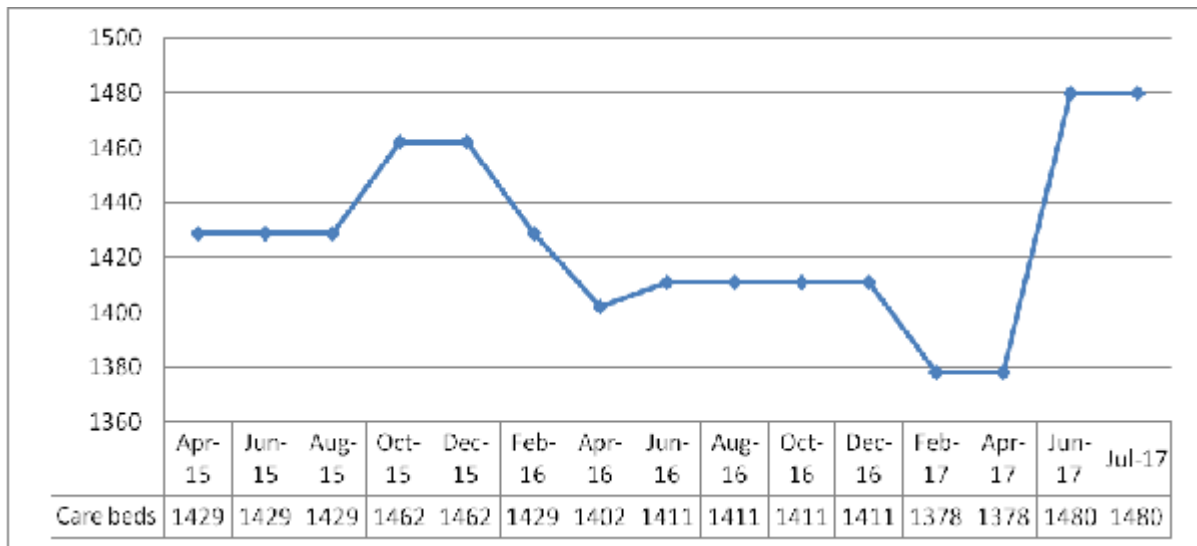
56. As the Programme has progressed, and as we continue to drive to support people to living independently in their own home as an alternative to nursing and residential care, we have seen a slow but steady reduction in the number of older people who are supported by the Council to live in permanent residential and nursing care, as shown in Table 2.

Table 2: Numbers of people in permanent residential and nursing care funded by the council, both CYC provision and independent sector (Snapshot at month end)



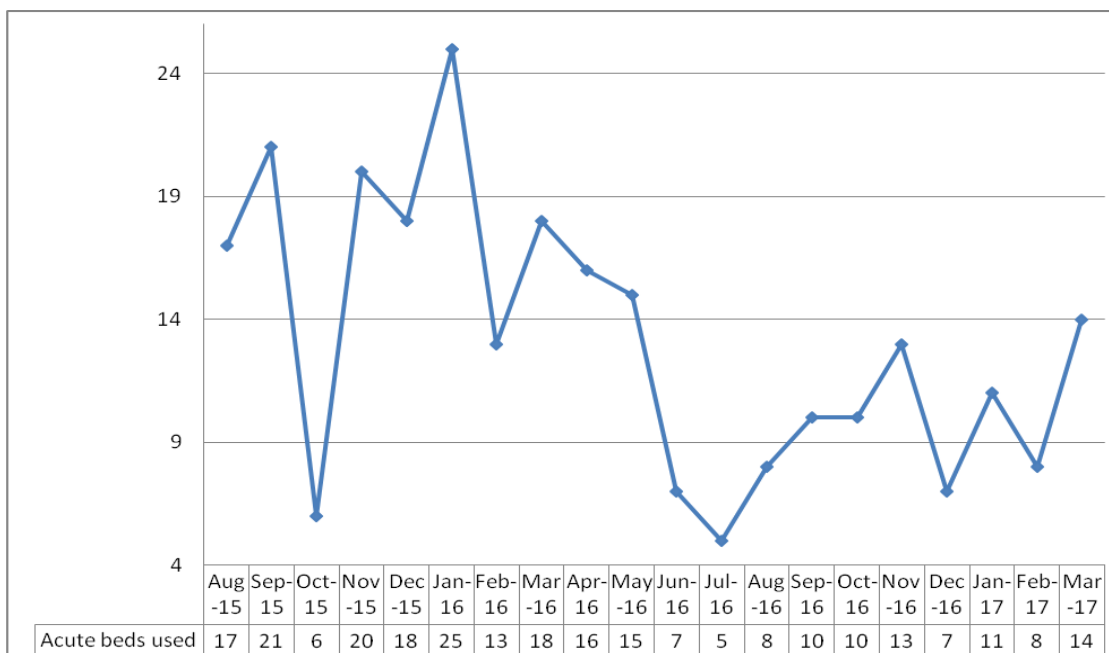
57. At the same time, the total number of care beds available for use in the city has initially fallen (as Council-run homes are closed) and is now beginning to increase as new provision, such as The Chocolate Works, is brought into use, as Table 3 shows.

Table 3: Care beds available for use

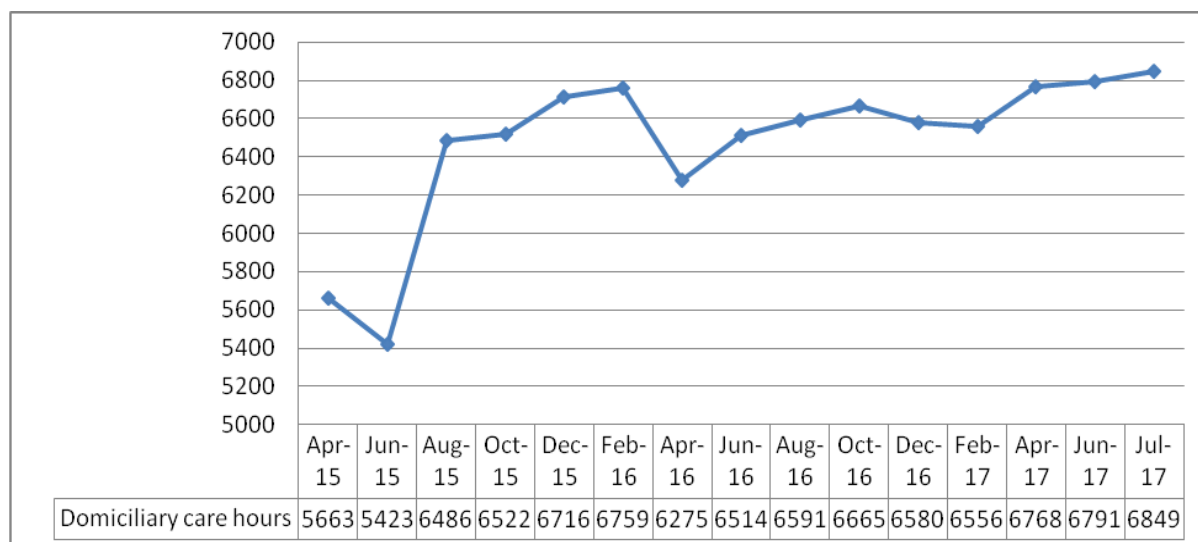


58. The changes in the number of residential care beds over the same period and including the closure of Grove House, Oakhaven and Willow House, does not appear to have had a detrimental effect upon the number of people awaiting discharge from hospital, as the graph in Table 4 shows.

Table 4: Numbers in acute hospital beds occupied by someone “awaiting discharge” (Snapshot on last Thursday of month)



59. Finally, we see from the trend in use of domiciliary care over the same time period that more activity is recorded, suggesting that those with higher care needs are being helped to continue to live independently at home, as Table 5 shows.

Table 5: Net change in domiciliary care hours

Consultation

60. The portfolio holder for Adult Social Care and Health is responsible for this Programme and will receive regular briefings and updates on its progress to ensure that it is delivered in a timely and effective manner.
61. Ward Members have been briefed and kept informed.
62. Briefings have also been offered to the Central York MP.
63. The Health Housing and Adult Social Care Policy and Scrutiny Committee will scrutinise delivery of this Programme and assess and monitor its impact upon the health and social care services in the city.
64. The Health and Wellbeing Board will also be kept fully informed.
65. We have followed the approach that has served us well when previously consulting on the potential to close OPHs: delivering sensitive messages in a careful, well managed sequence:
 - a. Briefing key external stakeholders who have been actively involved to date (e.g. Age UK York and York Older People's Assembly).
 - b. Briefing OPH Managers/staff & Care Management colleagues.
 - c. Updating OPH residents/relatives.
 - d. Updating all other stakeholders, including NHS commissioner and provider organisations.
 - e. Media briefing.

Council Plan 2015-2019

66. The Programme is set in the context of the Council Plan for 2015-19 and will contribute to achieving its ambitions. Based on our statutory responsibilities and the aims of the new administration, the plan focuses on three key priorities:
- a prosperous city for all - where local businesses can thrive and residents have good quality jobs, housing and opportunities
 - a focus on frontline services - to ensure all residents, particularly the least advantaged, can access reliable services and community facilities
 - a council that listens to residents - to ensure it delivers the services they want and works in partnership with local communities
67. To support these corporate priorities and under the guidance of the Health & Wellbeing Board, York has developed proposals to achieve a new focus for adult health and social care which delivers:
- a. self care and self management;
 - b. better information and signposting;
 - c. home is best;
 - d. early intervention and prevention;
 - e. reablement and intermediate care (targeted resources);
 - f. managing long term conditions; and
 - g. delivering services at a community level where this is desired and possible;
 - h. to reduce loneliness and increase social interaction amongst older persons and their communities;
 - i. that York becomes a dementia friendly environment.

Implications

Balancing Competing Priorities

68. In order to make a decision on the future of the residential homes, members must take into account a number of factors. The following is a summary of matters which Members are asked to consider:
- The views expressed in the consultation process by participants including residents of Woolnough House and their relatives, staff working at Woolnough House and their union representatives and

members of the Older Persons' Accommodation Programme reference group including Age UK and York Older Persons' Assembly.

- Legal responsibilities such as those pertaining to the Human Rights Act and Equality Act. A copy of the Equality Impact Assessment dated 14th August 2017 is attached at **Annex 4**.
- Potential impact on residents and families.
- Financial impact on the authority and its Council Tax payers.
- Responsibilities to staff.
- Future demand and needs as expressed through commissioning strategies.
- Research and knowledge about demand for older people's accommodation.
- Central Government policies, directives and financial targets.
- Value for money in service delivery.
- Current standards of care.
- Supply and demand for residential care in City of York
- Occupancy levels of each home.
- The estimated cost of maintaining or improving the buildings.
- The availability of alternative provision.
- The service development opportunities in that location.

69. All these issues have been considered extensively in the work to date on this Programme and covered in the reports to Executive on the matter and listed at the end of this report.

Equalities

70. In considering this matter the Council must have regard to the public sector equality duty. In summary, those subject to the equality duty must, in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Equalities Act 2010.

- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.

71. The Equalities Act 2010 explains that having due regard for advancing equality involves:

- Removing or minimising disadvantages suffered by people due to their protected characteristics.
- Taking steps to meet the needs of people from protected groups where these are different from the needs of other people.
- Encouraging people from protected groups to participate in public life or in other activities where their participation is disproportionately low

72. An Equality Impact Assessment for the Older Persons' Accommodation Programme was produced for the 15 May 2012 Executive Report and was reviewed and most recently updated in November 2016. It particularly highlighted the potential implications of the programme for the health, security and wellbeing of frail residents and also female members of staff who are older and also carers themselves.

73. The Equality Impact Assessment for the Older Persons' Accommodation Programme has been further reviewed and updated in August 2017 to take account of the specific circumstances at Woolnough House and the following additional considerations addressed:

- a) The 'Moving Homes Safely' protocol that was originally developed in 2012, has been continuously reviewed and updated – with the most recent review taking place this year – and will be implemented should the decision to close the home be taken. The protocol, which is provided to residents and their relatives, outlines what will happen at each stage of the closure to ensure that the process is clear. It has been used successfully to guide the closures of Fordlands, Oliver House, Oakhaven and Grove House care homes.
- b) The project team will continue to work with OPH managers, staff, trade unions and Human Resources to ensure a fair and transparent process for staff should the decision be taken to close Woolnough House. The majority of staff will be able to transfer to a new OPH or take voluntary redundancy. A formal consultation with staff will take place should the home be subject to closure.

74. The Equality Impact Assessment for the Older Persons' Accommodation Programme dated 14 August 2017 is attached as **Annex 4**.
75. An OPH Wider Reference Group has been established to act as a sounding board for the development of plans as the implementation of the Programme unfolds. The project team also continues to use established channels to communicate with, and gather the views of, OPH managers and staff, care management staff and Health colleagues.

Financial

76. The annual net cost of running Woolnough House is £321,000 per year.
77. Should some customers require it, provision has been made to fund care beds in the independent sector. Provision has also been made to fund the cost of staff change.
78. Overall, the Older Persons' Accommodation Programme is forecast to deliver an annual recurring savings of £553k by 2019/20.
79. The capital receipts anticipated from the possible sale of Woolnough House will be used to fund the wider Programme. However, this value is not significant and, therefore, if alternative uses were sought this would not halt the investment plans for the Programme.
80. Step Down and short stay accommodation is supported, in part, by funds from health partners. These beds will be re-provided at Haxby Hall and via purchase of appropriate provision at in the independent sector.
81. It is estimated that, should the decision be made to not to close or delay the closure Woolnough House the authority will incur an additional monthly cost to the Programme of £15,300, or £183,000 for a full year.

Legal

82. The consideration of the closure of existing council run OPHs should follow a clear and consultative path. There are a number of potential challenges to local authorities during the process of closing OPHs which have been considered. Previous advice is held and has been updated by specialist legal colleagues. This advice includes an examination of the application of the Human Rights Act and the Equality Act. The Equality Act considerations are highlighted in preceding paragraphs. A decision to close the home might impinge on the human rights of residents. In particular the right to respect for private and family life and, in some circumstances, the right to life. The right to respect for private and family life is not an absolute right and proportionate

interference can be justified on public interest considerations. These include economic grounds, protecting the rights and freedoms of other people and protecting health. By following the Moving Home Safely process the Council will minimise any risk to residents.

- 83. Legal advice has been sought and has guided the approach to consultation and the wording of letters.

Human Resources

- 84. HR held a number of drop-in sessions for staff based at Woolnough House. The closure of the home can be achieved via a combination of re-deployment, vacancy management and voluntary redundancy. However, we do not anticipate any compulsory redundancies and a period of formal consultation will take place following this Executive meeting should the decision to close be made.
- 85. In addition we will identify workforce gaps elsewhere in the social care sector and enable appropriate recruitment initiatives to secure the future workforce.

Property Services

- 86. Woolnough House was built in the late 1960s as a purpose build care home. It has been kept in good repair but the changing care needs of residents' means that it is no longer fit for purpose.
- 87. The House sits on a 0.76 acre site in a residential street close to both local authority rented and privately owned housing. If members decide to close the care home the future use of this site will be decided in accordance with the revised Corporate Asset Strategy which will be reported to members shortly.

Other Implications

- 88. There are no other implications arising from this report.

Risks

- 89. The process of closure of care homes, should that be the decision made, has risks associated with it; these have been identified, will be kept under review and will be carefully managed. However, because the authority has done this before, and followed a similar process, it is believed that these risks are manageable.

ref	Risk	Mitigating Action
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ref	Risk	Mitigating Action
a)	Options for accommodation for older people do not match the expectations and aspirations of current residents.	A wide range of options are made available and current residents are supported to assess these against their needs and wishes.
b)	Those with high care needs and their carers/advisers/assessors do not recognise Extra Care accommodation as suitable because there are limited examples in York of this type of accommodation and the care pathways are unclear.	A dedicated care manager will work with residents to explore with them and their relatives how Extra Care operates, how it can be a flexible model for those with high care needs and how it operates elsewhere as a viable alternative to residential care.
c)	The Woolnough House site does not realise the anticipated level of capital receipt included in the financial model.	Work closely with partners & the Council property team to maximise the capital receipt including open marketing and a competitive bidding process.
d)	Insufficient funding to deliver all elements of the project.	The Programme financial model is regularly reviewed and is expected to deliver both its revenue and capital targets.
e)	Title / related property issues, incorrect procurement of capital works and/or development.	Applying due diligence to ensure Council's normal approach to the disposal of land, procurement of capital works and/or a development partner is applied.
f)	Increase in interest rates would impact negatively on borrowing.	An interest rate sensitivity test has been run against the Programme and it remains affordable.
g)	Risk of the new developments/deals driving up the price the Council pays to external residential care providers	Undertaking negotiations with Independent providers. Actual Price for Care rates agreed and is proving to be at a level to secure beds.
h)	Loss of OPH staff morale leading to negative impact on service provided to existing OPH	Maintain staff morale and focus through regular, open and honest briefings/updates; engagement

ref	Risk	Mitigating Action
	residents	through OPH Managers and staff groups; investment in staff training, support & development.
i)	The cost of any associated redundancy is greater than estimated.	The financial model has been “stress tested” to assess the impact of a 50% increase in the cost of staff change and is still viable. Staff change will be managed carefully in order to minimise cost and legal risks.
j)	Challenge and negative publicity from existing OPH residents and relatives, OPH staff/TUs, other stakeholders, opposition parties, wider public	Development of well planned Communications approach through briefings to Residents and relative, Executive, group leaders, TUs, OPH Management & Staff, OPH Review Wider Ref Group, Media.

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Wards Affected: Hull Road				
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Annexes

Annex 1 - How have we decided which homes should be the first to be consulted on closure?

Annex 2 - Maps showing previous addresses of residents and current addresses of relatives

Annex 3 – The Moving Homes Safely Protocol

Annex 4 - Equality Impact Assessment

Plan of Woolnough House Site and associated land

Abbreviations:

CQC – Care Quality Commission

NHS – National Health Service

OPH – Older Persons' Home, previously referred to as – Elderly Persons' Homes

TUPE - Transfer of Undertakings (Protection of Employment) Regulations 2006, as amended by the 2014 amendment regulations

Background Papers:

19 July 2011	Report to Executive giving formal approval for the commencement of the Programme.
1 Nov 2011	Report to Executive giving the results of consultation and proposed a programme of closures, supported by a further consultation period on proposed closures of Oliver House and Fordlands.
10 Jan 2012	Report to Executive authorising consultation with staff, residents and their families and carers on proposal to close Fordlands and Oliver House, including changes to day care services as a result. Recommendation to close Fordlands and Oliver House.
15 May 2012	Report to Executive noting the successful homes closure and transition for residents
4 June 2013	Report to Executive seeking agreement on modernisation programme. The Council to fund the building of the two new care homes and so retain ultimate ownership of the buildings and the land with care homes designed, built, operated and maintained by an external provider.
3 Mar 2015	Report to Executive seeking approval of revised proposals based on creating new Extra Care Housing and reforming the Council's existing ECH stock; building a new care home on the Burnholme site as part of wider health and community facilities; and working more closely with current care providers to deliver more specialist dementia accommodation across the city.
30 July	Report to Executive seeking approval of the Business Case for

2015	the Older Persons' Accommodation Programme and agreement to proceed.
29 Oct 2015	Report to Executive providing the results of the consultation undertaken with the residents, relatives and staff of Grove House and Oakhaven residential care homes to explore the option to close each home with current residents moving to alternative accommodation. Executive agreed to close Grove House and Oakhaven.
29 Oct 2015	Report to Executive regarding securing a viable future for the Burnholme school site in Heworth ward. Following extensive public consultation Members agreed to sanction further work to identify partners to progress the continued community and sports use of the site, complemented with wider health and enterprise services, the building and operation of a residential care home for older people and the provision of housing.
19 May 2016	Report to Executive that obtained consent to begin to deliver the Burnholme Health & Wellbeing Campus and secure a viable future for the former Burnholme Community College site (the Site) in Heworth ward.
14 July 2016	Report to Executive by the Director of Adult Social Care. Agreement to move forward with examination of the development potential for Lowfield, alternatives to closure of Haxby Hall and sanction to consult on the closure of a further two older persons' homes.
28 th Sept 2016	Report to the Audit & Governance Committee by the Programme Director, Older Persons' Accommodation, providing an update on progress of the Programme and actions taken to address External Audit recommendations.
24 th Nov 2016	Report to Executive by the Corporate Director of Health, Housing and Adult Social Care. The Executive received the results of the consultation undertaken with the residents, relatives and staff of Willow House residential care homes to explore the option to close the home with current residents moving to alternative accommodation, and agreement to close Willow House and sell the site.
7 th Dec 2016	Report to Executive by the Corporate Director of Health, Housing and Adult Social Care. The report obtained consent to complete the next phase of delivery of the Burnholme Health & Wellbeing Campus including sanction for the investment of £4.73m in new and refurbished community and library facilities, subject to Department for Education (DfE) approval to dispose of redundant land, as well as £200,000 in urgent repairs and works to the sports facilities on site.
9th Feb	Report to Executive by the Corporate Director of Health, Housing

2017	and Adult Social Care. The Executive agreed to sell the site of the former Fordlands Road older persons' home to Octopus Healthcare who propose to develop a residential and nursing care home on the site.
16 th March 2017	Report to Executive by the Corporate Director of Health, Housing and Adult Social Care. The Executive received an update on progress made towards delivering health & wellbeing services at Burnholme and agreed to enter into a long lease with a care home developer over a portion of the Burnholme Health & Wellbeing Campus site. Executive also agreed to enter into a head lease over the Community & Library facilities and the disposal of the Tang Hall Library site.
16 th March 2917	Report to Executive by the Corporate Director of Health, Housing and Adult Social Care. The Executive received an update on progress made towards delivering an Extra Care facility at Oakhaven on Acomb Road. Executive agreed to sell the Oakhaven site to an Extra Care developer. As part of this procurement the Council will secure nomination rights to 25 affordable rented and discount sale apartments.

Annex 1 – How have we decided which homes should be the next to be consulted on closure?

1. The criteria for deciding which should be the next are:
 - a. the presence of serious physical or other building related problems which, if they cannot be addressed in a cost-effective manner, would impact on the quality of care provided to residents;
 - b. the potential alternative uses for the OPH site in order to deliver the wider Older Persons' Accommodation Programme;
 - c. whether a home accommodates a resident who has already been moved from another Council run OPH which was the subject of closure; and
 - d. the size of the home, with the smaller homes struggling to provide a cost-efficient service to residents.

2. These are the criteria which were applied and that guided the decision to consult residents, relative and staff at Grove House, Oakhaven and Willow House.

3. Applying these criteria to the remaining three homes we find that:
 - a. None of the homes are known to have serious physical or building related problems.
 - b. None of the have strong potential for alternative uses for the current site.
 - c. One resident living at Morrell House previously lived in another Council run care home.
 - d. Morrell & Windsor House, while being smaller, have the larger number of permanent residents.

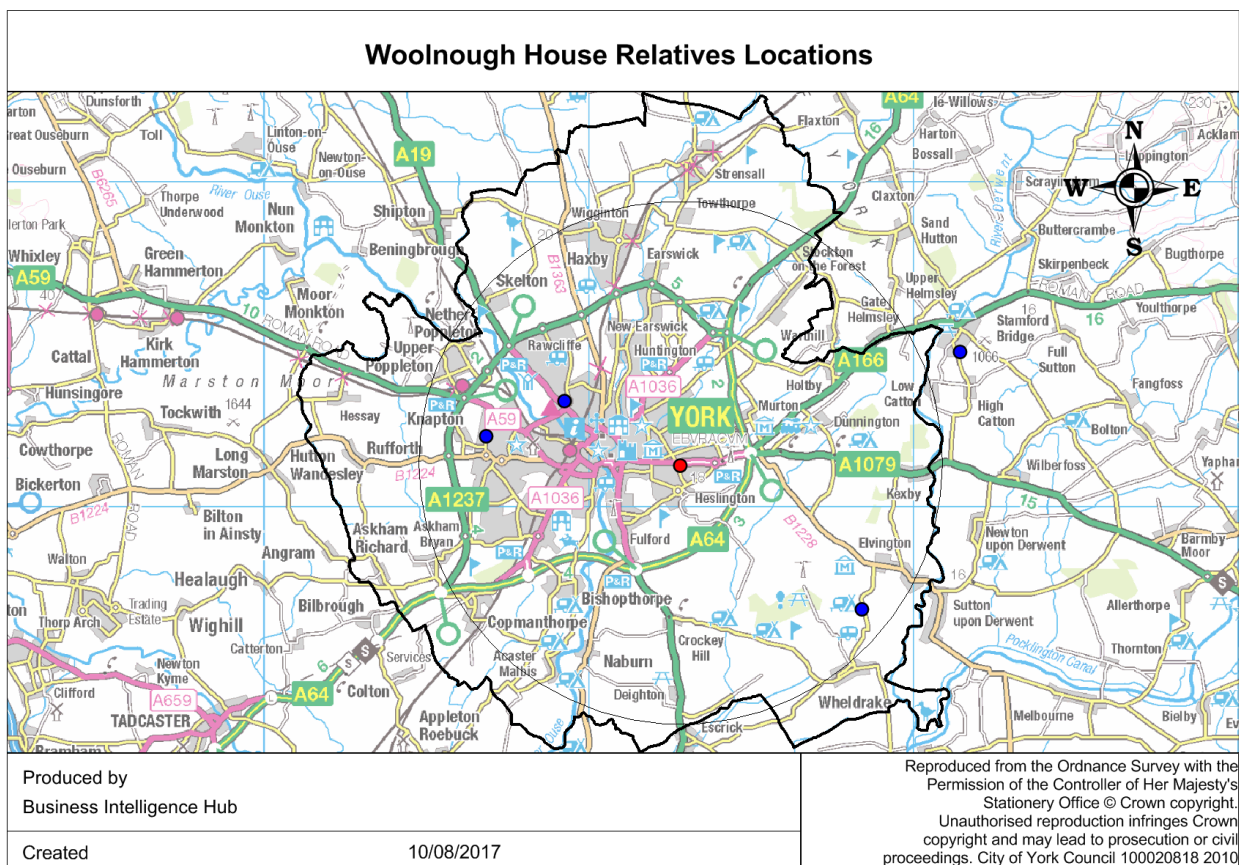
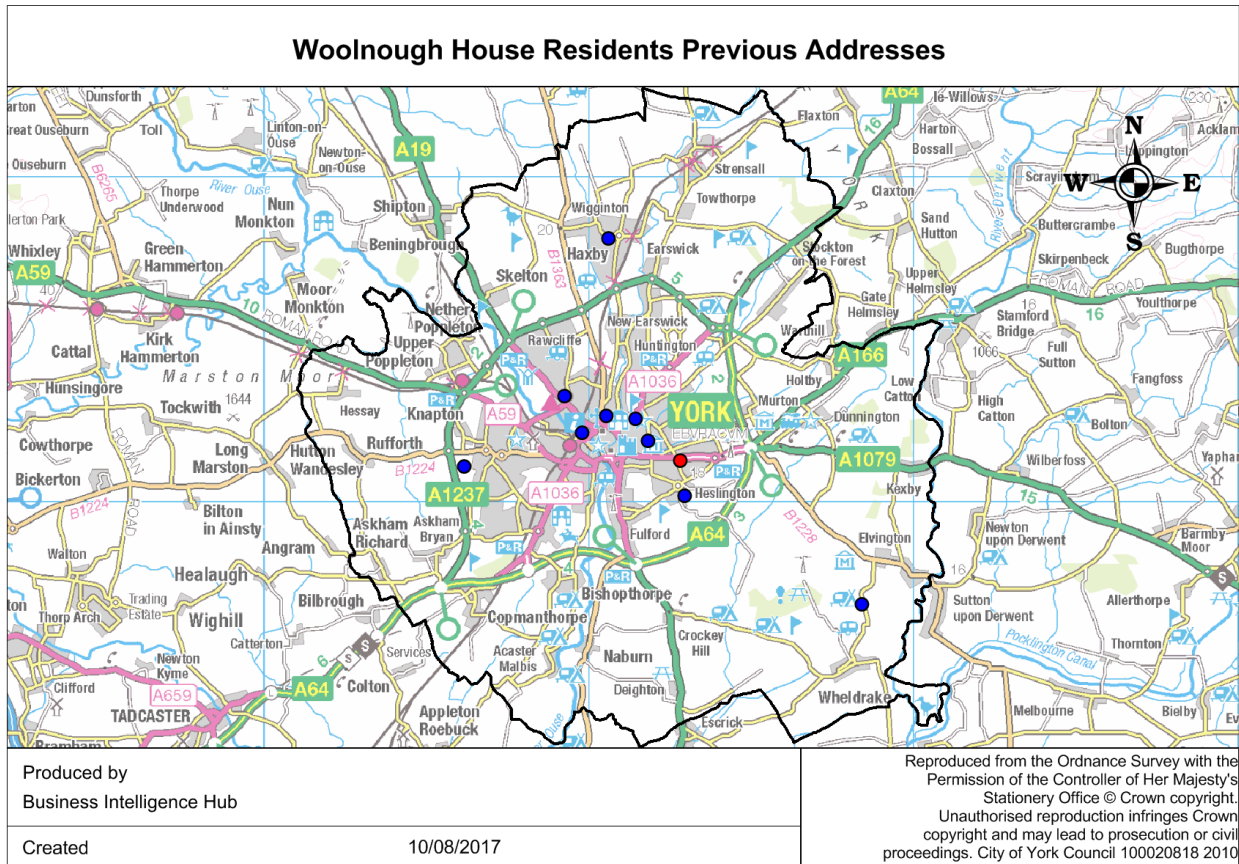
OPH	Residents (permanent)	Ward	No Physical Problems	Alternative Programme Uses	Residents who have moved previously
Morrell House	29 (at time assessed 27 perm)	Clifton	✓	x	✓

Windsor House	27 (at time assessed 24 perm)	Westfield	✓	x	x
Woolnough House	33 (at time assessed 15 perm)	Hull Road	✓	x	x

Note: ✓ means that the selection criteria is positive and therefore applies

4. Reviewing this information in the round it was agreed that we identify **Woolnough House** as the next home to be the subject of consultation on closure because it has the smallest number of permanent residents. Woolnough House provides care to some residents living with dementia and it is hoped that, should the decision be made to close the home, some of these residents may choose to move to the new dementia friendly accommodation at the Glen Lodge Extra Care scheme, which is close by.

Annex 2 – Maps showing previous addresses of residents and current addresses of relatives



Annex 3 – The Moving Homes Safely Protocol



A Protocol/Residents Guide For

Moving Home Safely
How City of York Council
Will ensure residents move safely
When faced with a planned care home
closure

**How City of York Council will support the residents of care homes
which are facing planned closure**

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Purpose of this document

This document describes the process that will be followed when a registered care home, run by the council, faces planned closure, and its residents need to be re-assessed and moved to a new home. In developing this protocol we have considered the evaluation undertaken by York St. John University of the initial Moving Homes safely Protocol, guidance from the Department of Health, Association of Directors of Adult Social services (ADASS), CQC, and Southwark Council Care Home Closure Protocol.

Once we know that a home is expected to close we will make sure we tell you, and your representative as soon as we can. We know this will be worrying news for everyone concerned, and so we will make sure we tell you in a way which gives you as much support as possible. We will explain things clearly and simply. We will involve families and friends, or appointed advocate, and we will ensure that you know who to speak to if you have any questions.

Following this, there are four main stages within the process:

- Stage 1 – Re-assessment
- Stage 2 – Choosing a new home (this includes all accommodation as detailed on page 9)
- Stage 3 – Moving safely to a new home
- Stage 4 – Reviewing the move.

This document outlines what will happen at each stage of the process, and who will be involved in supporting you (the resident) along the way.

We recognise that moving home can be a stressful event for anyone. The aim of this document is to help reassure you and your family and friends that

we plan to do everything possible to ensure that your move to a new home is well planned and carefully managed. You will be involved in all aspects of the decision as to where you move.

Basic principles underpinning the process

There may be some occasions where a decision has to be made urgently but if we have to decide to close a home we will, wherever possible, consult with residents and representatives before a decision is taken.

We will make you aware of the reasons why a move is necessary.

We will review your needs (where necessary a full reassessment may be carried out) and planning your move to a new home we will ensure that:

- Your wishes, preferences and hopes are identified and considered.
- Your current support needs are taken into account, and that changing or future support needs are also considered.
- Discussions are conducted in your preferred language and in a way that suits you.
- You can have support from your family and friends and/or an independent advocate to support you if you wish (we talk more about advocates on page 6).
- All available options will be fully shared with you – we will be open and

honest about the reasons if any preferred option is not available.

- Your review will be timely, efficient and comprehensive and will be carried out in a sensitive way.
- You will be kept up to date with what is happening.

Stage 1 –Re-assessment

A Review manager will lead the process to review and reassess your needs and help you move to a new home. Where a full reassessment is needed a social worker will be involved.

The allocated Review Manager will co-ordinate your re-assessment and support planning. The Review Manager will work with you and with a number of other people and professionals, for example:

- Your family and friends
- An independent advocate
- Care Home Manager (Manager registered with the Care Quality Commission)
- Care home staff – and especially your key worker
- Health Care Professionals
- Social Worker

You will have a detailed review and reassessment of your care and support needs.

The manager in your current home will highlight any areas of support where you may have specialist needs or be vulnerable.

The manager and staff in your current care home know you well and will be heavily involved in supporting you through the whole process of re-assessment, choosing your new home, and moving into it.

Advocacy is a very important part of the moving home process. You may be happy for a friend, family member, or an organisation who knows you to help

you to think about what the move means for you. If you do want more advice and support you and your family/friends will have access to independent information, support and advocacy services. Here are some examples of advocacy services.

- York Advocacy is a local advocacy service, which offers support to people who are able to make their own choices but may find it helpful to have someone to talk things over with.
- Older Citizens Advocacy York-support for older people.
- Cloverleaf is a specialist advocacy service for people who may not have the mental capacity to make a reasoned choice, or anyone who is able to act on their behalf. An IMCA (Independent Mental Capacity Advocate) will be appointed to talk to the person and to try and understand what their views may be and how their wishes for the future can be met. An IMCA is also appointed where there is a potential disagreement between the local authority and the person acting on your behalf. In these instances, a Best Interest Meeting is held to capture everyone's opinions and views and to resolve any issues.
- Older Citizens Advocacy York-support for older people
- Deprivation of Liberties Safeguards (DoLS) - Residents who do not have the mental capacity to consent to their care and accommodation arrangements must be considered for DoLS by the home before they move. The home applies to CYC and a Best Interest Assessor and Mental Health Assessor will be allocated to assess them against the DoLS criteria. This will be authorised (if appropriate) by CYC.

- If you want help contacting an advocacy organisation, or another organisation that you would trust to help you, we will help you to do this. Please let either your Review Manager, or a member of staff know.

Life Profile. Many care homes already complete a 'This is me profile' with each resident as a means of recording personal aspects of your life. The content is decided by you and can include such things as a personal history, likes and dislikes, relationships, education, memories, and interests and photographs both past and present. This profile can go you when you move. A member of staff at your current care home, probably your key worker, will work with you to ensure that you have such a profile and that it is fully up to date before your move.

*Social care assessment and Support Plan record. **The Review manager will complete a social care assessment and Support plan record - which represents the assessment information collected from yourself, the care staff, and any family members / friends and will reflect your care and support needs prior to your move to a new home. This will be shared with yourselves and the home – if you are in agreement. You will also have an opportunity to meet staff from your new location who will also gather information regarding your care and support needs.***

Stage 2 – Choosing a new home

It is important for you to feel that you have choice and control over your future home and support arrangements. This means making sure that you are able to:-

- Consider all available options
- Make a positive choice about which future support service you prefer

The options for you to consider will include: –

- Another registered residential or nursing care home in York or in an area nearer family and friends.

Some people may want to think about other options that can increasingly help people live with support in their own homes. If you are interested in thinking about other options these may include:

- Extra Care Housing, where you would have your own apartment with on site support and a flexible care team for residents
- Sheltered Accommodation with monitoring & support available
- Independent/supported living
- Living with family and others.

If you have friends in your current care home that you would ideally like to move with, it is important to discuss this with them and your Review Manager as you explore the various options. If you have a pet that you would like to move with you, you will need to make this known. It may affect the

options open to you, as some homes may not be able to accept pets.

Once you have decided which option you want to pursue, your Review Manager will find out as much information as possible about what support and services are available. We will encourage and support, with the help of the current care home staff, opportunities to visit potential accommodation.

If we have any information that suggests that some of the options may not be suitable to meet your needs we will discuss this with you. For some people we recognise the number of choices may be limited.

The Review Manager will have up-to-the-minute information on vacancies in registered care homes and extra care/sheltered housing units and will try, as far as possible, to match people's preferred choices with available places.

Funding Arrangements of various options will be considered and discussed and, where necessary, financial assessments can be reviewed, so that you have all the information you need about future costs before making a final decision about which is the best option for you.

Stage 3 – Moving to a new home

Moving to a new home is a significant event for anybody, and needs to be carefully planned.

Staff at your current care home will work closely with you in the lead up to the move to ensure that everything that needs to be done is done. We have developed a series of checklists which will be worked through with you to ensure that everything is covered. For example, we will help notify everybody who needs to know about your move (e.g. GP, bank, DWP).

We will make sure your new home has all the information they need to care for you properly and ensure continuity of care for you.

In terms of your own furniture and possessions, you will need to think about what you want and are able to take with you to your new home. We will provide opportunities for you to visit your new home before the move, ensuring your new environment meets your needs. We will give you updated information of the date of your move, and the staff who will support you on the day of the move. We will also provide help with packing up your belongings and unpacking them in your new home.

The actual day of your move will be carefully planned so that the right staff support and transport is available, to ensure the move is managed as smoothly as possible.

If you have any worries or problems we want to know about them as soon as possible so that we can try to sort them out.

Stage 4 – Reviewing the move

A review of your new care arrangements will be co-ordinated by your Review Manager 4/6 weeks after you have moved into your new home. An earlier review can be arranged if required. A review can involve you, a relative or friend, your Review Manager, the manager from your new home, and anyone else you would like to involve (e.g. advocate, your key worker or manager from your old care home).

The review will consider what went well with your move and what is working well in your new home, but it will also explore any difficulties that may have arisen or concerns you may have. It will consider what you had hoped to experience in your new home and consider whether your actual experience has met these expectations. It will also identify whether there are new opportunities you would like to access in your new home, and how this might be achieved. Your Support plan record will be amended as necessary as a result of the discussion at the review and a written review form will be completed with actions as required.

Even if the first review does not raise any issues of note that need attention, your Review Manager will continue to be your allocated worker for a further 28 days to ensure consistency in case of any issues that arise. At the end of this period the responsibility for monitoring your placement will transfer back to the team responsible for reviewing placements. Reviews will take place annually, assuming that you are funded by the Local authority. An annual review for those customers self funding their placement can be arranged directly with the home management or you can ask the local authority to do this on your behalf should you wish.

For more information

Terminology:

For more information please speak to your current Care Home Manager in the first instance. He or she should be able to help you or advise you on who is best placed to deal with your specific query or concern.

If, however, you wish to speak to someone else please try the following contacts.

Care Management Team	(01904) 555858
York Advocacy	(01904) 414357
Cloverleaf	(01904) 557644
Older Citizens Advocacy - York	(01904) 676200

We will be able to give you a list of all the care homes in York and other housing options. This information can also be accessed at <http://www.york.gov.uk>.

The Care Quality Commission is another source of information on the quality of care provided by different homes, see <http://www.cqc.org.uk/>. Your friends, family, or advocate may help you to get information you want, but we can also help you get information on the homes you are interested in.

Mental Capacity Act: making decisions GOV.UK. See <https://www.gov.uk/government/mental-capacity-act-making-decision>

City of York Council Website home page:

<https://www.york.gov.uk>

Older Citizens Advocacy York
52 Townend Street
York
YO31 7QG

Tel: 01904 676200

Email: info@ocay.org.uk

York Advocacy – www.yorkadvocacy.org.uk

The Care Act 2014 – <https://www.york.gov.uk> – Under Adult Social Care

Our complaints procedure

If you have not been able to sort out a concern or problem through talking to us, or you are unhappy about the service you have received please contact the Complaints Manager, who will agree with you how best to deal with your complaint - Tel: (01904) 554080 or email haveyoursay@york.gov.uk.

Annex 4 - Equality Impact Assessment

City of York Council

EQUALITY IMPACT ASSESSMENT

1	Name and Job Title of person completing assessment	Programme Director, Older Persons' Accommodation
2	Name of service, policy, function or criteria being assessed	Policy regarding the future provision of accommodation for older people, especially residential care.
3	What are the main objectives or aims of the service/policy/function/criteria?	<p>The Older People Accommodation strategy is based on meeting people's needs and in-particular the demographic challenges we face. This is a modernisation programme to support more people to maintain living independently i.e. through the provision of more extra care.</p> <p>The provision of the right care in the right place at the right time This is expected to be achieved through:</p> <ol style="list-style-type: none"> 1. Re-providing up-to-date fit for purpose accommodation with care for those who are in residential accommodation at the moment 2. Investing in supporting older people to stay in their own homes and live independent lives for as long as possible. 3. An increase in overall capacity to meet the growth in demand; as we recognise that the current Council's physical provision is poor and does not reflect what we would expect from other providers. 4. Care will be provided throughout the locality using key partners. Currently the minority of relatives live within a 3 mile radius of the two homes detailed in phase one of the modernisation programme. Therefore movement across the City is expected. Many

		residents have only lived in each area for a short amount of time. Re-provision will include extra care, alternative residential or nursing care. In addition re-provision will be identified for the light room facilities which up to 20 LD customers use.
4	Date	14/08/17 (Updating the EIA of 31/10/2016)

Stage 1: Initial Screening

5	What evidence is available to suggest that the proposed service/policy/function/criteria could have an adverse impact on quality of life outcomes (as listed at the end of this document) for people (both staff and customers) with protected characteristics? Document the source of evidence, (e.g. past experience, anecdotal, research including national or sectoral, results of engagement/consultation, monitoring data etc) and assess relevance of impact as: Not relevant / Low / Medium / High.
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	Protected Characteristic	Not relevant		L/M/H		Source of evidence that there is or is likely to be adverse impact	
		Cust	Staff	Cust	Staff	Customers	Staff
a	Race	X	X			Consultation with communities of Interest	Consultation with staff
b	Religion/Spirituality/ Belief	X	X			Consultation with communities of Interest	Consultation with staff
c	Gender	X			L	Consultation with communities of interest	The OPH staff profile shows that the majority of the current workforce are women and those who are older may suffer adversely if seeking

Protected Characteristic		Not relevant		L/M/H		Source of evidence that there is or is likely to be adverse impact	
		Cust	Staff	Cust	Staff	Customers	Staff
							alternative work and may have the added responsibility of caring obligations. However, during the next 3 years our capacity will need to increase as we develop further provision for Older People, which will give staff a greater opportunity of employment.
d	Disability		X	H		National studies show that older and significantly frail residents may face poorer prospects in terms of health and wellbeing Consultation with communities of Interest	Consultation with staff.
e	Sexual Orientation	X	X			Consultation with communities	Consultation with staff

Protected Characteristic		Not relevant		L/M/H		Source of evidence that there is or is likely to be adverse impact	
		Cust	Staff	Cust	Staff	Customers	Staff
						of Interest	
f	Age			H	H	National studies show that older and significantly frail residents may face poorer prospects in terms of health and wellbeing.	The OPH staff profile shows that the majority of the current workforce are women and those who are older may suffer adversely if seeking alternative work and may have the added responsibility of caring obligations.
g	Pregnancy/ maternity	X			L	Consultation with communities of Interest	Consultation with staff (one staff member affected)
h	Gender Reassignment	X	X			Consultation with communities of Interest	Consultation with staff
i	Marriage and Civil Partnership	X	X			Consultation with communities of Interest	Consultation with staff
j	Carers of older and disabled people			M	M	Information in our corporate Carer's Strategy shows that there may be adverse effects on	Information in our corporate Carer's strategy, as well as information from the York Carers' Centre, shows that middle-aged

Protected Characteristic	Not relevant		L/M/H		Source of evidence that there is or is likely to be adverse impact	
	Cust	Staff	Cust	Staff	Customers	Staff
					the carers of older and frail people if they do not settle in their new environment	women who are carers themselves find it difficult to find and keep any type of employment.
<p>If you assess the service/policy/function as not relevant across ALL the characteristics, please proceed to section 11. If you assess the service/policy/function as relevant for ANY of the characteristics, continue to Stage 2, Full Equality Impact Assessment.</p>						

Stage 2: Full Equality Impact Assessment

6	Are there any concerns that the proposed or reviewed service/policy/function/criteria may be discriminatory, or have an adverse impact on members of the public, customers or staff with protected characteristics? If so record them here	
a	Public/ customers	Yes – possible negative effects on health, security and well-being of frail residents.
b	Staff	Yes – older women especially those who are also carers in their home environment with limited ability to move and find other jobs.
<p>If there are no concerns, go to section 11. If there are concerns, go to section 7 and 8 amend service/policy/function/criteria to mitigate adverse impact, consider actions to eliminate adverse impact, or justify adverse impact.</p>		
7	Can the adverse impact be justified? E.g. in terms of community cohesion, other legislation, enforcement etc. NB. Lack of financial resources alone is NOT justification!	
<p>Customers – Yes. There are studies that show that frail residents may suffer detriment if moved from current homes. However, our quality assurance studies as well as the results of consultation showed that the current OPHs, whilst in reasonably good condition, are 40-50 years old and no longer meet current residents' needs and also are not fit for the future. Their size and design make it more difficult for staff and other practitioners to care for</p>		

<p>people living with dementia and high dependency care needs.</p> <p>Staff – Yes because staff consultation shows that above all else they want to improve the care environment for our customers and also are obliged by changes in national policy to deploy resources differently.</p>			
8	<p>What changes will you make to the service/policy/function/criteria as result of information in parts 5&6 above?</p>		
<p>There will be no changes to the proposed policy of reprovision. However, we shall put in place a number of remedial actions, which are listed in item 10 below.</p>			
9	<p>What arrangements will you put in place to monitor impact of the proposed service/policy/function/criteria on individuals from the protected characteristics?</p>		
<p>OPA Programme Board will oversee the consultation over the review proposals, and subsequent implementation of Members' decisions.</p> <p>Assessment & Safeguarding Care Managers and OPH Managers will monitor the impact of any changes on individual residents. They will also track feedback from relatives and, where appropriate request independent advocates looking out for the interests of individual residents.</p> <p>Commissioning & Contracts Managers will monitor the quality of service provided in whatever model of service provision is decided upon by Members.</p> <p>OPH Managers, Human Resources, and Trade Unions will support OPH staff through any change process that flows from the Members' decision on this OPH Review.</p>			
10	<p>List below actions you will take to address any unjustified impact and promote equality of outcome (as listed at the end of this document) for staff and other people with protected characteristics. Consider action for any procedures, services, training and projects related to the service/policy/function/criteria which have the potential to promote equality in outcomes.</p>		
	Action	Lead	When by?
	<p><u>Customers</u></p> <p>We have developed a 'Moving Homes Safely' protocol. The document describes the process that will be followed when a care home faces planned closure, and its residents need to be re-assessed and moved to a new home. The document is written in Plain English and outlines for residents and their relatives what</p>	<p>Head of Service (Operations)</p>	<p>Until the project has been completed. Consultation started 19 June 2017.</p>

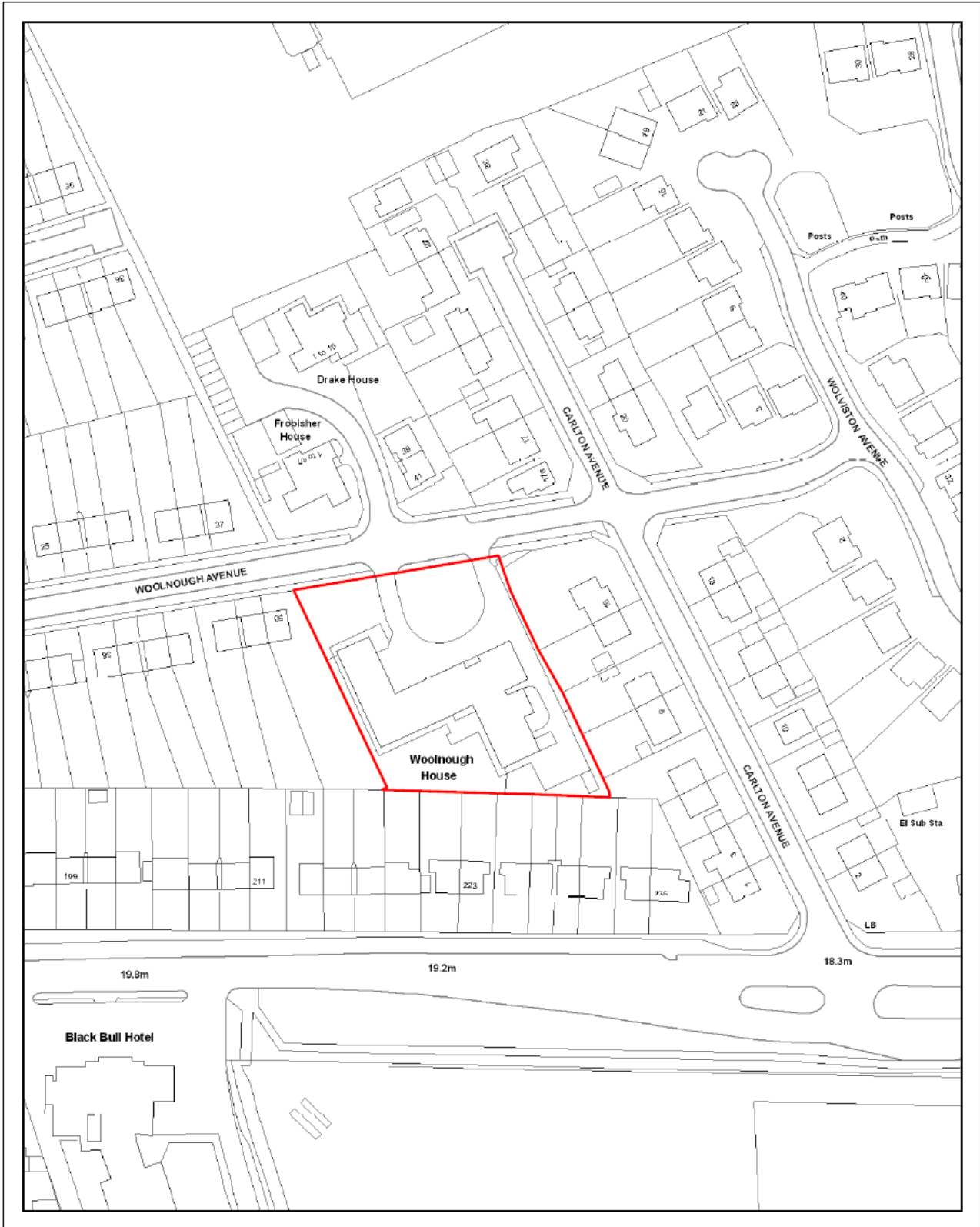
<p>will happen at each stage of the process, which includes: Re-assessment; Choosing a new home; Moving to a new home; Reviewing the move; and who will be involved in supporting them along the way. Age UK, Older Citizens Advocacy York (OCAY) and the York LINK Readability Panel has previously commented on the protocol to ensure that, from a resident's perspective, the process and document are clear and make sense.</p> <p>Staff</p> <p>The modernisation programme agreed will take in the order of three years to implement. This timescale (2015-2018) combined with current vacancies and requests for early retirement indicate that there will be minimal need for compulsory redundancies. We will work closely with OPH Managers and staff, the Trade Unions and Human Resources to ensure that there is a fair, open and transparent process for dealing with staff moves between current homes, and into the new care homes, when built.</p>	<p>Head of Service (Operations)</p>	<p>Until the project has been completed.</p>
11	Date EIA completed	14/08/2017 (Updating the EIA of 31/10/2016)
<p>Author: Roy Wallington Position: Programme Director, Older Persons' Accommodation Date: 14/08/2017</p>		
12	Signed off by	[signature removed for on-line publication]
<p>I am satisfied that this service/policy/function has been successfully equality impact assessed.</p> <p>Name: Martin Farran Position: Director – Adult Social Care Date: 14th August 2017</p>		

Quality of Life indicators
(aka 'The 10 dimensions of equality')

We must ensure there is no adverse impact in terms of:

- ❑ Longevity, including avoiding premature mortality.
- ❑ Physical security, including freedom from violence and physical and sexual abuse.
- ❑ Health, including both well-being and access to high quality healthcare.
- ❑ Education, including both being able to be creative, to acquire skills and qualifications and having access to training and life-long learning.
- ❑ Standard of living, including being able to live with independence and security; and covering nutrition, clothing, housing, warmth, utilities, social services and transport.
- ❑ Productive and valued activities, such as access to employment, a positive experience in the workplace, work/life balance, and being able to care for others.
- ❑ Individual, family and social life, including self-development, having independence and equality in relationships and marriage.
- ❑ Participation, influence and voice, including participation in decision-making and democratic life.
- ❑ Identity, expression and self-respect, including freedom of belief and religion.
- ❑ Legal security, including equality and non-discrimination before the law and equal treatment within the criminal justice system.

Plan of Woolnough House Site and associated land



Resources
Property Services

Woolnough House Elderly Peoples Home



SCALE 1:1,218

DRAWN BY: GR

DATE: 02/11/2010

Originating Group:

Property Services

Drawing No.

E00647

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Executive

31 August 2017

Report of the Corporate Director of Health, Housing and Adult Social Care and the Corporate Director of Children, Education and Communities
Portfolio of the Executive Member for Adult Social Care and Health and the Executive Member for Environment

Investment in new Extra Care Accommodation for older people at Marjorie Waite Court following the closure of Burton Stone Community Centre

This report provides information on the outcome of public consultation concerning the future of Burton Stone Lane Community Centre and asks Members to confirm its closure and approve investment into the provision of a 33 home extension to Marjorie Waite Court Extra scheme to provide accommodation for older people and new community facilities.

Recommendations

1. The Executive are asked to:
 - a) Agree that Burton Stone Community Centre (“the Centre”) should close in 2018 with services transferring to other locations and that new, community focused, facilities be provided and integrated into the newly built extension of Marjorie Waite Court.
 - b) Approve the appropriation of the site of the Centre for planning purposes to facilitate the redevelopment of the site for an Extra Care Scheme to contribute to the promotion or improvement of economic, environmental or social well-being of the Council’s area.
 - c) Approve the gross capital investment of £6.667m in the 33 apartment and bungalow extension of Marjorie Waite Court Extra Care Scheme and new Community Facilities in order to help to meet the need for additional Extra Care accommodation in York and to continue community activities in the area.
 - d) Agree to dispose of up to ten of the new Extra Care apartments for purchase as Older People’s Shared Ownership opportunities in accordance with the Council’s Financial and Contract Procedure Rules, helping to meet the need for tenure diversity in Extra Care provision in York, subject to obtaining any necessary consent (from the Secretary of State for Communities and Local Government) under Section 32 of the Housing Act 1985 and subject to a market

value test and cost benefit appraisal closer to the date of completion, with the receipts received used to reduce the gross cost of the scheme and, should the sale not proceed, retain some or all of these properties for rent.

- e) Recommend to Council that the estimated £6.667m of gross cost for the Marjorie Waite Court extension and the community facilities are added to the Capital Programme with the costs to be funded from the Housing Revenue Account (HRA) investment reserve, recycled right to buy receipts, other Housing Capital Receipts and capital held by the Older Persons Accommodation Programme for the purpose of expanding the provision of accommodation with care with the receipts received from the sale of Older People's Shared Ownership properties being used to reduce the gross cost of the scheme.

Reason: In order to delivery a more cost-efficient community facility service and increase the supply of Extra Care accommodation with care to address the changing needs and aspirations amongst York's older population and ensuring that more can choose to live independently at home.

Summary

2. This report lays out the reasons for closing the Burton Stone Community Centre and using the land provided from this to expand the neighbouring Marjorie Waite Court Extra Care Scheme. The extension, which forms part of City of York Council's Older Persons' Accommodation Programme, seeks to improve care provisions for older persons within York, to better deal with an aging population.
3. Burton Stone Community Centre is currently running a large deficit, and is estimated to cost the council over £500,000 over the next 5 years. The centre's closure would prevent this loss of finances and will facilitate the development of 33 much needed Extra Care accommodation for older persons.
4. The Marjorie Waite Court extension will feature a 172m² community facility, which can be used by community groups. It is hoped this will help to integrate residents into the community and will aid in replacing the lost community centre.
5. The overall capital cost for this development is expected to be £6.667m. The Older Persons' Accommodation Programme will provide £1.018m for the enabling works; the remaining will be funded through the HRA.

Background

6. In July 2015 Executive agreed the Older Persons' Accommodation Programme which will deliver an increase in the type and quality of accommodation with care for older people while also overseeing the replacement of out of date provision. The context for this change is York's growing elderly population, with the number of residents aged 75 and over expected to increase by 50% by the year 2030. The number with complex needs including dementia is growing even faster. 80% of older persons' households are owner-occupiers. There is a shortage of good quality residential and nursing care beds and there is also a shortfall in provision of Extra Care accommodation, as the table below illustrates.

Demand & Supply projections	2015	2020	2030
Estimated Demand based on national benchmarks	440	490	645
Current provision	110		
Planned provision			
SHECs to Extra Care	125		
Glen Lodge Extension		27	
Oakhaven		56	
New Lodge – net new		75	
Shortfall in provision	- 205	- 97	- 252

7. Extra Care enables individuals to live independently in their own home, including those with complex needs such as dementia. Residents living in Extra Care Schemes receive high quality care, which is tailored to their individual needs, allowing them to continue to live as independently as possible. Extra Care also provides a sense of community to older people, as schemes offer activities and communal areas for all residents to engage in and meet in. The aim of this is to reduce social isolation, this is vital for the health and well being of older persons'. City of York Council believe that Extra Care Schemes delay or better still prevents the admission into residential and nursing care and offers a better quality of life.
8. At the Executive Member for Economic Development and Community Engagement decision session held on 3rd December 2015 investment in the city's Community Centres was considered and, as part of those deliberations, it was agreed "the commencement of a consultation programme to identify Clifton residents' needs for future provision".

The Proposal

9. The feedback from the consultation regarding the future of the Centre and residents' needs for future provision is summarised below and in **Annex 1**. In light of this feedback it is proposed that the Centre be

closed and a new fit for purpose community space is built to accommodate a programme of activity that meets the needs of Clifton residents. Recognising that the Centre has become the home for many citywide groups, a relocation programme is being implemented to ensure groups are found suitable alternative spaces to minimise the impact of this closure. Key users, including the Coronary Support Group and the Activity Service for People with Learning Difficulties, will relocate to The Centre @ Burnholme and take advantage of the wider range of opportunities available at the Burnholme Health & Wellbeing Campus.

10. Subject to Executive agreement to close the Centre it is proposed that the site is used to facilitate the building of an extension to Marjorie Waite Court which is one of City of York Council's Extra Care Schemes. The scheme currently provides 42 homes comprising of: 22 flats, both one and two bedroom in the main building and 20 other properties, mostly consisting of bungalows around the outside of the building. The scheme provides planned care from the Personal Support Service 24 hours a day.
11. The Older Persons' Accommodation Programme Board and the Capital & Asset Board have considered the subject of the extension to Marjorie Waite Court on several occasions, most recently on 11th January 2016 when it was decided to proceed with the examination of the option to extend Marjorie Waite Court and on the 24th May 2016, when it was decided that the extension should be part of the public consultation on the closure of the Centre. The proposal to invest has been the subject of review and agreement by the Older Persons' Accommodation Programme Board, most recently at their meeting on 3rd April 2017 when it was agreed that Executive is asked to sanction the investment in the extension of Marjorie Waite Court Extra Care Scheme in order to meet the need for additional Extra Care accommodation in York.

Investment in Extra Care and new community facilities

12. The extension proposed for Marjorie Waite Court is to build 33 new homes comprising: 29 new Extra Care apartments (a combination of 1 and 2 bed) as an extension of the current three-storey main building and 4 two bedroom bungalows to the north of the site. Of these new homes, we would expect at least a third and ideally 40% to be occupied by someone with a high care need. A number of the new homes will be designed to be dementia friendly, recognising the growing need for such accommodation.
13. Up to ten of these new apartments would be offered for sale (by way of long lease rather than transfer of freehold ownership) to people aged 55 or over who will initially acquire a 75% share in the leasehold interest of

the apartment through the Older People's Shared Ownership scheme. Although they would only initially own 75% of the leasehold interest it is proposed that they would not pay the council any rent. This would therefore represent a discount/disposal at below full market value as normally the leaseholder would pay the landlord a rent which reflects the fact that the leaseholder doesn't own the remaining 25% of the leasehold interest. The leaseholder would also need to have care needs and therefore be eligible for Extra Care accommodation.

14. In order to facilitate this extension, the Centre will be demolished and the proposed apartments and bungalows would then be built on the cleared site. The apartments will be clustered to create 'family units' with shared communal area of living room, dining room and kitchenette to aid and encourage social interaction. This arrangement is particularly beneficial for people with dementia.
15. The proposed extension will cost approximately £6.667m [at Q2 2018 prices] which includes £1m of enabling works including demolition of the Centre, an asbestos removal contingency, the building of the new boiler house and meter room, provision of the new Community Facility and diversion of mains services.
16. Some apartments will be designed as open plan, therefore increasing suitability for residents with complex needs including dementia. An open plan design, differentiated front doors and indoor routes for purposeful walking allows residents living with dementia to orientate in their surroundings with ease and lack of distress.
17. New communal areas and enhancement to existing communal facilities will also be provided for existing Marjorie Waite Court residents. These areas will meet demand for more space due to a greater amount of residents. All residents will be encouraged to use old and new communal facilities. Additional buggy storage will also be built to accommodate for the increased demand created by the addition of apartments. Current residents have voiced that increased buggy storage space is a provision they are in need of. The extension will also provide ease of connectivity to the main building for bungalows 31 & 32.
18. External areas will be carefully thought through taking into consideration any urban characteristics of the area. Public and private areas will be landscaped in order to deliver a sense of purpose, considering topography and sun paths. 26 car parking spaces are proposed, for use by Marjorie Waite Court residents, staff, visitors and users of the new community facility.
19. Included in the plans for the extension of Marjorie Waite Court is the added provision of a Community Facility. This will be 172m² in size and will provide bookable space for community groups to use. The

Community Facility will also have a lobby/waiting area and access to a kitchenette and toilet facilities.

20. A new entrance to the building will be created and will facilitate the integration of the Extra Care Scheme and the Community Facility. This is to enable social interaction between the scheme and the local community. It is important to develop these community links to reduce social isolation among the residents and encourage them to take part and get involved.
 21. A new plant room will be built that will house the boilers currently located in the basement of Burton Stone Community Centre. This plant room and the diversion of utility services will need to be built first, with the plant room as a stand alone building, in order to facilitate the re-development.
 22. The provision of new community space is beneficial. The Centre was built in 1940 as a school, was converted in 1986 and is therefore no longer fit for purpose. The building is old and requires a lot of maintenance work. The Centre, though very busy with the services that use it, is operating at a large financial loss. In March 2016, a detailed business plan was created and shared with users and members of the public, which demonstrated over the next five years that the Centre would operate at a loss of over £500,000. It is no longer financially viable to keep the Centre operating in the current building.
 23. The extension at Marjorie Waite Court will provide a new, financially viable Community Facility which will support the re-provision of community activities. Local groups such as Reflex Dance Club who use the facility regularly will be able to use this new community space to continue the running of their club and maintain local youth activity in the Clifton Ward.
 24. The new Community Facility will be operated alongside Marjorie Waite Court, sharing facilities management arrangements like health and safety, maintenance and cleaning.
 25. The programming of the new community space needs to be explored with the option of having resident, community and user group involvement to ensure the right mix of activities at an affordable price. For the long term sustainability of the new Community Facility, income will need to cover all operating costs.
 26. The space provided will promote a sense of community. It will encourage the local community into Marjorie Waite Court, enabling links between residents and the local community to be established. These community links are vital to the health and wellbeing of older persons'. The integration of a community space into Marjorie Waite Court will be beneficial for the community as a whole.
-

27. The council have made all users of the existing Community Centre aware of the plans; some users have already moved out of the building and found alternative accommodation. The council will offer suggestion as to alternative accommodation for the remaining groups, whether this is a permanent arrangement or temporary until the new facility is ready to use.

Consultation

28. Residents of Clifton and users of the Centre have therefore been consulted regarding the proposals to close Burton Stone Community Centre to facilitate the Marjorie Waite Court extension.
29. A leaflet drop was conducted inviting residents to drop in sessions which took place on, Wednesday 8th February 2017, 10am-12pm, Tuesday 14th February 2017, 4pm-6pm and Thursday 16th February 2017, 5pm-7pm.
30. The leaflet also included a brief description of the proposals, a picture of the plans and space for feedback to be written and with an address to post it to. It also included a website which contained all the information and an opportunity to fill in a consultation feedback form online.
31. In summary, the feedback highlighted:
- a) The plans are sensible and a good idea as the current Community Centre is no longer sustainable or fit for purpose.
 - b) The plans will create a much needed boost for the community.
 - c) The plans look good and there is a desperate need for housing for the elderly needing support in this area.
 - d) The size and shape of the proposed community room, which was 150m² during consultation, is not satisfactory as it was felt that at this size it will not meet the needs of the current community groups it will serve.
 - e) There is not enough storage space.
 - f) Parents and guardians need space to sit and wait.
 - g) The landscaped garden is too big; the space could be used to make a bigger community room.
 - h) It is not fair to unsettle and disrupt users who are happy at the centre.
 - i) It is a shame that the same resources will not be on offer.
 - j) Twelve parking spaces will encourage users to drive.
 - k) Trees should not be planted near the parking spaces as the leaves can make the car park slippery when wet.
 - l) Noise from community space could affect Marjorie Waite Court residents.

A more detailed report on the consultation is shown as **Annex 1**.

32. Detailed plans for the extension have taken these comments into account, as follows:

Issue	Change
<p>The size and shape of the proposed community room, which was 150m² during consultation, is not satisfactory as it was felt that it will not meet the needs of the current community groups it will serve.</p>	<p>The dimensions of the proposed community facility have increased from 150m² to 172m² and also reflect the wish to have a sound proof sliding partition to create two activity spaces.</p> <p>The activity hall has a total area of 172 m², made up of:</p> <p>Area1 – 68 m²</p> <p>Area2 – 104 m².</p> <p>The floor to ceiling height of the activity hall is estimated at 4.5m, which will facilitate dance and other active uses.</p>
<p>There is not enough storage space.</p>	<p>Storage capacity will be incorporated into the final design of the space.</p>
<p>Parents and guardians need space to sit and wait.</p>	<p>A separate WC and lobby of 28 m² outside the main activity space supports parents who may need to wait for their children that are taking part in activity.</p>
<p>The landscaped garden is too big; the space could be used to make a bigger community room.</p>	<p>The front landscaped garden has been made smaller in order to accommodate the larger community facility.</p>
<p>Noise from community space could affect Marjorie Waite Court residents</p>	<p>The new facility is now stand alone and has no dwellings either to its side or above, a change from the original proposals.</p>
<p>Twelve parking spaces will encourage users to drive</p>	<p>The number of parking spaces (at 26) will be kept under review but are intended for both community centre and Marjorie Waite Court visitors.</p>

33. These design changes will allow relevant groups to be programmed back into the new community facility (as shown in **Annex 1**) with these updated plans having been used to cost the scheme for which investment is now sought.
34. Because the land is a community centre it may currently or recently have used by the public for recreation purposes and, therefore, be classed as 'open space' pursuant to Section 336 of the Town and Country Planning Act 1990. We have therefore undertaken the required statutory consultation process related to the appropriation of this land with advertisements placed in the local newspaper in the weeks beginning 3rd and 10th July 2017. No objections were received.

Delivery Timetable

35. Should investment be agreed, an outline delivery timetable for the extension is as follows:

Tasks	2017				2018				2019			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Marjorie Waite Court Extension												
Consultation on BSCC closure	■											
Executive agree to MWC extension			■									
MWC planning application				■	■							
Procure MWC extension constructor					■	■						
Mobilise then construct MWC Extension							■	■	■	■	■	■

36. This plan dovetails with the construction timetable for The Centre @ Burnholme which will open in Q2 2018 and accommodate the learning disability activities which currently operate from Burton Stone Community Centre. Therefore, the closure of Burton Stone Community Centre will only take place after the transition of the learning disability activities to Burnholme which is forecast for Q2 2018.

Council Plan 2015-2019

37. The Programme is set in the context of the council Plan for 2015-19 and will contribute to achieving its ambitions. Based on our statutory responsibilities and the aims of the new administration, the plan focuses on three key priorities:
- a prosperous city for all - where local businesses can thrive and residents have good quality jobs, housing and opportunities
 - a focus on frontline services - to ensure all residents, particularly the least advantaged, can access reliable services and community facilities

- a council that listens to residents - to ensure it delivers the services they want and works in partnership with local communities

38. To support these corporate priorities, and under the guidance of the Health & Wellbeing Board, York has developed proposals to achieve a new focus for adult health and social care which delivers:

- a) self care and self management;
- b) better information and signposting;
- c) home is best;
- d) early intervention and prevention;
- e) reablement and intermediate care (targeted resources);
- f) managing long term conditions; and
- g) delivering services at a community level where this is desired and possible;
- h) to reduce loneliness and increase social interaction amongst older persons and their communities; and
- i) that York becomes a dementia friendly environment.

Implications

Equalities

39. In considering this matter the council must have regard to the public sector equality duty. In summary, those subject to the equality duty must, in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Equalities Act 2010.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.

40. The Equalities Act 2010 explains that having due regard for advancing equality involves:

- Removing or minimising disadvantages suffered by people due to their protected characteristics.
- Taking steps to meet the needs of people from protected groups where these are different from the needs of other people.

- Encouraging people from protected groups to participate in public life or in other activities where their participation is disproportionately low
41. The Equality Impact Assessment in relation to the proposed closure of Burton Stone Community Centre identifies that the overall impact is minimised due to the re-provision of community space and the following additional considerations have been addressed:
- a) If the new proposed community space has not met the needs of a group then permanent relocation has been agreed in consultation with the users.
 - b) Temporary relocation of user groups between when the centre closes and the new centre opens is yet to be defined exactly, therefore an action has been recorded to monitor any impacts.
42. The Equality Impact Assessment dated 14th August 2017 is attached as **Annex 2**.
43. The expansion of Marjorie Waite Court forms part of the Older Persons' Accommodation Programme and therefore the Equality Impact Assessment relating to those changes is the subject of regular review.

Financial

44. The overall capital cost of the development is anticipated to be £6.667m, of which £1.018m has been set aside from the Older Persons accommodation project to fund the enabling works and replacement community facilities.
45. The capital cost of the enabling works and the new community facilities, which enable the overall development, will be met from the Older Persons' Accommodation Programme and £1.018m capital provision has been made for this purpose. Including this provision, £5.3m of commitments have been made against this budget with available resources being £5.8m. The bulk of the capital available to the Older Persons' Accommodation Programme comes from the sale of OPH sites and, to date, these sales are anticipated to generate receipts of at least £8.5m.
46. It is proposed that the bulk of this investment is an HRA development and primarily funded from HRA resources. The estimated HRA development costs for 2,990 m² of accommodation plus landscaping, etc, are £5.649m at Q2 2018 prices. This cost per home (£171k) is comparable to the cost of the Glen Lodge extension (£172k per home at the same price base).

47. The HRA would need to appropriate for planning purposes from the General Fund the Land at Burton Stone Community Centre, the value of which is calculated at £350,000. This will result in a debt adjustment reducing General Fund costs by £14k with an equal increase to HRA debt costs. Once more, this is a comparable land cost to that incurred for the Glen Lodge extension.
48. It is proposed that the HRA capital funding would be a combination of eligible right to buy receipts at £1.7m and the balance of £3.9m to come from investment reserve and/or capital receipts.
49. The scheme will provide new social housing and therefore eligible right to buy receipts can be used to fund up to 30% of the overall cost (£1.695m). The balance of £3.954m can be funded from other Housing capital resources.
50. In 2013 Members agreed to the creation of an investment reserve totalling £20m to support new house building across the city. There remains £4.056m unallocated. There are also £8.2m available from general housing capital receipts and commuted sums that can be used to fund the expenditure. The future funding of council houses will be reviewed this year as part of the Housing Business Plan review.
51. Should the ten apartments in the development be disposed of by way of Shared Ownership lease in return for receipt of a Premium payment, the target lease premium values, based on external advice, of between £200 and £335 per square foot have been achieved locally and, therefore, we have modelled the Shared Ownership disposal of ten dwellings (2 x two bed and 8 x 1 bed) to generate a receipt, less the cost of sale, of approximately £1.2m.
52. The other properties will be rented out under the normal Council Secure Tenancy Agreement and Basic Rent will be charged at c£71 per week (to match existing homes at Marjorie Waite Court). In addition there will be charges to reflect the cost of service charge and care. The service charge is not yet calculated but is likely to increase to match the charges levied at other Extra Care schemes in the city. This will contribute a gross rent of £124k which reduces to £88k following management costs and repairs. This reduces to £74k once the debt charge adjustment is taken into account.
53. Assuming full occupancy and long term rents increasing by 2% per annum the payback period to notionally repay the £3.954m balance of funding would be 34 years excluding the additional debt costs. The balance of funding and the time it takes to repay will reduce should five apartments be sold into Older People's Shared Ownership.

54. The revenue cost of the new extra care provision associated with the extension will be met from charges to customers and from the Older Persons' Accommodation Programme budget.

Legal

55. Section 122 of the Local Government Act 1972 authorises the Council (through approval from the Council's Executive) to appropriate to another purpose any land owned by the Council which is no longer needed for the purpose for which it was held by the appropriation. Since it is proposed to substantially redevelop the site, it is recommended that the site is appropriated for 'planning purposes' to facilitate its redevelopment. The Council is registered as the owner of the site at the Land Registry and the register of title does not refer to the site as being subject to any covenants or other encumbrances/third party rights that should prevent redevelopment (apart from an easement granted in 1988 to a water supply company, which has since been taken over by Yorkshire Water, for the installation and use of a water main through part of the site pursuant to a deed which prohibits interference with that water main or building over/in the immediate vicinity of it). However the site could potentially be subject to any unknown/unregistered encumbrances.
56. The Council's Executive is entitled to appropriate for planning purposes land owned by the Council if it is considered that the appropriation either:
- (i) will facilitate the carrying out of development, redevelopment or improvement on the land which is likely to contribute to the promotion or improvement of economic, environmental or social well-being of the Council's area or
 - (ii) is required for a purpose necessary to achieve in the interests of the proper planning of the area in which the land is situated.
57. Section 237 of the Town and Country Planning Act 1990 authorises the development/redevelopment of land acquired or appropriated for planning purposes if the development is carried out in accordance with planning permission notwithstanding that the development/redevelopment interferes with or breaches encumbrances or third party rights over the land such as rights of way, other easements or covenants restricting use/development. The beneficiaries of those rights cannot use their rights to prevent development authorised by planning permission – instead they would be entitled to claim compensation from the Council for the interference with those rights. However Section 237 does not authorise interference with the rights of statutory undertakers such as Yorkshire Water so any redevelopment of the site should be carried out so as to not breach the

Council's obligations under/interfere with Yorkshire Water's rights under the 1988 deed referred to above.

58. As appropriation for planning purposes could interfere with unknown third party rights that may potentially currently affect the site (including private property rights protected by the European Convention on Human Rights) before making a decision on this point Executive must consider and be satisfied that any such interference is justified and proportionate when balanced against the benefits to the community which would be delivered by the proposed redevelopment.
59. Land appropriated for planning purposes can be redeveloped for Council-owned housing and held within the Housing Revenue Account.
60. The Centre, or at least part of it, has probably been used by the public for recreational purposes and would therefore be classed as 'open space' pursuant to Section 336 of the Town and Country Planning Act 1990. Section 122(2A) of the Local Government Act 1972 requires that the Council publish a notice in a local newspaper in two consecutive weeks and give due consideration to any comments/objections received before it appropriates/changes the use of any open space land belonging to it. Accordingly a notice advising of the proposed appropriation of the Centre for redevelopment as an extension to Marjorie Waite Court was published in 'The Press' on 3rd and 10th July, requesting that any comments/objections be submitted by 26th July. No comments/objections have been received.
61. With regard to the Older People's Shared Ownership opportunities, Section 32 of the Housing Act 1985 requires that the consent of the Secretary of State (for Communities and Local Government) is obtained before the Council can dispose of any interest (including the grant of a lease) in property held for housing purposes.
62. Under Section 32 of the Housing Act 1985 the Council needs the consent of the Secretary of State (for Communities and Local Government) to dispose of housing property ('dispose' includes the grant of a lease although consent is not required for the grant of a secure tenancy). A General Housing Consents Order ("the Order") gives Secretary of State consent in certain circumstances, including for the disposal of dwellings at market value. If the Council wished to dispose of dwellings for less than market value (except in accordance with Right to Buy) then it would need to specifically apply for and obtain Secretary of State consent. Paragraph A3.3.1 of the Order gives consent to the disposal of a dwelling to someone who intends to use it as their only or principal residence provided that the purchase price is not less than the full market value minus the minimum discount which would be applied if the disposal were in accordance with Right to Buy.

Similarly paragraph A3.5.1 of the Order permits (but does not oblige) the Council to give a discount on the 'sale price' when disposing of a dwelling by way of a shared ownership lease provided that the discount cannot exceed the minimum discount which would be applied if the disposal were in accordance with Right to Buy. However if the Council wants instead to waive the collection of rent for the share which the leaseholder/tenant does not own, then this would fall outside the Order and consent for that would need to be specifically obtained from the Secretary of State. It is hoped that consent would be obtained in these circumstances.

63. Alternatively, if the Council ensures that full market value is obtained (or that the only discount given to a Shared Ownership leaseholder is one which does not exceed the amount of the minimum Right to Buy discount) then specific consent will not need to be obtained from the Secretary of State.
64. As the proposed Shared Ownership leases of some of the apartments will be granted for a Term of more than 21 years, those will be classed as 'long leases' and therefore those leaseholders will not be secure tenants. (However the other tenants of the non-shared ownership apartments and bungalows will be secure tenants under the Housing Act 1985. Once someone has been a secure tenant for at least 5 years they normally can exercise the 'Right to Buy' (the freehold of a house or be granted a 125 year lease of a flat/apartment at a discounted price). However Schedule 5 of that Act excludes the Right to Buy where the dwelling is one of a group of dwelling houses which are particularly suitable for occupation by elderly persons (having regard to design and other features) and which the landlord normally lets to elderly persons or physically disabled persons and also excludes it if the dwelling has features which are substantially different from ordinary dwellings where the landlord normally lets such dwellings to physically disabled persons who receive a social service/special facilities. The Right to Buy should therefore not apply to these proposed new dwellings).
65. A Shared Ownership lease normally allows the leaseholder/tenant to 'staircase' up to owing 100% of the leasehold interest from their initial share by paying further amount(s) to the landlord. Once such a tenant has held the lease for at least 2 years then provided they have staircased up to a 100% interest, then (pursuant to the Leasehold Reform, Housing and Urban Development Act 1993) they have the right to extend the Term of the lease for a further 90 years in return for paying a premium to the Council/landlord if the Premium could not be agreed then it would be determined by the Lands Tribunal.

66. The procurement of any building contractor and any other services or advice from external parties will need to be carried out in accordance with the Council's Contract and Financial Procedure Rules (and also in accordance with the Public Contracts Regulations if the value of the contract exceeds the applicable threshold specified in those Regulations).

Property Services

67. The capital asset board has considered alternative uses of the site with two options being considered in detail. Both options include a small community facility to reflect the needs identified from the user consultation;
- a) Extension to Marjorie Waite Court
 - b) New general needs housing
68. Both options were reviewed by the Director of Health, Housing and Adult Social Care and the Executive Member who concluded that the preferred option was using the land so that an extension can be built to Marjorie Waite Court Extra Care scheme because this will deliver much needed accommodation with care for older people, will deliver operational efficiencies in the running of Marjorie Waite Court and, via the move of residents to the new Extra Care Homes, will free up much needed family homes. This option also delivers the best overall financial advantage for the General Fund.
69. The decision was taken in the knowledge that family homes are also needed in the city and work is underway as part of the Housing Delivery Programme to address this need.
70. Therefore, it is concluded that the option to extend Marjorie Waite Court Extra Care scheme is the preferred and recommended option as it delivers strategic, service and financial benefits and there are investment resources available to fund it.
71. Market valuation advice received in July 2016 showed that the nearby Bootham Green development created out of the former Shipton Street School buildings and comprises 38 homes of which nine were affordable (three for discount for sale and six social rented), was, completed in 2014 and sold extremely well with all units reserved well before completion. Sales of new builds typically were £200-£250 per sq ft capital value. Advisers also note that "one of the three bed new build houses which we are told sold originally for £230,000 (£203 per sq ft capital value) currently is under offer as a second sale at £380,000. This devalues to £335 per sq ft capital value, an increase in two years of over 65%". Therefore, it would be sensible but prudent if we target a 2019 value of £300 per sq ft for modelling purposes – i.e. £171,000 for

a one bed home and £206,000 for a two bedroomed home, minus a 25% discount, and update this closer to the point of sale in 2019.

Human Resources

72. There are two part time employees (FTE 1.1) who will be at risk of redundancy from the closure of the Centre. Both employees are 'Community Centre Facilitator's' in the Children, Education and Communities Directorate. Consultation with the staff and unions remains ongoing and formal consultation would commence immediately following a formal decision on closure. Any impact on staff will be supported by the Supporting Transformation change management policy.

Other Implications

73. There are no other implications arising from this report.

RISKS

74. These proposals have risks associated with them; these have been identified, will be kept under review and will be carefully managed. However, because the authority has done this before, and followed a similar process, it is believed that these risks are manageable.

ref	Risk	Mitigating Action
a)	A delay to the opening of the Burnholme development would have a direct impact on the timetable for the closure of the Burton Stone Centre and the construction of the Marjorie Waite Court extension.	All stakeholders are fully aware of this risk and with early communication the impacts can be easily managed. Both projects are carefully monitored and the inter-dependency managed.
b)	Income for the new community facility does not cover its running costs. The revenue expectations for the new community facility have been based on a self financing basis, assuming that user groups will be relocated during the demolition and return to the new community facility at Marjorie Waite Court. The risk is that user groups do not return and new income streams are	This risk will be mitigated by directly involving the community and existing user groups in the programming of the facility.

ref	Risk	Mitigating Action
	needed to offset costs.	
c)	Relocation options for existing Community Centre user groups are developing; however there is a risk that suitable alternative facilities are just not available to meet the needs of every user group. Price of alternative facilities is also a barrier to groups.	This risk is being mitigated by officers having early discussions with group leaders and community venues audits to match relocation options.
d)	Building costs exceed the budget provided.	Building cost risks have been considered and the proposed designs have been the subject of external cost-review, value engineering and presented as Q2 2018 prices. A competitive tendering exercise will seek best value for the construction work
e)	Programme delivery and management delays.	The project will be carefully managed as part of the Older Persons' Accommodation Programme, with oversight by the Programme Board and regular progress reporting to Executive Committee.

Contact Details

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	Report Approved	✓	Date 15 th August 2017
Specialist Implications Officer(s) Legal – Gerry Allen (Ext 2004) Finance – Patrick Looker (Ext 1633) Property – Philip Callow (Ext 3306) Human Resources – Claire Waind (Ext 4519)			
Wards Affected: Clifton			
For further information please contact the authors of the report			

Annexes

Annex 1 – Consultation Report

Annex 2 – Equality Impact Assessment

Plan of the Marjorie Waite Court and Burton Stone Community Centre site

Indicative drawings of the Extension to Marjorie Waite Court

Background Papers:

19 July 2011	Report to Executive giving formal approval for the commencement of the Programme.
1 Nov 2011	Report to Executive giving the results of consultation and proposed a programme of closures, supported by a further consultation period on proposed closures of Oliver House and Fordlands.
10 Jan 2012	Report to Executive authorising consultation with staff, residents and their families and carers on proposal to close Fordlands and Oliver House, including changes to day care services as a result. Recommendation to close Fordlands and Oliver House.
15 May 2012	Report to Executive noting the successful homes closure and transition for residents

4 June 2013	Report to Executive seeking agreement on modernisation programme. The Council to fund the building of the two new care homes and so retain ultimate ownership of the buildings and the land with care homes designed, built, operated and maintained by an external provider.
3 Mar 2015	Report to Executive seeking approval of revised proposals based on creating new Extra Care Housing and reforming the Council's existing ECH stock; building a new care home on the Burnholme site as part of wider health and community facilities; and working more closely with current care providers to deliver more specialist dementia accommodation across the city.
30 July 2015	Report to Executive seeking approval of the Business Case for the Older Persons' Accommodation Programme and agreement to proceed.
29 Oct 2015	Report to Executive providing the results of the consultation undertaken with the residents, relatives and staff of Grove House and Oakhaven residential care homes to explore the option to close each home with current residents moving to alternative accommodation. Executive agreed to close Grove House and Oakhaven.
29 Oct 2015	Report to Executive regarding securing a viable future for the Burnholme school site in Heworth ward. Following extensive public consultation Members agreed to sanction further work to identify partners to progress the continued community and sports use of the site, complemented with wider health and enterprise services, the building and operation of a residential care home for older people and the provision of housing.
3 rd Dec 2015	At the Executive Member for Economic Development and Community Engagement decision session investment in the city's Community Centres was considered and, as part of those deliberations, it was agreed "the commencement of a consultation programme to identify Clifton residents' needs for future provision".
19 May 2016	Report to Executive that obtained consent to begin to deliver the Burnholme Health & Wellbeing Campus and secure a viable future for the former Burnholme Community College site (the Site) in Heworth ward.
14 July 2016	Report to Executive by the Director of Adult Social Care. Agreement to move forward with examination of the development potential for Lowfield, alternatives to closure of Haxby Hall and sanction to consult on the closure of a further two older persons' homes.

28 th Sept 2016	Report to the Audit & Governance Committee by the Programme Director, Older Persons' Accommodation, providing an update on progress of the Programme and actions taken to address External Audit recommendations.
24 th Nov 2016	Report to Executive by the Corporate Director of Health, Housing and Adult Social Care. The Executive received the results of the consultation undertaken with the residents, relatives and staff of Willow House residential care homes to explore the option to close the home with current residents moving to alternative accommodation, and agreement to close Willow House and sell the site.
7 th Dec 2016	Report to Executive by the Corporate Director of Health, Housing and Adult Social Care. The report obtained consent to complete the next phase of delivery of the Burnholme Health & Wellbeing Campus including sanction for the investment of £4.73m in new and refurbished community and library facilities, subject to Department for Education (DfE) approval to dispose of redundant land, as well as £200,000 in urgent repairs and works to the sports facilities on site.
9th Feb 2017	Report to Executive by the Corporate Director of Health, Housing and Adult Social Care. The Executive agreed to sell the site of the former Fordlands Road older persons' home to Octopus Healthcare who propose to develop a residential and nursing care home on the site.
16 th March 2017	Report to Executive by the Corporate Director of Health, Housing and Adult Social Care. The Executive received an update on progress made towards delivering health & wellbeing services at Burnholme and agreed to enter into a long lease with a care home developer over a portion of the Burnholme Health & Wellbeing Campus site. Executive also agreed to enter into a head lease over the Community & Library facilities and the disposal of the Tang Hall Library site.
16 th March 2017	Report to Executive by the Corporate Director of Health, Housing and Adult Social Care. The Executive received an update on progress made towards delivering an Extra Care facility at Oakhaven on Acomb Road. Executive agreed to sell the Oakhaven site to an Extra Care developer. As part of this procurement the Council will secure nomination rights to 25 affordable rented and discount sale apartments.

Annex 1 – Consultation Report

BURTON STONE COMMUNITY CENTRE (BSCC) CONSULTATION

BACKGROUND

On 3 December 2015, the Executive Member for Economic Development and Community Engagement approved that a consultation exercise should be carried out to identify what the future need for community centre provision is in Clifton.

APPROACH & TIMESCALE

In consultation with the lead member for community centres it was agreed to conduct the consultation in a number of stages:

Launch – Provide users and the public with the problem the Council is facing and in a transparent way provide background information and detailed financial information on the current operating model for BSCC

Stage 1 – Consultation with all the current users of the facility to establish what the impact would be if BSCC were to close and could the groups be relocated to a suitable venue

Stage 2 – Wider consultation with all Clifton residents, following the results of stage 1 and a proposal for the future use of the centre and site

Timetable of consultation and wider project milestones	Q2 2016	Q3 2016	Q4 2016	Q1 2017	Q2 2017	Q3 2017
Launch						
Stage 1						
Stage 2						
Reporting & decision						

LAUNCH OF CONSULTATION – MARCH/APRIL 2016

The consultation was launched in March 2016 with two meetings to explain the issue facing the Council. One meeting was targeted towards regular users of the centre and the other to general members of the public.

Appendix A shows the presentation of the key messages at those meetings and Appendix B the initial questions asked.

STAGE 1

The focus for stage 1 was to identify all regular users and their essential and desirable needs to offer a suitable alternative venue. Every group was offered a face to face meeting which enabled the Council to explain the current situation and through discussion understand the group's needs.

With over 20 groups this took some time and required site visits to watch some group's activities to ensure we truly understood their needs.

The next step was to research and map all other possible buildings which groups could be relocated to. A lot of this work had already been done and captured under the community venues map [this can be found at https://www.york.gov.uk/info/20146/community_venues/1352/community_venues], but locally in Clifton a fresh search was done to establish availability and pricing.

The process of matching each group's need with potential venues then took place and required dialogue with each user group to establish their view on the matching, until a suitable alternative was agreed.

RESULTS OF THE CONSULTATION LAUNCH AND STAGE 1

The launch of the consultation was well attended by over 70 users attending the meeting. The resident meeting was less well attended with only 10 people attending the meeting.

General feedback from the presentation was hostile to change with the view that the Council should be providing and paying for community centres. Stage 1 has seen engagement with the 19 user groups to identify essential and desirable needs to ensure the continuation of their activity. Table 1 summarises those discussions and demonstrates that only seven groups have agreed with a permanent relocation to a suitable alternative venue.

Table 1:

User Group	Needs Identified	Relocation options being investigated	Group Agreed
Coronary Support	Yes	Burnholme gym	Agreed
CYC - Adult Social Care commissioners	Yes	Burnholme Site	Agreed

User Group	Needs Identified	Relocation options being investigated	Group Agreed
Badminton group (Mon3pm)	Yes	Choice of : Energise, York RI, Burnholme	Agreed
Badminton group (Tues10am)	Yes	Choice of : Energise, York RI, Burnholme	Agreed
Badminton group (Wed 8pm)	Yes	Choice of : Energise, York RI, Burnholme	Agreed
Danesgate School	Yes	Already use multiple venues across the city	Agreed
CYC Mediation (Family)	Yes	Referred to community venue map for options	Agreed

CONCLUSION OF STAGE 1

The conclusion after stage one is that there is still a problem with securing a permanent suitable alternative venue for 12 groups which suits their needs and is affordable and can be seen in table 2.

Table 2:

User Group	Needs Identified	Relocation options being investigated	Group Agreed
Accessible Arts media Office facility & activities including; Imuse, Able Web, Hands & Voices, IMPS.	Yes	A - Burnholme B - Remain at BSCC C - Other community venue Rejected: Greenworks, Fordlands, Lowfields	Still being developed
Reflex Dance Group	Yes	A – Vale of York Academy B - Clifton Sports Club	Still being developed
Slimming World	Yes	A – Vale of York Academy (formally Canon Lee School) Community room B - Clifton Sports Club	Still being developed
Football Tots	Yes	Community centre options	Still being developed
Ebor Textiles Thur 10-3pm	Yes	Community centre options	Still being developed
Speakability	Yes	Libraries	Still being developed
Whiz Kids Wheel chair sessions	Yes	A - Burnholme B – Moor lane	Still being developed

User Group	Needs Identified	Relocation options being investigated	Group Agreed
Embroiders Guild	Yes	List of Pocklington venues sent as this is where they want to be	Still being developed
Loose Ends	Yes	List of Pocklington venues sent as this is where they want to be	Still being developed
Young Embroiders	Yes	A - Libraries B – Community centre options	Still being developed
United Response Training	Yes	Referred to community venue map for options	Still being developed
NASS (National Ankylosing Spondylitis Society)	Yes	A - York RI B - Burnholme gym C - Energise dance studio D – White Cross Lodge E – Local schools	Still being developed

Therefore, in the development of ideas for the reuse of the BSCC site, it was clear some form of community space was required to address the existing group's needs.

Before stage 2 could commence, the project needed to work up a number of options for the redevelopment of the site to include a community space.

This was completed during late 2016 with a preferred solution which could then be consulted on at stage 2.

STAGE TWO

Stage two was to engage all residents of Clifton in order to inform them of the proposals and gather their feedback and views on the proposed plans.

A leaflet was created and delivered through letterboxes to residents in the area. The leaflet included a brief description of the proposals, a picture of the plans and space for feedback to be written and with an address to post it to. It also included a website which contained all the information and an opportunity to fill in a consultation feedback form online.

Stage two also included face to face consultation with the local community. These were held as drop in style events. The reason for this was to facilitate one to one discussion and allowed for concerns and questions to be answered on an individual basis.

Dates and times of drop in sessions were included on the leaflet. The drop-in sessions took place on:

Wednesday 8th February, 10am-12pm

Tuesday 14th February, 4pm-6pm

Thursday 16th February, 5pm-7pm.

RESULTS OF THE CONSULTATION STAGE 2

PROFILE OF RESPONDENTS

The consultation attracted 44 responses, written and online. This represents only 1% of the total users at Burton Stone Lane Community Centre. Most respondents did not fill in the online consultation form fully, which will also misrepresent some of the data featured in this section.

Many respondents did not identify their use for the community centre, meaning this sample of respondents is also under-represented.

	Total	Percentage
Sport/Exercise	6	50%
Dance	2	16.67%
Youth	1	8.33%
Weight Class	1	8.33%
Arts and Crafts	2	16.67%
Total:	12	
Other		
Physiotherapy		
Dance Parents		
Support Worker		
Resident Association Meetings		
General Use		
Total: 19		

LOCATION OF USERS

Respondents were asked to provide a postcode of their address. The postcodes given provide an insight into where users are coming from to use the facilities at the community centre. The postcodes provided show that the majority of users are from the local area, residing in Clifton or Rawcliffe and Clifton Without Wards. Some users travel further, with one postcode as far as Appleton Roebuck and Church Fenton. However, some respondents skipped

this section and did not leave a postcode, this could provide a possibility that some users travel from other areas not shown in the table below.

Ward	Number of responses
Acomb Ward	0
Bishopthorpe Ward	0
Clifton Ward	25
Copmanthorpe Ward	0
Dringhouses & Woodthorpe Ward	1
Fishergate Ward	1
Fulford & Heslington Ward	0
Guildhall Ward	0
Haxby & Wigginton Ward	0
Heworth Ward	0
Heworth Without Ward	0
Holgate Ward	1
Hull Road Ward	1
Huntington & New Earswick Ward	1
Micklegate Ward	0
Osbalwick & Derwent Ward	0
Rawcliffe & Clifton Without Ward	2
Rural West York Ward	0
Strensall Ward	0
Unknown	0
Westfield Ward	0
Wheldrake Ward	0
Total	33

FEEDBACK ON PROPOSALS

In summary, the feedback highlighted;

- The plans are sensible and a good idea as the current community centre is no longer sustainable or fit for purpose
- The plans will create a much needed boost for the community
- The plans look good and there is a desperate need for housing for the elderly needing support in this area
- The size of the room (at 150m²) is not adequate and will not meet the needs of the community groups it will serve
- The shape of the room (a rectangle) is not satisfactory
- There is not enough storage space
- Parents and guardians need a waiting area

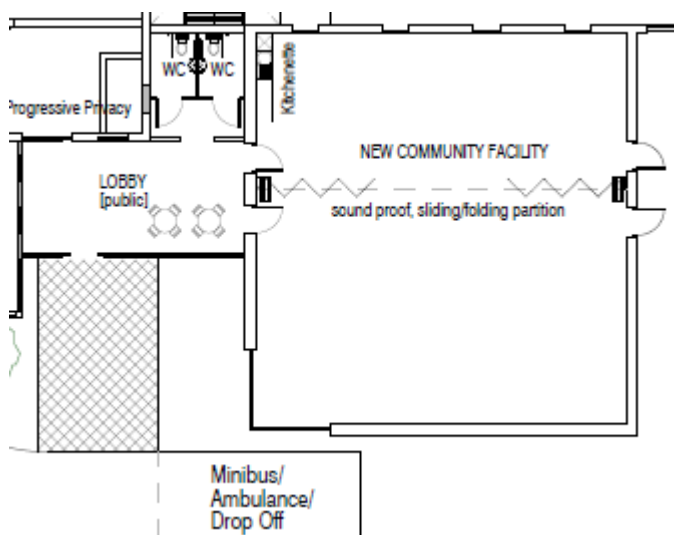
- The landscaped garden is too big; the space could be used to make a bigger community room
- It is not fair to unsettle and disrupt users who are happy at the centre
- It is a shame that the same resources won't be on offer
- Twelve parking spaces will encourage users to drive
- Trees shouldn't be planted near the parking spaces as in autumn the leaves will make the path slippery
- Noise from community space could affect Marjorie Waite Court Residents

In order to address these concerns, it was made clear that plans were only indicative and were on display to provide an indication of how the community room would be incorporated into the extension of Marjorie Waite Court (MWC) Extra Care Scheme. Feedback from the consultation will be shared with the designers who will try to incorporate people's views into the final design.

CONCLUSION OF STAGE 2

1% is a low response; however door knocking confirmed leaflets had been received in the local houses around the centre, therefore conclusion is that the proposal is accepted with no major objections.

Feedback from the consultation has been shared with the designers who have incorporated people's views into a revised design as shown below.



The dimensions of the proposed community facility have increased from 150m² to 172m² to reflect the need to have a sound proof sliding partition to create two activity spaces.

The activity hall has a total area of 172sqm, made up of:

Area1 – 68sqm

Area2 – 104sqm

A separate WC and lobby of 28sqm outside the main activity space supports parents who may need to wait for their children that are taking part in activity.

The floor to ceiling height of the activity hall is estimated at 4.5m.

These design changes will allow relevant groups to be programmed back into the new community facility as can be seen by the example timetable below.

<u>Example time table of use for a new community space</u>														
	Mon		Tues		Wed		Thur		Fri		Sat		Sun	
	Room 1	Room 2	Room 1	Room 2	Room 1	Room 2	Room 1	Room 2	Room 1	Room 2	Room 1	Room 2	Room 1	Room 2
Morning	Able Web	Danesgate	United Response Training	Burton Stone Bees	Young Embroiders	IMUSE	Loose Ends	Ebor Textiles	Danesgate	IMUSE	Football Tots	Football Tots	Whizz Kids	Whizz Kids
Afternoon	Able Web	Embroiders Guild	United Response Training	NASS	Danesgate	IMUSE	Loose Ends	Ebor Textiles	Speakability	Free to hire	Free to hire	Free to hire	Whizz Kids	Whizz Kids
Evening	IMPS	Reflex Dance	Reflex Dance	Reflex Dance	Reflex Dance	Hands & Voices	Slimming World	Slimming World	Reflex Dance	Reflex Dance	Free to hire	Free to hire	Free to hire	Free to hire

Table 3 below, shows the latest position confirming all groups have been found a long term solution. However, work is still being undertaken to secure temporary accommodation during the building period. It will become easier closer to the time to secure bookings for temporary accommodation.

Table 3:

User Group	Long-term Solution Identified	Temporary Relocation Identified
Coronary Support	Yes	Not required as permanently relocated
CYC - Adult Social Care commissioners	Yes	Not required as permanently relocated
Badminton (Mon3pm) Badminton (Tues10am) Badminton (Wed 8pm)	Yes	Not required as permanently relocated
Danesgate School	Yes	Yes
CYC Mediation (Family)	Yes	Yes
Accessible Arts Media office	Still looking at options	Still being developed

Accessible Arts Media activities	Yes	Still being developed
Reflex Dance Group	Yes	Still being developed
Slimming World	Yes	Still being developed
Football Tots	Yes	Still being developed
Ebor Textiles Thur 10-3pm	Yes	Still being developed
Speakability	Yes	Still being developed
Whiz Kids Wheel chair sessions	Yes	Still being developed
Embroiders Guild & Loose Ends	Yes	Still being developed
Young Embroiders	Yes	Still being developed
United Response Training	Yes	Still being developed
NASS (National Ankylosing Spondylitis Society)	Yes	Still being developed

Appendix A – Copy of presentation in March 2016 to launch the BSCC consultation



Burton Stone Community Centre



Burton Stone Community Centre

AGENDA:

- Consultation time-table
- Short term position
- Why the need for change?
- Consultation – focus on identifying needs
- What could the future look like?
- Feedback and questions



Burton Stone Community Centre

Consultation plan / timetable:

- 29 March 16 – initial public meetings
- April & May 16 – ongoing consultation
- June 16 – close consultation
- Summer/autumn 16 – options appraisal for future provision for the site



Burton Stone Community Centre

Short term position:

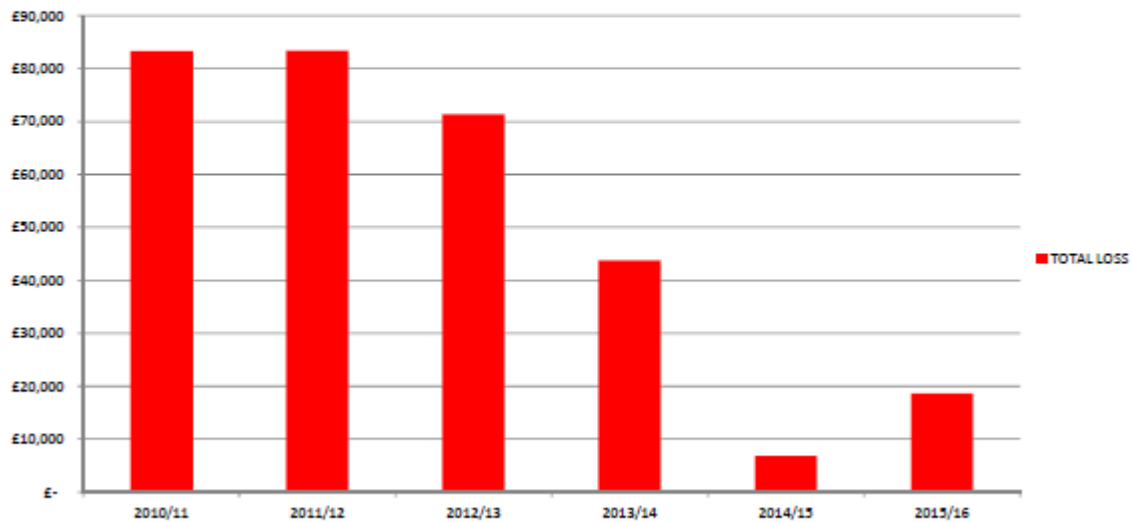
- The Council will continue to operate the centre in the immediate future, but must start planning for the long-term.
- Over the next 12-18 months the Council wants to look at all the possible options to provide Clifton residents with access to community spaces that are fit for purpose.
- We also seek volunteers to become part of an ongoing consultation group to ensure resident views remain at the forefront of this project.



CITY OF
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Burton Stone Community Centre

Total £ losses between 2010 to 2016



CITY OF
YORK
COUNCIL

Burton Stone Community Centre

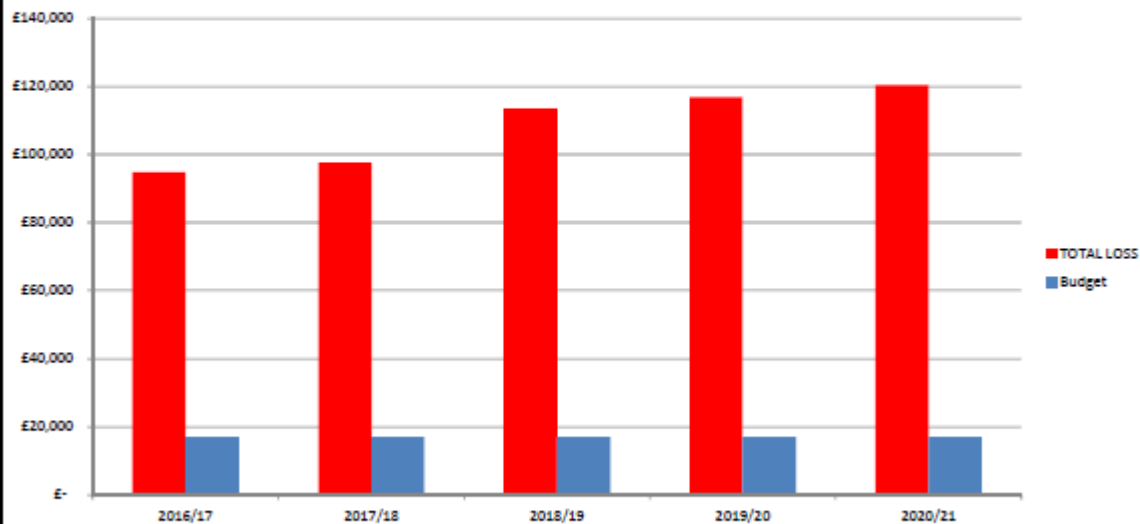
Burton Stone Community Centre Accounts - 5 year forecast

	2016/17	2017/18	2018/19	2019/20	2020/21
Total Income	-£ 50,000	-£ 51,500	-£ 40,045	-£ 41,246	-£ 42,484
Gross Expenditure					
Staffing costs	£ 33,004	£ 33,995	£ 35,014	£ 36,065	£ 37,147
Utility Costs	£ 19,949	£ 20,547	£ 21,164	£ 21,799	£ 22,453
Premises	£ 22,123	£ 22,787	£ 23,470	£ 24,175	£ 24,900
Operating Costs	£ 5,048	£ 5,199	£ 5,355	£ 5,516	£ 5,681
Lifecycle replacement	£ 64,602	£ 66,540	£ 68,536	£ 70,592	£ 72,710
Total Expenditure	£ 144,726	£ 149,068	£ 153,540	£ 158,146	£ 162,890
TOTAL LOSS	£ 94,726	£ 97,568	£ 113,495	£ 116,900	£ 120,407
Budget	£ 17,000	£ 17,000	£ 17,000	£ 17,000	£ 17,000



Burton Stone Community Centre

Forecast Accounts for next 5 years



Burton Stone Community Centre

Principles of community engagement:

- The focus will be to start from a blank sheet of paper, disregarding the current buildings.
- Need to establish - What current needs do residents have for community space in Clifton?
- We will ensure a true range of Clifton residents are engaged from young to older people, families, Clifton Resident Association and especially hard to reach groups.



Burton Stone Community Centre

The challenge:

- Following the consultation the aim will be to match what residents and existing users have told us they need with a solution that is affordable and can be managed by the local community going forward.
- It is important that the future management of any new arrangements are community led, like the rest of the Council's community centres.
- Ideally, we can produce a menu of requirements with a menu of options for consideration. Nothing should be discounted at this point and all ideas are welcomed.



Burton Stone Community Centre

Future site possibilities: - It is important to be honest with residents about realistic and viable options. Current thinking on options:

A = Ideas from consultation

B = Use the land to raise capital for investment

C = Extend Marjory Waite Court, to provide more elderly care homes; With integrated community facilities e.g. Health and Wellbeing Studio



Burton Stone Community Centre

Summary of key messages:

- For the next 12-18 months the building will continue to be operated in the usual way
- The current building is not fit for purpose or financially sustainable and will become a drain on Council resources that could be put to better use
- The council understands the value of community facilities and wants to work with the local community to find a long term sustainable solution
- The priority is to understand local residents needs for future community space, whilst maximising the use of the wards existing community buildings or appropriate citywide facilities before seeking new facilities

Appendix B – Copy of initial questions asked at launch consultation event

To start the engagement process the following questions are being discussed with individuals, groups, schools and users:

Q1: Disregarding the existing Burton Stone Community Centre what do you feel is needed in for the Clifton area?

Activities.....

Clubs/Society.....

Physical spaces.....

Other.....

Q2. Which community spaces do you currently use in Clifton?

E.g. BSCC, Library, school, church hall.....

Q3. Where is the best location for a community centre/space in Clifton?

Location.....

Q4. Would you be interested in joining a group of local residents to work with the Council on this project?

Name..... Contact details.....

Annex 2 – Equality Impact Assessment

City of York Council

EQUALITY IMPACT ASSESSMENT

1	Name and Job Title of person completing assessment	Andy Laslett – Strategic Services Manager
2	Name of service, policy, function or criteria being assessed	Closure of the Burton Stone Community Centre (BSCC) and relocation of community user groups.
3	What are the main objectives or aims of the service/policy/function/criteria?	<p>Burton Stone Community Centre is located within Clifton and is housed in a set of old 1940s school buildings. The centre is used by a variety of community groups (approximately 20) such as Reflex Dance Group and York Coronary Support Group.</p> <p>The proposal is to close the Community Centre due to rising financial costs, and to give room for the extension of the neighbouring Marjorie Waite Court, an extra care facility.</p> <p>The deteriorating conditions due to the age of the Burton Stone Community Centre has led to these increasing financial costs; it is estimated that in 2018/19 the Community Centre will see a loss of £113,495, rising to £162,890 by 2020/21. A long term condition survey carried out by a specialist company in 2016 found that the Community Centre required investment of over £300,000 over the proceeding 5 years, but this does not include replacing the outdoor multi-games court which remains closed due to health and safety issues. It was in light of this that the decision to close the Community Centre is proposed.</p> <p>The Marjorie Waite Court extension will</p>

		<p>see 33 new rooms for residents. This forms part of the Older Persons' Accommodation Programme, which seeks to improve care provisions for older persons in York. Included within the extension plans is a 172m² community space. This will be open to the public for the use of community groups, furthermore it is hoped it will act as an information point for residents of a deprived area.</p> <p>The policy therefore seeks to</p> <ol style="list-style-type: none"> 1. Close the high cost Burton Stone Community Centre 2. To relocate all user groups with most returning to the new facility in 12-18 months time. 3. Some users will need to be relocated permanently as the small community space can not cater for their needs.
4	Date	14 August 2017

Stage 1: Initial Screening

5	<p>What evidence is available to suggest that the proposed service/policy/function/criteria could have an adverse impact on quality of life outcomes (as listed at the end of this document) for people (both staff and customers) with protected characteristics? Document the source of evidence, (e.g. past experience, anecdotal, research including national or sectoral, results of engagement/consultation, monitoring data etc) and assess relevance of impact as: Not relevant / Low / Medium / High.</p>
---	--

Protected Characteristic		Not relevant		L/M/H		Source of evidence that there is or is likely to be adverse impact	
		Cust	Staff	Cust	Staff	Customers	Staff
a	Race	X	X			Consultation included all customers	Consultation with staff

Protected Characteristic		Not relevant		L/M/H		Source of evidence that there is or is likely to be adverse impact	
		Cust	Staff	Cust	Staff	Customers	Staff
b	Religion/Spirituality/ Belief	X	X			Consultation included all customers	Consultation with staff
c	Gender	X	X			Consultation included all customers	Consultation with staff
d	Disability		X	H		BSCC is utilised by a variety of community groups whose purpose it is to support those with disabilities and other health issues, these include Speakability , Whiz Kids Wheel Chair Sessions, CYC adult social care services. The closure of BSCC means these groups will lose their primary meeting place, however	Consultation with staff

Protected Characteristic		Not relevant		L/M/H		Source of evidence that there is or is likely to be adverse impact	
		Cust	Staff	Cust	Staff	Customers	Staff
						plans are in place to ensure their relocation. See specific adult social care EIA for the impact to their customers.	
e	Sexual Orientation	X	X			Consultation included all customers	Consultation with staff
f	Age		X	M		A number of the community groups who use the centre either target or are reserved for specific age ranges, such as Football Tots which is open to 2-4 year olds only, or the York Coronary Support Group which is aimed primarily towards older persons.	Consultation with staff

Protected Characteristic		Not relevant		L/M/H		Source of evidence that there is or is likely to be adverse impact	
		Cust	Staff	Cust	Staff	Customers	Staff
						Furthermore , the centre is also used by groups such as the Danesgate school, who use the room to give one on one teaching to students undergoing their GCSEs. The schools' students are 5-16 year olds who struggled to succeed in mainstream schools due to social, emotional or behavioural difficulties. These groups are losing their primary meeting place, however, plans are in place to ensure their relocation.	
g	Pregnancy/	X	X			Consultation	Consultation

Protected Characteristic		Not relevant		L/M/H		Source of evidence that there is or is likely to be adverse impact	
		Cust	Staff	Cust	Staff	Customers	Staff
	maternity					included all customers	with staff
h	Gender Reassignment	X	X			Consultation included all customers	Consultation with staff
i	Marriage and Civil Partnership	X	X			Consultation included all customers	Consultation with staff
j	Carers of older and disabled people		X	M		As a number of the community groups' purpose is to support the elderly and disabled this will have a clear impact on carers if the groups are no longer able to support those they are caring for. However, current plans will relocate the community groups. Therefore the main issue for carers will	Consultation with staff

Protected Characteristic	Not relevant		L/M/H		Source of evidence that there is or is likely to be adverse impact	
	Cust	Staff	Cust	Staff	Customers	Staff
						be due to the change in travel arrangements. Consultation with all customers and carers was conducted by Adult Social Care in April 2016.
<p>If you assess the service/policy/function as not relevant across ALL the characteristics, please proceed to section 11. If you assess the service/policy/function as relevant for ANY of the characteristics, continue to Stage 2, Full Equality Impact Assessment.</p>						

Stage 2: Full Equality Impact Assessment

6	Are there any concerns that the proposed or reviewed service/policy/function/criteria may be discriminatory, or have an adverse impact on members of the public, customers or staff with protected characteristics? If so record them here	
a	Public/ customers	Yes – possible affects on access to support for a number of disabled, elderly, and young users of the Community Centre.
b	Staff	None

<p>If there are no concerns, go to section 11.</p> <p>If there are concerns, go to section 7 and 8 amend service/policy/function/criteria to mitigate adverse impact, consider actions to eliminate adverse impact, or justify adverse impact.</p>			
7	<p>Can the adverse impact be justified? E.g. in terms of community cohesion, other legislation, enforcement etc. NB. Lack of financial resources alone is NOT justification!</p>		
<p>Customers – Yes. The BSCC is housed in a building constructed in the 1940s, due to its deterioration over time there are a number of safety concerns – namely the closed multi-purpose games court.</p> <p>Furthermore, York currently has an aging population, with a 50% increase in the number of over 75s expected by 2020. The closure of the Community Centre will allow for the expansion of the neighbouring Marjorie Waite Court extra care facility for the elderly under City of York Council’s Older Persons’ Accommodation Programme to help mitigate issues arising from this demographic change.</p>			
8	<p>What changes will you make to the service/policy/function/criteria as result of information in parts 5&6 above?</p>		
<p>There will be no changes to the proposed policy of closing Burton Stone Community Centre, however a number of remedial actions shall be put in place. These will be detailed in item 10.</p>			
9	<p>What arrangements will you put in place to monitor impact of the proposed service/policy/function/criteria on individuals from the protected characteristics?</p>		
<p>It will be important to monitor the process of change with community group leaders to mitigate early any new issues that may arise during the closure of the centre.</p>			
10	<p>List below actions you will take to address any unjustified impact and promote equality of outcome (as listed at the end of this document) for staff and other people with protected characteristics. Consider action for any procedures, services, training and projects related to the service/policy/function/criteria which have the potential to promote equality in outcomes.</p>		
	Action	Lead	When by?
	<p><u>Customers</u></p> <p>We are currently in the process of agreeing new locations for the community groups to use. This begun after extensive consultation with the groups on a one on one basis, in</p>	<p>Strategic Services Manager</p>	<p>By 31 Jan 2018, a full and confirmed relocation plan to be in place.</p>

<p>tangent with consultation with the wider community, in order to ascertain the needs of both users of the community groups and residents, to ensure they were taken into consideration during the planning phase. Successful relocation of these groups will allow them to continue to provide support to their users even in spite of Burton Stone Community Centre's closure.</p> <p>Plans for Marjorie Waite Court's extension include 172m² of community space which will be open to the public. After Burton Stone Community Centre's closure and demolition, and the completion of Marjorie Waite Court's expansion plans, this means that many of the community groups displaced during the closure of the Community Centre can move back into the site and community; meaning for a significant amount of them it will only be a temporary move.</p>	Strategic Services Manager	The existing centre will be vacated by June 2018 so that demolition and construction work can begin.
11	Date EIA completed	14 th August 2017
<p>Author: Andy Laslett Position: Strategic Services Manager Date: 14th August 2017</p>		
12	Signed off by	[signature removed for on-line publication]
<p>I am satisfied that this service/policy/function has been successfully equality impact assessed.</p> <p>Name: Charlie Croft Position: Assistant Director for Communities and Culture Date: 14th August 2017</p>		

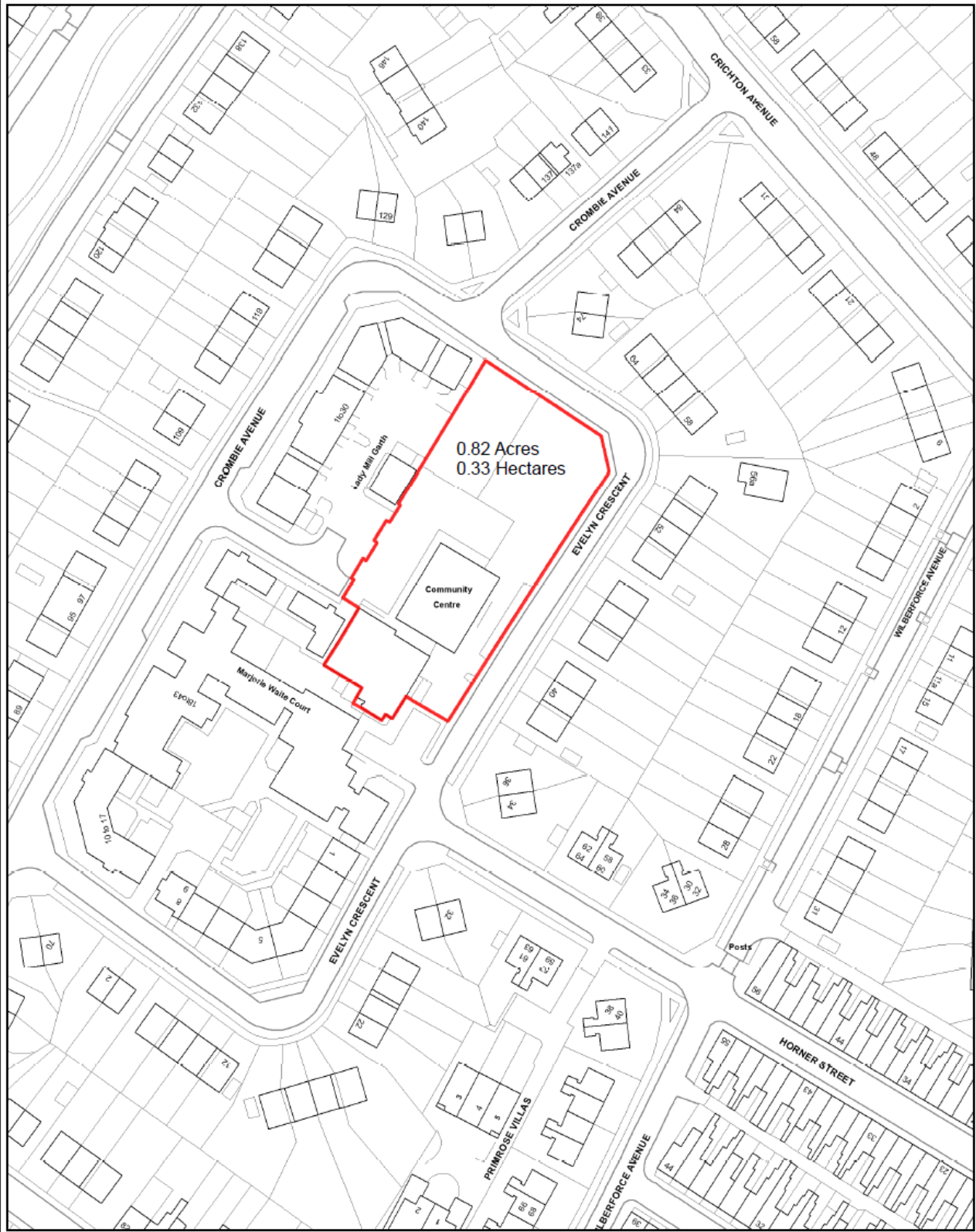
Quality of Life indicators

(aka 'The 10 dimensions of equality')

We must ensure there is no adverse impact in terms of:

- ❑ Longevity, including avoiding premature mortality.
 - ❑ Physical security, including freedom from violence and physical and sexual abuse.
 - ❑ Health, including both well-being and access to high quality healthcare.
 - ❑ Education, including both being able to be creative, to acquire skills and qualifications and having access to training and life-long learning.
 - ❑ Standard of living, including being able to live with independence and security; and covering nutrition, clothing, housing, warmth, utilities, social services and transport.
 - ❑ Productive and valued activities, such as access to employment, a positive experience in the workplace, work/life balance, and being able to care for others.
 - ❑ Individual, family and social life, including self-development, having independence and equality in relationships and marriage.
 - ❑ Participation, influence and voice, including participation in decision-making and democratic life.
 - ❑ Identity, expression and self-respect, including freedom of belief and religion.
 - ❑ Legal security, including equality and non-discrimination before the law and equal treatment within the criminal justice system.
-

Plan of the Marjorie Waite and Burton Stone site



CITY OF YORK COUNCIL

CBSS
Asset & Property Management

Burton Stone Lane Community Centre



SCALE 1:1,250 DRAWN BY: CC

Originating Group: **Asset & Property Management**

DATE: 09/09/2015

Drawing No. **E00091**

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Indicative drawings of the Extension to Marjorie Waite Court



Ground floor



Upper floors



Proposed SF Plan



Proposed FF Plan

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Executive

31 August 2017

Report of the Corporate Director of Health, Housing and Adult Social Care
Portfolio of the Executive Member for Adult Social Care & Health

Re-Commissioning a Short Breaks Service for Adults with a Learning Disability based at Flaxman Avenue, York**Summary**

1. The short breaks service for adults with a learning disability, based at Flaxman Avenue, was provided directly by City of York Council until 2015. The service was tendered and, after a successful procurement exercise, Lifeways became the new service provider. This contract is due to expire in 30th April 2018.
2. This report seeks consent to go out to the market in the form of a tender to procure a support provider to deliver a short breaks service for adults with a learning disability, who are eligible for care and support, to be based at Flaxman Avenue, York.
3. Members are asked to agree the procurement of a care and support provider to deliver a short breaks service based at Flaxman Avenue.
4. The recommendation is fully in line with the principles of the Care Act 2014, placing emphasis on prevention, early intervention and the maximisation of self care.

Recommendations

5. The Executive is asked to:
 - a) Agree option 1 of the report; to procure a provider to deliver the short breaks service for adults with a learning disability based at Flaxman Avenue, York.

- b) Agree to delegate the award of the tender process to the Corporate Director of Health, Housing & Adult Social Care in consultation with the Portfolio Holder.

Reason: the current contract expires on 30th April 2018, therefore agreement is sought to progress the tender process and subsequent appointment of the preferred provider.

Background

- 6. The current contract, held by Lifeways, is due to expire on 30th April 2018. The expiry of the current contract has provided the opportunity to consult on the current service and make amendments to the specification to bring it up to date to reflect changes in both national and local agendas, including the Council's commitment to a robust local offer.
- 7. Over the last five years there have been significant changes in legislation effecting the way children and adult services work. *The Care Act (2014)* replaced numerous previous laws for adult social care in England and set out new duties for local authorities and partners, and new rights for customers and carers. *The Children and Families Act (2014)* amended existing legislation and services for children and young people, and provided a new special educational needs and disability support system, covering education, health and social care. In January 2015, the Government published a new *Special Educational needs and disability code of practice* for children and young people between 0 – 25 which provides statutory guidance for organisations which work and support children and young people who have special educational needs or disabilities. These legislative changes effect the way we work now and how we work and plan for the future.
- 8. The changes in the national agenda highlighted above are reflected in the way adults and children's services work together within the Council, aiming to provide a seamless service for young people with learning disabilities entering adulthood.
- 9. Current Council policy is to provide services locally, where possible, for those individuals transitioning from children to adult services. Therefore, some individuals will need adult Social Care input sooner than they would have previously when a higher proportion went to residential college outside of York.

10. Local demographics and changes to those eligible for services have changed the nature and shape of those people who can access or may require a short breaks service and this needs to be reflected in the way we deliver these services in the future.

Consultation

11. Consultation took place during June and July 2017 by an email and telephone survey in relation to the current service provided with carers/families of individuals who use the service now and who may use the service in the future. Professionals were also asked to feedback their experiences and views of the current service.
12. There was a 30% response rate from carers/families of adults with a learning disability who use the service.
13. Overall there was a positive response to the service and it is a much needed element of the short breaks offer in York, both for older adults and younger adults coming through transitions.
14. There were a few suggestions of improvements to the current service and these will be incorporated into the new specification.

Options

15. Option 1:
 - a) Agree to procure a provider to deliver the short breaks service for adults with a learning disability based at Flaxman Avenue, York.
 - b) Agree to delegate the award of the tender process to the Corporate Director of Health, Housing & Adult Social Care.
16. Option 2: close the short breaks service.

Analysis

17. There are 515 (April 2017) adults with a leaning disability known to adult social care. Of these, 176 live in either single or shared accommodation, with support, and 26 live in an Extra Care setting with individual support; all with their own tenancies.

18. Of the 515 adults with a learning disability known to adult social care, there are 113 who are currently living at home with their families/carers. This is broken down by age below.

Age	Number of ALD	Percentage (%)
18-24	57	50%
25-29	17	15%
30-39	21	19%
40-49	8	7%
50+	10	9%

19. As the Local Offer for young people improves and more students wish to remain in York, this will impact on Adult Social Care (ASC) and the offer post 18 in York. As some of these students would have had their social care needs incorporated within their out of area package these costs will potentially impact on ASC from a younger age. There will also be an impact on the local accommodation offer as more families/carers need short breaks to enable people to remain at home with their families for longer.
20. Over the last year, 32 individuals have accessed the service. The current customer profile of those using Lifeways ranges from 18-72 with 47% aged 25 or under.
21. In the next five years there are 30 young people with a learning disability, currently known to services, who will become 18 and who are likely to need some degree of service from Adult Social Care. In addition, there are 17 young people with a learning disability and autism, currently known to services, who are likely to need some service Adult Social Care. Services are likely to include access to short breaks.

	Primary Need		Total
	Learning Disability	Learning Disability and Autism	
2017	7	7	14
2018	7	3	10
2019	7	6	13
2020	5	1	6
2021	4	-	4

22. We know that there will continue to be an increase in the complex nature of young adults with learning disabilities entering transition that will require adult services; coupled with our current policy to provide, where

possible, services locally for those individuals transitioning from children to adult services. Therefore, some individuals will need Adult Social Care input sooner than they would have previously when a higher proportion went to residential college.

23. Flaxman Avenue, as a building based short break service, remains popular and is a well used part of the local offer available for short breaks. The offer could be enhanced by enabling a more gradual transition from the Glen to Flaxman Avenue by opening up opportunities for its use for those aged 16+.
24. National legislation and the local direction means we have to ensure there is a robust local offer for our local population's assessed needs. As the majority of City of York Council's learning disability customers who are currently eligible for short breaks services will continue to access their allocation, there is an acknowledgement that the Authority will need to continue to provide this service in some format.
25. If option 1 is agreed, it is expected that there would be a three year contract with an option to extend for a further two years for the short breaks service at Flaxman Avenue.
26. Feedback from consultation with professionals and families of adults who use the short breaks facility was positive and it would certainly be seen as detrimental if it were to close.
27. Therefore, if the re-procurement of the short breaks service based at Flaxman Avenue were not agreed, this would have a negative impact on both individuals who use the facility and their families. Any alternative solutions would need to be sourced and further consulted on and an interim agreement would need to be sought with the current care and support provider.
28. There are clear advantages of agreeing to re-tender for a provider to deliver the care and support for the short breaks service at Flaxman Avenue. These include, but not limited to:
 - ✓ A safe, personalised, building based environment for those adults with a learning disability in York.
 - ✓ Maintains a diverse offer of short breaks opportunities in York.
 - ✓ The option to use the short breaks service from aged 16+ to enhance the local offer in York and to assist in Whole Life Planning.

Council Plan

29. **The Council Plan 2015-19**, sets out three key priorities with the second being ‘a focus on frontline services’ with two of the aims being that ‘All York’s residents live and thrive in a city which allows them to contribute fully to their communities and neighbourhoods’ and ‘Support services are available to those who need them’. If agreed, the continued short breaks service at Flaxman Avenue will enable adults with a learning disability to have a short break and give their families valuable time away from their caring role.
30. The Council Plan also states that “our purpose is to be a more responsive and flexible council that puts residents first and meets its statutory obligations.” Through consultation and asking both adults with learning disabilities and their carers what kind of support they want in terms of short breaks it is clear that a building based short breaks service is desired and continues to be well used.
31. **‘York’s Joint Health and Wellbeing Strategy, 2017-2022’** has four central themes (Mental Health & Wellbeing, Starting & Growing Well, Living and Working Well, and, Ageing Well) and learning disabilities cuts across all of them. The Strategy states it wants to, “improve the services we offer to those with learning disabilities” The re-tendering of the short breaks service allows us to amend the specification to update and incorporate views following on from consultation.

Implications

- **Financial**

32. The current contract value is £382,892.30 per annum. Tendering the service ensures the Department complies with contract procedure rules and avoids waiving regulations to extend the contract.
33. The tender exercise may return a bid which exceed the current budget. This risk could be mitigated by:
 - a. Asking the current provider to extend their length of contract whilst analysis of the increased costs is undertaken
 - b. Cap the cost of the contract when tendering the service.
 - c. Reduce the number of commissioned nights within the contract and ensure there is a robust process for spot purchasing additional provision where needed.

- **One Planet Council / Equalities**

34. It is envisaged that the continued use of Flaxman Avenue for a short breaks service for adults with a learning disability will continue to impact positively on the creation of a fair, healthy, sustainable and resilient city that was envisaged. Please see attached Better Decision Making Form as Annex A.

- **Human Resources (HR)**

35. If the re-procured short breaks service based at Flaxman Avenue were delivered by a provider other than Lifeways, it is likely that the staff supported through existing contractual arrangements would transfer to the new provider in accordance with the Transfer of Undertakings Protection of Employment Regulations (TUPE). However, this would be a process to be determined and taken forward by the incoming and outgoing service providers.

- **Legal**

36. Legal input will be required in terms of the contractual arrangements for the short breaks service based at Flaxman Avenue.

- **Crime and Disorder**

37. There are no Crime and Disorder implications.

- **Information Technology (IT)**

38. There are no Information Technology Implications.

- **Other**

39. There are implications in terms of the property and arranging a new lease to run in line with the contract and property services will need to input into this process.

Risk Management

40. There is a risk that there is no agreement to procure a provider for this service then alternative solutions would need to be investigated and wider consultation would need to be undertaken.

Contact Details

Author:

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Commissioning Manager
Directorate of Housing, Health
and Adult Social Care
Tel: 01904 554068

Chief Officer Responsible for the report:

Martin Farran
Corporate Director Health, Housing and
Adult Social Care

Report **Date** 09/08/17
Approved

Specialist Implications Officer(s) List information for all

Implication - Financial
Steve Tait
Principal Accountant
Corporate Finance Team
Tel No. 554065

Wards Affected: List wards or tick box to indicate all **All**

For further information please contact the author of the report

Annexes

Annex A – Better Decision Making Tool



'Better Decision Making' Tool

Informing our approach to sustainability,
resilience and fairness

The 'Better Decision Making' tool should be completed when proposing new projects, services, policies or strategies.

This integrated impact assessment tool was designed to help you to consider the impact of your proposal on social, economic and environmental sustainability, and equalities and human rights. The tool draws upon the priorities set out in our Council Plan and will help us to provide inclusive and discrimination-free services. The purpose of this new tool is to ensure that the impacts of every proposal are carefully considered and balanced and that decisions are based on evidence.

Part 1 of this form should be completed as soon as you have identified a potential area for change and when you are just beginning to develop a proposal. If you are following the All About Projects Framework it should be completed before going through Gateway 3.

Part 2 of this form should be filled in once you have completed your proposal and prior to being submitted for consideration by the Executive. If you are following the All About Projects Framework it should be completed before going through Gateway 4. Your answer to questions 1.4 in the improvements section must be reported in any papers going to the Executive and the full 'Better Decision Making' tool should be attached as an annex.

Introduction

Service submitting the proposal:	Adult Social Care
Name of person completing the	Katie Brown
Job title:	Commissioning Manager
Directorate:	Health, Housing and Adult Social Care
Date Completed:	
Date Approved: form to be checked by service manager	

Part 1

Section 1: What is the proposal?

Name of the service, project, programme, policy or strategy being assessed?
1.1 RE-COMMISSIONING A SHORT BREAKS SERVICE FOR ADULTS WITH A LEARNING DISABILITY BASED AT FLAXMAN AVENUE, YORK

What are the main aims of the proposal?
1.2 The project is to recommission a support provider to deliver the short breaks service based at Flaxman Avenue for adults with a learning disability who are known to adult social care as the current contract ends in February 2018.

What are the key outcomes?
1.3 The key outcomes will be for adults with a learning disability to have a break in a building based service which will deliver their personalised outcomes and for their families/carers to have a break from their caring role.

Section 2: Evidence

What data / evidence is available to understand the likely impacts of the proposal? (e.g. hate crime figures, obesity levels, recycling statistics)
2.1 We know that adults with a learning disability are living longer with more complex conditions. We also know that there will continue to be an increase in the complex nature of young people with learning disabilities entering transition that will require adult services; coupled with our current policy to provide, where possible, services locally for those individuals transitioning from children to adult services. Therefore, some individuals will need adult Social Care input sooner as the number of those who access residential college decreases. We need to have the appropriate services readily available within the City of fulfil these objectives.

2.2	What public / stakeholder consultation has been used to support this proposal?
	<p>Consultation took place during June and July 2017 by an email and telephone survey in relation to the current service provided with carers/families of individuals who use the service now and who may use the service in the future. Professionals were also asked to feedback their experiences and views of the current service. There was a 30% response rate from carers/families of adults with a learning disability who use the service.</p> <p>The responses were positive in relation to the service and any suggestions will be incorporated into the revised specification.</p>
2.3	Are there any other initiatives that may produce a combined impact with this proposal? (e.g. will the same individuals / communities of identity also be
	<p>The proposal is in line with services customers and carers wish to experience as part of the short breaks provision in York.</p>



'Better Decision Making' Tool

Informing our approach to sustainability, resilience
and fairness

Part 1

Section 3: Impact on One Planet principles

Please summarise any potential positive and negative impacts that may arise from your proposal on staff or residents.

This section relates to the impact of your proposal on the One Planet principles.

For 'Impact', please select from the options in the drop-down menu.
If you wish to enter multiple paragraphs in any of the boxes, hold down 'Alt' before hitting 'Enter'.

Equity and Local Economy

	Does your proposal?	Impact	What are the impacts and how do you know?
3.1	Impact positively on the business community in York?	Neutral	The project will not impact positively or negatively on the business community in York.
3.2	Provide additional employment or training opportunities in the city?	Neutral	The project will not impact positively or negatively on providing additional employment or training opportunities in the City.
3.3	Help individuals from disadvantaged backgrounds or underrepresented groups to improve their skills?	Neutral	The project will not impact positively to help individuals from disadvantaged background or underrepresented groups to improve their skills.

Health & Happiness

Does your proposal?	Impact	What are the impacts and how do you know?
3.4 Improve the physical health or emotional wellbeing of staff or residents?	Positive	Whilst staying for a short break at Flaxman Avenue, adults with a learning disability will have the opportunity to participate in various activities which will contribute to their overall wellbeing. In addition the short break will also enable the carer/ family to have some time away from their caring role giving allowing them to improve their physical and emotional wellbeing.
3.5 Help reduce health inequalities?	Neutral	The project will not impact positively or negatively on the reduction of health inequalities.
3.6 Encourage residents to be more responsible for their own health?	Neutral	The project will not impact positively or negatively on encouraging residents to be more responsible for their own health.
3.7 Reduce crime or fear of crime?	Neutral	The project will not impact positively or negatively on the reduction of crime, or the fear of crime
3.8 Help to give children and young people a good start in life?	Neutral	The project will not impact positively or negatively on helping to give young children or young people a good start in life.

Culture & Community

Does your proposal?	Impact	What are the impacts and how do you know?
3.9 Help improve community cohesion?	Neutral	The project will not impact positively or negatively on helping to improve community cohesion.
3.10 Improve access to services for residents, especially those most in need?	Neutral	The project will not impact positively or negatively on improving access to services for residents, especially those most in need.

3.11	Improve the cultural offerings of York?	Neutral	The project will not impact positively or negatively on the cultural offerings or heritage of York.
3.12	Encourage residents to be more socially responsible?	Neutral	The project will not impact positively or negatively on encouraging residents to be more socially responsible.

Zero Carbon and Sustainable Water

	Does your proposal?	Impact	What are the impacts and how do you know?
3.13	Minimise the amount of energy we use, or reduce the amount of energy we will use/pay for in the future?	Neutral	The project will not impact positively or negatively on the amount of energy we use or reduce the amount of energy we will use/pay for in the future.
3.14	Minimise the amount of water we use or reduce the amount of water we will use/pay for in the future?	Neutral	The project will not impact positively or negatively on water usage.
3.15	Provide opportunities to generate energy from renewable/low carbon technologies?	Neutral	The project will not impact positively or negatively on energy generation from renewable / low carbon technologies.

Zero Waste

	Does your proposal?	Impact	What are the impacts and how do you know?
3.16	Reduce waste and the amount of money we pay to dispose of waste by maximising reuse and/or recycling of materials?	Positive	We will encourage the future provider to minimise waste/maximise recycling on site through the procurement process.

Sustainable Transport

Does your proposal?		Impact	What are the impacts and how do you know?
3.17	Encourage the use of sustainable transport, such as walking, cycling, ultra low emission vehicles and public transport?	Neutral	The project will endeavour to encourage adults with a learning disability accessing the base to use public transport to attend, where possible.
3.18	Help improve the quality of the air we breathe?	Neutral	The project will not impact positively or negatively on the quality of air we breathe.

Sustainable Materials

Does your proposal?		Impact	What are the impacts and how do you know?
3.19	Minimise the environmental impact of the goods and services used?	Positive	The provider who supports those who will access the short breaks service will endeavour to minimise the environmental impact of the goods and services they use as part of providing short breaks service and this will be encouraged through the procurement process.

Local and Sustainable Food

Does your proposal?		Impact	What are the impacts and how do you know?
3.20	Maximise opportunities to support local and sustainable food initiatives?	Positive	The provider who supports the adults with a learning disability who will access the short breaks service will endeavour to support local and sustainable food initiatives and this will be encouraged through the procurement process.

Land Use and Wildlife

	Does your proposal?	Impact	What are the impacts and how do you know?
3.21	Maximise opportunities to conserve or enhance the natural environment?	Neutral	The project will not impact positively or negatively on conservation or the natural environment.
3.22	Improve the quality of the built environment?	Neutral	The project will not impact positively or negatively on the quality of the built environment.
3.23	Preserve the character and setting of the historic city of York?	Neutral	The project will not impact positively or negatively on the quality on the character and setting of the city.
3.24	Enable residents to enjoy public spaces?	Neutral	The project will not impact positively or negatively on public spaces.

3.25	Additional space to comment on the impacts



'Better Decision Making' Tool

Informing our approach to sustainability, resilience and fairness

Part 1

Section 4: Impact on Equalities and Human Rights

Please summarise any potential positive and negative impacts that may arise from your proposal on staff or residents.
 This section relates to the impact of your proposal on **advancing equalities and human rights** and should build on the impacts you identified in the previous section.

For 'Impact', please select from the options in the drop-down menu.
 If you wish to enter multiple paragraphs in any of the boxes, hold down 'Alt' before hitting 'Enter'

Equalities

Will the proposal **adversely impact** upon 'communities of identity'?
 Will it **help advance equality** or **foster good relations** between people in 'communities of identity'?

		Impact	What are the impacts and how do you know?	Relevant quality of life indicators
4.1	Age	Positive	For customers of CYC who have a learning disability and who will use the short breaks service at Flaxman Avenue, the service offers a welcome opportunity to exercise choice, independence and control over their lives. There will be a variety of ages from 18+ who access the short breaks service and their outcomes will be individualised for them.	Relevant quality of life indicators for the base include (but not exclusive to); the capability to access services, the capability to engage in productive and valued activities, the capability to enjoy a social life.

4.2	Disability	Positive	The primary focus of the short breaks service based at Flaxman Avenue is for adults with a learning disability to have a break and allow their family/carers to have a short break from their caring role.	Relevant quality of life indicators for the base include (but not exclusive to); the capability to access services, the capability to engage in productive and valued activities, the capability to enjoy a social life.
4.3	Gender	Neutral	The project will not impact positively or negatively on gender.	N/A
4.4	Gender Reassignment	Neutral	The project will not impact positively or negatively on gender reassignment.	N/A
4.5	Marriage and civil partnership	Neutral	The project will not impact positively or negatively on marriage or civil partnership.	N/A
4.6	Pregnancy and maternity	Neutral	The project will not impact positively or negatively on pregnancy or maternity.	N/A
4.7	Race	Neutral	The project will not impact positively or negatively on race.	N/A
4.8	Religion or belief	Neutral	The project will not impact positively or negatively on religion or belief.	N/A

4.9	Sexual orientation	Neutral	The project will not impact positively or negatively on sexual orientation.	N/A
4.10	Carer	Positive	The base will have a positive impact on carers who will know their cared for adult with a learning disability is engaging in meaningful, personalised activities and who will be able to have time to engage in their own pursuits during this time, if appropriate	N/A
4.11	Lowest income groups	Neutral	The project will not impact positively or negatively on lowest income groups.	N/A
4.12	Veterans, Armed forces community	Neutral	The project will not impact positively or negatively on veterans, armed forces community.	N/A

Human Rights

Consider how a human rights approach is evident in the proposal

		Impact	What are the impacts and how do you know?
4.13	Right to education	Neutral	The project will not impact positively or negatively on the right to education
4.14	Right not to be subjected to torture, degrading treatment or punishment	Neutral	The project will not impact positively or negatively on the right not to be subjected to torture, degrading treatment or punishment.
4.15	Right to a fair and public hearing	Neutral	The project will not impact positively or negatively on the right to a fair and public hearing.
4.16	Right to respect for private and family life, home and correspondence	Neutral	The project will not impact positively or negatively on the right to respect for private and family life, home and correspondence.
4.17	Freedom of expression	Neutral	The project will not impact positively or negatively on freedom of expression.
4.18	Right not to be subject to discrimination	Neutral	The project will not impact positively or negatively on discrimination.
4.19	Other Rights	Neutral	The project will not impact positively or negatively on other rights.

4.20

Additional space to comment on the impacts



'Better Decision Making' Tool

Informing our approach to sustainability,
resilience and fairness

Part 1

Section 5: Developing Understanding

Based on the information you have just identified, please consider how the impacts of your proposal could be improved upon, in order to balance social, environmental, economic, and equalities concerns, and minimise any negative implications.

It is not expected that you will have all of the answers at this point, but the responses you give here should form the basis of further investigation and encourage you to make changes to your proposal. Such changes are to be reported in the final section.

Taking into consideration your responses about all of the impacts of the project in its current form, what would you consider the overall impact to be on creating a fair, healthy, sustainable and resilient city?

5.1

The proposal improves the offer for adults with learning disabilities, who are known to social care, within the City. It begins to move from more traditional approaches to the commissioning of adult social care day services. It is a new option which aims to allow truly imaginative, flexible and innovative approaches to the provision of meaningful day activities. However, as a result of conducting the Integrated Impact Assessment it is clear that the customers who will be affected are vulnerable for whom changes to the way services are designed can present a particular challenge. Although all the consultation has been extremely positive, without an action plan to ensure a successful transition of services for some the overall impact of the initiative could be mixed.

5.2

What could be changed to improve the impact of the proposal on the One Planet principles? (please consider the questions you marked either mixed or negative, as well as any additional positive impacts that may be achievable)

We will endeavour to ensure our procurement process captures those elements which have been identified.

	<p>What could be changed to improve the impact of the proposal on <u>equalities and human rights</u>? (please consider the questions you marked either mixed or negative, as well as any additional positive impacts that may be achievable)</p>
5.3	<p>Through further consultation with customers and their family/carers we will endeavour to ensure that the positive impact of short breaks is maximised for all, including those with different backgrounds, disabilities, ages, ethnic origins, financial circumstances etc. We will ensure the new provider is committed to ongoing customers / family engagement sessions to ensure that the most everyone is fully aware of the personalised model, the practicalities of how the base will operate and the implications and opportunities associated with it. Through the procurement process we will endeavour to choose a provider who is committed to fair pay practices/equalities/ethical credentials.</p>

Section 6: Planning for Improvement

6.1	<p>What further evidence or consultation is needed to fully understand its impact? (e.g. consultation with specific communities of identity, additional data)</p>
	<p>Ongoing monitoring and customer feedback will take place as the personalised approach is implemented post the tender process.</p>

6.2	<p>What are the outstanding actions needed to maximise benefits or minimise negative impacts in relation to this proposal? Please include the action, the person(s) responsible and the date it will be completed (expand / insert more rows if needed)</p>
-----	--

Action
Tender of the service to procure a provider
New provider to work alongside ASC to ensure success of the short breaks service

Person(s)	Due date
Commissioning Manager	September - December
New provider / ASC	January 2018 +

6.3	<p style="text-align: center;">Additional space to comment on the impacts</p>
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Part 2

Section 1: Improvements

Part 2 builds on the impacts you identified in Part 1. Please detail how you have used this information to make improvements to your final proposal.

Please note that your response to question 1.4 in this section must be reported in the One Planet Council implications section of reports going to the Executive.

	<p>For the areas in the 'One Planet' and 'Equalities' sections, where you were unsure of the potential impact, what have you done to clarify your understanding?</p>
1.1	<p>Customers will be encouraged to embrace the positive aspects of personalisation - there will be ongoing support and assistance to make the proposed approach a genuinely positive one for all customers, carers and families once the tender process has been undertaken and a new provider has been identified.</p>
1.2	<p>What changes have you made to your proposal to increase positive impacts?</p>
1.3	<p>What changes have you made to your proposal to reduce negative impacts?</p>
1.4	<p>Taking into consideration everything you know about the proposal <u>in its revised form</u>, what would you consider the overall impact to be on creating a fair, healthy, sustainable and resilient city?</p> <p>Your response to this question must be input under the One Planet Council implications section of the Executive report. Please feel free to supplement this with any additional information gathered in the tool.</p>
	<p>It is envisaged that the creation of a new base at Burnholme will impact positively on the creation of a fair, healthy, sustainable and resilient city that was originally envisaged.</p>
1.5	<p>Any further comments?</p>

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Executive

31 August 2017

Report of the Corporate Director of Health, Housing and Adult Social Care Portfolio of the Executive Member for Adult Social Care & Health

Commissioning a Day Base For Adults with a Learning Disability at Burnholme Health and Wellbeing Campus**Summary**

1. This report seeks consent to go out to the market in the form of a tender to procure a support provider to deliver a base at Burnholme Health and Wellbeing Campus for Adults with a learning disability, who are eligible for care and support and will use the base at Burnholme (aligned with the principles of independence, choice and control as set out in the Care Act 2014).
2. Following previous consultation and engagement with stakeholders and potential partners, Members are asked to agree the procurement of a care and support provider to develop the base for adults with a learning disability, who are known to Adult Social Care, at Burnholme Health and Wellbeing Campus.
3. The recommendation is fully in line with the principles of the Care Act 2014, placing emphasis on prevention, early intervention and the maximisation of self care.

Recommendations

4. The Executive is asked to:
 - a) Agree to procure a provider who will be able to deliver the concept of the Base for adults with a learning disability based in the Community Health and Wellbeing Campus at Burnholme.

- b) Agree to delegate the award of the tender process to the Corporate Director of Health, Housing & Adult Social Care in consultation with the Portfolio Holder.

Reason: to progress the development of the base which aims to empower adult customers with a learning disability to exercise independence, choice and control over their day opportunities (in line with the principles of the Care Act 2014), and, to progress the tender process and subsequent appointment of the preferred provider.

Background

5. A report was taken to Cabinet in December 2014 to request the development of Burton Stone Community Centre into a Specialist Activity Base for Adults with a learning disability alongside a Community Hub. The report was agreed, however the procurement failed as the liability of the building was considered too onerous for partners to take on.
6. An alternative site to provide the service from was sought and, with consultation, the Burnholme site was agreed as ideally placed to encompass the base.
7. There are approximately 515 adults with a learning disability who are eligible for services from the City of York Council. During 2015/16 there were 277 adults with a learning disability receiving some day support as part of their package of care.
8. Over the next 5 years there are 30 young people with a learning disability that are currently known to services, who will become 18 and who are likely to need some degree of service from Adult Social Care. There are also 17 young people with a learning disability and autism that are currently known to services who are likely to need some degree of service from Adult Social Care.

	Primary Need		Total
	Learning Disability	Learning Disability and Autism	
2017	7	7	14
2018	7	3	10
2019	7	6	13
2020	5	1	6
2021	4	-	4

9. We know that adults with a learning disability are living longer with more complex conditions. We also know that there will continue to be an increase in the complex nature of young people with learning disabilities entering transition that will require adult services; coupled with our current policy to provide, where possible, services locally for those individuals transitioning from children to adult services. Therefore, some individuals will need adult Social Care input sooner as the number of those who access residential college decreases.
10. The Base envisaged at the Burnholme Health and Wellbeing Campus will be used for a variety of adults with a learning disability addressing the particular outcomes of the individual. Some will be attending activities similar to those attended now, whilst others will be attending for a more time-limited programme which will be focussed on the individuals own strengths and outcomes delivered will be towards independence.
11. We know that some of the adults with learning disabilities who will attend the base will have complex physical needs, which means the use of a building as a base is important in relation to using the changing spaces available, as well as being able to spend time out of their wheelchairs.
12. It is proposed that the fundamental provision will include:
 - ✓ people with a learning disability from age 18 to old age,
 - ✓ staff levels of 1 staff member to 3 customers,
 - ✓ personal care, where appropriate,
 - ✓ capacity for up to 30 places per day, and;
 - ✓ a full day (6 hours)

This list is not exhaustive and gives only an overview of expectations.

13. As the model of provision is based on co-production, there would be the expectation that the new provider will work with the adults with a learning disability who attend the base to ensure that they help to shape the base.
14. The provision will be focussed towards independence and will work from a strength based / asset rich approach. This will include a focus on employment, education, healthy living, gaining skills and confidence building.
15. The base will be outward looking and some placements are planned to be time-limited, with defined goals within a support plan to build confidence and gain or regain skills. The skills and confidence gained

will then help individuals to engage with activities in their local community. The base would work alongside other supports to assist adults with a learning disability in gaining more independence.

Consultation

16. Extensive consultation was undertaken with adults with a learning disability and their families, initially with regards to creating a new base at Burton Stone Community Centre in September 2014. Both adults with a learning disability and/or autism and their families supported and contributed to the development of the new specification for the service to be provided.
17. Following on from the unsuccessful tender at Burton Stone Community Centre both adults with a learning disability and their families were kept updated as to the situation and once the feasibility of being part of the Burnholme Health and Wellbeing Campus vision was agreed further consultation with an updated timeline was undertaken in April 2016. These events have fed back into the model of delivery as well as updating customers and their families regarding the new service being part of a longer term project in line with the Burnholme project.
18. A consultation event with providers was undertaken in June 2017 to discuss the vision from a provider's perspective.

Options

19. Option 1:
 - a. Agree to procure a provider who will be able to deliver the concept of the Base for adults with a learning disability based in the Community Health and Wellbeing Campus at Burnholme, and;
 - b. Agree to delegate the award of the tender process to the Corporate Director of Health, Housing & Adult Social Care.
20. Option 2: Not to develop an Activities Base for adults with a learning disability based in the Community Health and Wellbeing Campus at Burnholme.

Analysis

21. A desktop financial analysis of the options has been undertaken in order to ascertain the best option available. Any risks are noted in the risk section of this report.

22. The model proposed is for the base to offer 30 places per day, of which, 15 will be procured through the contract arrangement. This enables the use of Direct Payments or Individual Service Funds for the other 15 places which give individuals choice and control over the services they wish to use.
23. If agreed, it is expected that there would be a three year contract with an option to extend for a further two years for the Activity Base.
24. Feedback from Consultation with individuals who currently use the activities based at Burton Stone Community Centre was positive in how the centre could be developed and better used and it was certainly seen as detrimental if it were to close.
25. One of the key issues with regards to the activities currently provided at Burton Stone Community Centre is the use of individual one to one support provided for each person which is not always necessary for the person experiencing the activity. Another issue, is the activity provider is separate to the multiple providers who provide the one to one support and this can make harder for the activities to be meaningful as this can be disruptive to the sessions at times.
26. A high proportion of adults who currently access the activities provided at Burton Stone Community Centre as part of their week, have a high degree of physical disability as well as a learning disability. This means that as part of their day they need to have access to a changing place as well as a warm, dry environment and somewhere to eat their lunch. Currently there are 4 changing spaces within the City (West Offices, Silver Street, Central Explore Library and Acomb Explore Library), with another 3 located within Bell Farm Community Centre, Burton Stone Community Centre (potentially closing) and the Melbourne Centre. As part of the new Community and Wellbeing Hub at Burnholme there are plans to create two new changing spaces and one accessible toilet.
27. Because of the often complex physical disabilities of the adults with a learning disabilities who currently access Burton Stone Community Centre it is also crucial to their physical health that they have an opportunity to get out of their wheelchairs during their day. Therefore it is necessary that they have access to large pieces of equipment such as walkers and tilting tables as well as space to put down mats so they can exercise as part of their programme. Storage of these large pieces of equipment is necessary as well as space where they can be used.

28. Therefore if a base at Burnholme were not agreed, this would have a negative impact on the individuals who would have used the base. The future of Burton Stone Community Centre (BSCC) has been out for consultation and there are plans to change the use of the site it currently sits on with a much smaller community space being included. If there is no agreement to use Burnholme as a base this will mean there will be a displacement of approximately 60 customers who use BSCC as part of their weekly activity programme and alternative provision will need to be found. There would need to be further consultation for alternative solutions which would mean there would be significant time delays for any alternative solutions to be sourced and further consulted on. It would also impact on future options for young adults with a learning disability and/or autism leaving education as well as adults returning to York as part of the Building the Right Support programme.
29. If the proposal is not agreed, it will be necessary to provide ongoing commitment to revenue spend from the Adult Social Care budget to provide alternative day activities for part of an individual's week. This may be a more costly solution than the proposal for an activity base at Burnholme.
30. As part of the modelling for this service growth has been built in for adults with a learning disability and/or autism who will be returning to York as part of the Transforming Care Partnership programme as well as young adults coming through Transitions. This project will therefore mitigate against future revenue spend.
31. Built into the model of the new base at Burnholme are additional places for future growth through transitions and for adults with a learning disability coming back into York through the Building the Right Support programme. If these places are not available then this will be additional spend of one to one hours plus some day activity provision.
32. There are very clear advantages of agreeing to procure a provider who will deliver the base for adults with a learning disability based at Burholme. These include:
 - ✓ A safe, outcomes based environment for those adults with a learning disability who will using the base for a long term use
 - ✓ One provider means a more co-ordinated and consistent approach with regards to support.

- ✓ Development of a variety of opportunities for those attending the base, including education, employment, working towards independence, social and leisure activities.
- ✓ Will create additional capacity of those coming through transitions which will enhance the local offer in York and assists in Whole Life Planning.

Council Plan

33. **The Council Plan 2015-19**, sets out three key priorities with the second being 'a focus on frontline services' with two of the aims being that 'All York's residents live and thrive in a city which allows them to contribute fully to their communities and neighbourhoods' and 'Support services are available to those who need them'. If agreed, this new base at Burnholme will enable adults with a learning disability, who attend the base, will move towards independence and achieve their individual outcomes.
34. The Council Plan also states that "our purpose is to be a more responsive and flexible council that puts residents first and meets its statutory obligations." Through consultation and asking both adults with learning disabilities and their carers what kind of support they want during the day it is clear that a base is desired which is outward focussed and where a variety of outcomes can be achieved.
35. **'York's Joint Health and Wellbeing Strategy, 2017-2022'** has four central themes (Mental Health & Wellbeing, Starting & Growing Well, Living and Working Well, and, Ageing Well) and learning disabilities cuts across all of them. There are specific references to those with a learning disability including in relation to Mental Health and Employment. Although not a specific service with regards to mental health, the base will be able to monitor individuals who attend and help reduce issues that can impact on a person's mental health, such as isolation and loneliness. The establishment and development of the base will, therefore, assist in achieving the desired aims of the Strategy through a variety of activities.
36. This proposal also relates to **'A Fairer York. City of York's Equality Strategy 2016 – 2020'** where in the introduction it states, 'We believe our city will only fulfil its collective potential if everyone who lives, works and visits here can reach their own individual potential, where people can access opportunities and realise their aspirations, and are not limited because of who they are or where they live.'

37. As a Local Authority we are under considerable financial pressure to reduce expenditure, but maintain services. It is a key requirement of this proposal to reduce the Council's overall revenue budget for delivering services to adults with a learning disability.

Implications

- **Financial**

38. The projected value of the contract over the three year period, with a two year extension is estimated to be in the region of £1m. It is envisaged that the consolidation and the commissioning of the new service will create an efficiency of approximately £25,000 and create additional capacity for 37 places per week.
39. This extra capacity could be used to support future demand and mitigate the future cost of placements, particularly those customers transitioning from children's to adult services.
40. Several assumptions have been made in modelling the potential financial impact of the proposal:
- Commissioners have estimated the likely staffing establishment needed to run the base at an estimated market rate.
 - The council will block purchase 15 places whereas capacity available will be for 30 places. The model factors in an element that bidders will add to their tender price to partially mitigate the risk of places being under occupied.
 - It is assumed that there will be no increase in the cost of transporting customers to Burnholme as opposed to their current provision.
 - The model assumes that the target rent expected from this setting and built in to the Older Persons Accommodation Programme will be achieved in full.
41. Finance have verified the calculations and modelling and a confidential annex (B) is attached to this report.

- **One Planet Council / Equalities**

42. It is envisaged that the creation of a new base at Burnholme will impact positively on the creation of a fair, healthy, sustainable and resilient city

that was originally envisaged. The Better Decision Making Tool is attached as **Annex A** to this report.

- **Human Resources (HR)**

43. There are no Human Resource implications

- **Legal**

44. Legal input will be required in terms of the contractual arrangements for the Base for Adults with a learning disability to be based at Burnholme Community Health and Wellbeing Hub.

- **Crime and Disorder**

45. There are no Crime and Disorder implications.

- **Information Technology (IT)**

46. There are no Information Technology Implications.

- **Property**

47. City of York Council will retain the freehold and Explore will take a headlease and will manage and maintain the Centre. The service will occupy the required spaces under Licence from Monday to Friday 09:00 until 17:00, securing the accommodation for a single or multiple providers. This structure will ensure that the facilities are released for community groups to book and use outside these hours.

- **Other**

48. There are no other implications.

Risk Management

49. There is a risk that if there is no agreement to procure a provider for this service then the closure and subsequent work proposed for the Burton Stone Community site will be delayed as alternative solutions are sourced for customers currently attending day activities at Burton Stone Community Centre.

Contact Details

Author:

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Commissioning Manager
Directorate of Housing, Health
and Adult Social Care
Tel: 01904 554068

Chief Officer Responsible for the report:

Martin Farran
Corporate Director Health, Housing and
Adult Social Care

Report **Date** 09/08/17
Approved

Specialist Implications Officer(s) List information for all

Implication - Financial
Steve Tait
Principal Accountant
Corporate Finance Team
Tel No. 554065

Wards Affected: List wards or tick box to indicate all **All**

For further information please contact the author of the report

Annexes

Annex A – Better Decision Making Tool
Exempt Annex B – Confidential Financial Appraisal

The 'Better Decision Making' tool should be completed when proposing new projects, services, policies or strategies.

This integrated impact assessment tool was designed to help you to consider the impact of your proposal on social, economic and environmental sustainability, and equalities and human rights. The tool draws upon the priorities set out in our Council Plan and will help us to provide inclusive and discrimination-free services. The purpose of this new tool is to ensure that the impacts of every proposal are carefully considered and balanced and that decisions are based on evidence.

Part 1 of this form should be completed as soon as you have identified a potential area for change and when you are just beginning to develop a proposal. If you are following the All About Projects Framework it should be completed before going through Gateway 3.

Part 2 of this form should be filled in once you have completed your proposal and prior to being submitted for consideration by the Executive. If you are following the All About Projects Framework it should be completed before going through Gateway 4. Your answer to questions 1.4 in the improvements section must be reported in any papers going to the Executive and the full 'Better Decision Making' tool should be attached as an annex.

Guidance on completing this assessment is available by hovering over the text boxes.

Please complete all fields (and expand if necessary).

Introduction

Service submitting the proposal:

Adult Social Care

Name of person completing the

Katie Brown

Job title:

Commissioning Manager

Directorate:

Health, Housing and Adult Social Care

Date Completed:

Date Approved: form to be checked
by service manager

Part 1

Section 1: What is the proposal?

Name of the service, project, programme, policy or strategy being assessed?

Development of a base for adults with a learning disability, know to ASC, at the Burnholme Health and Wellbeing Campus

What are the main aims of the proposal?

The project is to procure a support provider to deliver a base at Burnholme Health and Wellbeing Campus for Adults with a learning disability, who are eligible for care and support and will use the base at Burnholme (aligned with the principles of independence, choice and control as set out in the Care Act 2014).

What are the key outcomes?

The outcomes for adults with a learning disability who attend the base will be focussed towards independence and will work from a strength based / asset rich approach. The outcomes will include a focus on employment, education, healthy living, gaining skills and confidence building.

Section 2: Evidence

What data / evidence is available to understand the likely impacts of the proposal? (e.g. hate crime figures, obesity levels, recycling statistics)

We know that adults with a learning disability are living longer with more complex conditions. We also know that there will continue to be an increase in the complex nature of young people with learning disabilities entering transition that will require adult services; coupled with our current policy to provide, where possible, services locally for those individuals transitioning from children to adult services. Therefore, some individuals will need adult Social Care input sooner as the number of those who access residential college decreases. The Needs Assessment for Adults with a Learning Disability further evidences this.

https://www.york.gov.uk/downloads/file/12171/learning_disabilities_needs_assessment

What public / stakeholder consultation has been used to support this proposal?

Extensive consultation was undertaken with adults with a learning disability and their families, initially with regards to creating a new base at Burton Stone Community Centre in September 2014. Both adults with a learning disability and/or autism, who attend BSCC, and their families supported and contributed to the development of the new specification for the service to be provided through attending the events or by post/email. Following on from the unsuccessful tender at Burton Stone Community Centre both adults with a learning disability and their families were kept updated as to the situation and once the feasibility of being part of the Burnholme Health and Wellbeing Campus vision was agreed further consultation with an updated timeline was undertaken in April 2016. These events have fed back into the model of delivery as well as updating customers and their families regarding the new service being part of a longer term project in line with the Burnholme project. Throughout the consultation, the new service proposals has been seen a positive change. A consultation event with providers was undertaken in June 2017 to discuss the vision from a provider's perspective.

Are there any other initiatives that may produce a combined impact with this proposal? (e.g. will the same individuals / communities of identity also be impacted by a different project or policy?)

The proposal is in line with emerging initiatives within Adult Social Care (driven by the Care Act 2014) to create a culture of personal commissioning - placing emphasis on prevention, early intervention and the maximisation of self care. The proposal forms one element within the introduction of a new Operating Model for Adult Social Care which maximises self support / management for all and concentrates on embracing risk and supporting individuals to manage risk.

Part 1

Section 3: Impact on One Planet principles

Please summarise any potential positive and negative impacts that may arise from your proposal on staff or residents.

For 'Impact', please select from the options in the drop-down menu.
If you wish to enter multiple paragraphs in any of the boxes, hold down 'Alt' before hitting 'Enter'.

Equity and Local Economy

Does your proposal?		Impact	What are the impacts and how do you know?
3.1	Impact positively on the business community in York?	Positive	The base will be outward looking and some individuals attending will be looking for local employment opportunities as their placement at the base will be time limited with defined goals within a support plan to build confidence and gain or regain skills.
3.2	Provide additional employment or training opportunities in the city?	Positive	Adults with a learning disability will be supported by support staff whilst at the base which will provide additional employment. In addition, some of the adults with a learning disability will move onto employment opportunities from the base. If appropriate for the individual with a learning disability, there will be opportunities to receive training and/or skills development and to progress towards employment.
3.3	Help individuals from disadvantaged backgrounds or underrepresented groups to improve their skills?	Positive	The skills and confidence gained, while at the base, will help adults with a learning disability to engage with activities in their local community. The base would work alongside other supports to assist adults with a learning disability in gaining more independence

Health & Happiness			
	Does your proposal?	Impact	What are the impacts and how do you know?
3.4	Improve the physical health or emotional wellbeing of staff or residents?	Positive	Whilst at the base, adults with a learning disability, will have the opportunity to participate in various physical activities, including in some cases, time out of wheelchairs and the opportunity to use walking frames. The base will also contribute towards social activities and assist in preventing social isolation.
3.5	Help reduce health inequalities?	Positive	Whilst at the base, adults with a learning disability, will learn independence skills which will help them to live more independently and to make healthy choices, therefore helping to reduce health inequalities
3.6	Encourage residents to be more responsible for their own health?	Positive	Whilst at the base, adults with a learning disability, will learn independence skills which will help them to live more independently and to make healthy choices.
3.7	Reduce crime or fear of crime?	Neutral	The project will not impact positively or negatively on the reduction of crime, or the fear of crime
3.8	Help to give children and young people a good start in life?	Positive	The base will work closely with young people with learning disabilities in transitions to enable a progression of the skills learnt at school and / or other environments.

Culture & Community			
Does your proposal?		Impact	What are the impacts and how do you know?
3.9	Help improve community cohesion?	Positive	The base will contribute positively to community cohesion by encouraging customers with learning disabilities to integrate within their wider communities and neighbourhoods, thus avoiding the potential stigma and isolation sometimes associated with traditional services. As the base is going to be outward looking it may also open up opportunities for additional community cohesion projects spinning out of the base.
3.10	Improve access to services for residents, especially those most in need?	Positive	The base forms part of a broader movement to encourage customers with learning disabilities to use support services more effectively, focusing on the lives they want to live and exploring better alternatives to traditional services. This personalised approach to accessing services has been developing over a period of years and will continue to develop as the needs and aspirations of individuals changes.
3.11	Improve the cultural offerings of York?	Neutral	The project will not impact positively or negatively on the cultural offerings or heritage of York.
3.12	Encourage residents to be more socially responsible?	Positive	Equipping adult customers with the skills and confidence to live their lives as independently as possible will enable them to become more actively involved in social and leisure opportunities within their local communities, and to more actively participate in the life of their communities.

Zero Carbon and Sustainable Water

Does your proposal?		Impact	What are the impacts and how do you know?
3.13	Minimise the amount of energy we use, or reduce the amount of energy we will use/pay for in the future?	Neutral	The project will not impact positively or negatively on the amount of energy we use or reduce the amount of energy we will use/pay for in the future.
3.14	Minimise the amount of water we use or reduce the amount of water we will use/pay for in the future?	Neutral	The project will not impact positively or negatively on water usage.
3.15	Provide opportunities to generate energy from renewable/low carbon technologies?	Neutral	The project will not impact positively or negatively on energy generation from renewable / low carbon technologies.

Zero Waste

Does your proposal?		Impact	What are the impacts and how do you know?
3.16	Reduce waste and the amount of money we pay to dispose of waste by maximising reuse and/or recycling of materials?	Positive	We will encourage the future provider to minimise waste/maximise recycling on site through the procurement process

Sustainable Transport

Does your proposal?		Impact	What are the impacts and how do you know?
3.17	Encourage the use of sustainable transport, such as walking, cycling, ultra low emission vehicles and public transport?	Neutral	The project will endeavour to encourage adults with a learning disability accessing the base to use public transport to attend, where possible.
3.18	Help improve the quality of the air we breathe?	Neutral	The project will not impact positively or negatively on the quality of air we breathe.

Sustainable Materials

Does your proposal?		Impact	What are the impacts and how do you know?
3.19	Minimise the environmental impact of the goods and services used?	Positive	The provider who supports those who will access the base will endeavour to minimise the environmental impact of the goods and services they use as part of providing activities at the base and this will be encouraged through the procurement process.

Local and Sustainable Food

Does your proposal?		Impact	What are the impacts and how do you know?
3.20	Maximise opportunities to support local and sustainable food initiatives?	Positive	The provider who supports the adults with a learning disability who will access the base will endeavour to support local and sustainable food initiatives and this will be encouraged through the procurement process.

Land Use and Wildlife

Does your proposal?		Impact	What are the impacts and how do you know?
3.21	Maximise opportunities to conserve or enhance the natural environment?	Neutral	The project will not impact positively or negatively on conservation or the natural environment.

3.22	Improve the quality of the built environment?	Neutral	The project will not impact positively or negatively on the quality of the built environment.
3.23	Preserve the character and setting of the historic city of York?	Neutral	The project will not impact positively or negatively on the quality on the character and setting of the city.
3.24	Enable residents to enjoy public spaces?	Neutral	The project will not impact positively or negatively on public spaces.

3.25	Additional space to comment on the impacts		

Part 1

Section 4: Impact on Equalities and Human Rights

Please summarise any potential positive and negative impacts that may arise from your proposal on staff or residents.

This section relates to the impact of your proposal on **advancing equalities and human rights** and should build on the impacts you identified in the previous section.

For 'Impact', please select from the options in the drop-down menu.
If you wish to enter multiple paragraphs in any of the boxes, hold down 'Alt' before hitting 'Enter'

Equalities

Will the proposal **adversely impact** upon 'communities of identity'?
Will it **help advance equality** or **foster good relations** between people in '**communities of identity**'?

		Impact	What are the impacts and	Relevant quality of life
4.1	Age	Positive	For customers of CYC who have a learning disability and who may access the base as part of their programme of day support, the base offers a welcome opportunity to exercise choice, independence and control over their lives. There will be a variety of ages from 18+ who access the base and their outcomes will be individualised for them.	Relevant quality of life indicators for the base include (but not exclusive to); the capability to access services, the capability to have the skills to participate in society, including education, to be creative, to acquire skills and having access to training, the capability to engage in productive and valued activities, the capability to enjoy a social life.

4.2	Disability	Positive	The primary focus of the base is for adults with a learning disability who may access the base as part of their programme of day support, the base offers a welcome opportunity to exercise choice, independence and control over their lives.	Relevant quality of life indicators for the base include (but not exclusive to); the capability to access services, the capability to have the skills to participate in society, including education, to be creative, to acquire skills and having access to training, the capability to engage in productive and valued activities, the capability to enjoy a social life.
4.3	Gender	Neutral	The project will not impact positively or negatively on gender.	N/A
4.4	Gender Reassignment	Neutral	The project will not impact positively or negatively on gender reassignment.	N/A
4.5	Marriage and civil partnership	Neutral	The project will not impact positively or negatively on marriage or civil partnership.	N/A
4.6	Pregnancy and maternity	Neutral	The project will not impact positively or negatively on pregnancy or maternity.	N/A
4.7	Race	Neutral	The project will not impact positively or negatively on race.	N/A
4.8	Religion or belief	Neutral	The project will not impact positively or negatively on religion or belief.	N/A

4.9	Sexual orientation	Neutral	The project will not impact positively or negatively on sexual orientation.	N/A
4.10	Carer	Positive	The base will have a positive impact on carers who will know their cared for adult with a learning disability is engaging in meaningful, personalised activities and who will be able to have time to engage in their own pursuits during this time, if appropriate	N/A
4.11	Lowest income groups	Neutral	The project will not impact positively or negatively on lowest income groups.	N/A
4.12	Veterans, Armed forces community	Neutral	The project will not impact positively or negatively on veterans, armed forces community.	N/A

Human Rights

Consider how a human rights approach is evident in the proposal

		Impact	What are the impacts and how do you know?
4.13	Right to education	Neutral	The project will not impact positively or negatively on the right to education
4.14	Right not to be subjected to torture, degrading treatment or punishment	Neutral	The project will not impact positively or negatively on the right not to be subjected to torture, degrading treatment or punishment.
4.15	Right to a fair and public hearing	Neutral	The project will not impact positively or negatively on the right to a fair and public hearing.
4.16	Right to respect for private and family life, home and correspondence	Neutral	The project will not impact positively or negatively on the right to respect for private and family life, home and correspondence.
4.17	Freedom of expression	Neutral	The project will not impact positively or negatively on freedom of expression.
4.18	Right not to be subject to discrimination	Neutral	The project will not impact positively or negatively on discrimination.
4.19	Other Rights	Neutral	The project will not impact positively or negatively on other rights.

4.20	Additional space to comment on the impacts
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Part 1

Section 5: Developing Understanding

Based on the information you have just identified, please consider how the impacts of your proposal could be improved upon, in order to balance social, environmental, economic, and equalities concerns, and minimise any negative implications.

It is not expected that you will have all of the answers at this point, but the responses you give here should form the basis of further investigation and encourage you to make changes to your proposal. Such changes are to be reported in the final section.

Taking into consideration your responses about all of the impacts of the project in its current form, what would you consider the overall impact to be on creating a fair, healthy, sustainable and resilient city?

5.1 The proposal improves the offer for adults with learning disabilities, who are known to social care, within the City. It begins to move from more traditional approaches to the commissioning of adult social care day services. It is a new option option which aims to allow truly imaginative, flexible and innovative approaches to the provision of meaningful day activities. However, as a result of conducting the Integrated Impact Assessment it is clear that the customers who will be effected are vulnerable for whom changes to the way services are designed can present a particular challenge. Although all the consultation has been extremely positive, without an action plan to ensure a successful transition of services for some the overall impact of the initiative could be mixed.

What could be changed to improve the impact of the proposal on the One Planet principles? (please consider the questions you marked either mixed or negative, as well as any additional positive impacts that may be achievable)

5.2 The move to a more outward looking, community focussed service, needs to be carefully managed and constant communication and updates must be undertaken as part of the action planning moving forward. Through the procurement process, we aim to select a provider with an appreciation of minimising the environmental impact of services (waste reduction, use of locally sourced and sustainable materials and food where possible).

5.3	<p>What could be changed to improve the impact of the proposal on <u>equalities and human rights</u>? (please consider the questions you marked either mixed or negative, as well as any additional positive impacts that may be achievable)</p>
	<p>Through further consultation with customers and their family/carers we will endeavour to ensure that the positive impact is maximised for all, including those with different backgrounds, disabilities, ages, ethnic origins, financial circumstances etc. We will ensure the new provider is committed to ongoing customers / family engagement sessions to ensure that the most everyone is fully aware of the personalised model, the practicalities of how the base will operate and the implications and opportunities associated with it. Through the procurement process we will endeavour to choose a provider who is committed to fair pay practices/equalities/ethical credentials.</p>

Section 6: Planning for Improvement

6.1	<p>What further evidence or consultation is needed to fully understand its impact? (e.g. consultation with specific communities of identity, additional data)</p>
	<p>Ongoing monitoring and customer feedback will take place as the personalised approach is implemented post the tender process.</p>

6.2	<p>What are the outstanding actions needed to maximise benefits or minimise negative impacts in relation to this proposal? Please include the action, the person(s) responsible and the date it will be completed (expand / insert more rows if needed)</p>
-----	--

Action
Tender of the service to procure a provider
New provider to work alongside ASC to ensure success of the base

Person(s)	Due date
Commissioning Manager	September - December 2017
New provider / ASC	January 2018 +

6.3	<p>Additional space to comment on the impacts</p>

Part 2

Section 1: Improvements

Part 2 builds on the impacts you identified in Part 1. Please detail how you have used this information to make improvements to your final proposal.

Please note that your response to question 1.4 in this section must be reported in the One Planet Council implications section of reports going to the Executive.

1.1	<p>For the areas in the 'One Planet' and 'Equalities' sections, where you were unsure of the potential impact, what have you done to clarify your understanding?</p>
	<p>Customers will be encouraged to embrace the positive aspects of personalisation - there will be ongoing support and assistance to make the proposed approach a genuinely positive one for all customers, carers and families once the tender process has been undertaken and a new provider has been identified.</p>
1.2	<p>What changes have you made to your proposal to increase positive impacts?</p>
	<p> </p>
1.3	<p>What changes have you made to your proposal to reduce negative impacts?</p>
	<p> </p>
1.4	<p>Taking into consideration everything you know about the proposal <u>in its revised form</u>, what would you consider the overall impact to be on creating a fair, healthy, sustainable and resilient city?</p>
	<p>Your response to this question must be input under the One Planet Council implications section of the Executive report. Please feel free to supplement this with any additional information gathered in the tool.</p>
	<p>It is envisaged that the creation of a new base at Burnholme will impact positively on the creation of a fair, healthy, sustainable and resilient city that was originally envisaged.</p>
1.5	<p>Any further comments?</p>
	<p> </p>

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

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Executive

31 August 2017

Report of the Corporate Director of Health, Housing & Adult Social Care

Portfolio of the Executive Member for Adult Social Care & Health

Carers Support Services – Future Approach to Provision

Summary

1. This report seeks the agreement of CYC Executive to re-commission the Carers Support Services for adults and young people. The service will be re-commissioned through an open tender exercise.
2. The recommendation is fully in line with the principles of the Care Act 2014, placing emphasis on prevention, early intervention and the maximisation of self care.

Recommendations

1. The Executive are asked to:
 - a) Approve Option 1 within the report - undertake a tender exercise to re-commission Carers Support Services for adults and young people in line with the Key Decision criteria as set out in section 7.7 of the council's Contract Procedure Rules.
 - b) Agree to delegate the award of the tender process to the Corporate Director of Health, Housing and Adult Social Care in consultation with the Portfolio Holder.

Reason: To deliver a sustainable, integrated support model for carers, delivered by a competent and professional external provider who fully understands the needs of carers of all ages and from all backgrounds.

2. Background

The Care Act 2014

- 2.1 The Care Act 2014 brought about the most significant advance in carers' statutory rights since the first legislation in 1996, giving carers the right to be recognised and involved in assessments and care planning of the person they care for.
- 2.2 The Care Act made material changes to the pre-existing statutory duty to assess carers' needs. Under Care Act guidance the duty to assess is triggered by the 'appearance of need' and is no longer dependent upon the carer making a request or dependent upon the carer providing (or intending to provide) regular or substantial care.
- 2.3 The Care Act also provided a clear definition of eligible needs, placing a duty upon local authorities to ensure that these assessed eligible needs are met – either through the provision of services to the carer or by making a Direct Payment available on request, thus enabling carers to exercise control over their own care and support requirements.
- 2.4 Furthermore the Act introduced a general duty to prevent, reduce and delay needs for care and support and to have regard to both the needs of the whole family and particularly young carers within this process

Need and Demand

- 2.5 **National Context:** Statistics compiled by Carers UK indicate the following;
 - There are around seven million carers in the UK.
 - Three in five people will be carers at some point in their lives in the UK.
 - Out of the UK's carers, 42% of carers are men and 58% are women.
 - The economic value of the contribution made by carers in the UK is £132bn a year.
 - By 2030 the number of carers will increase by 3.4 million (around 60%).
 - Informal carers are increasingly doing more hours of care per week and are, on average, getting older.
 - 19% of carers known to local authorities are not in paid work due to their caring responsibilities.
 - Caring has affected the health of 86% of carers.

- 20% of emergency hospital admissions for carers/cared-for are for existing conditions which could be managed effectively by primary, community or social care and could be avoided.
- An estimated 35% of working age in-household carers may be entitled to, but not receiving, Carer's Allowance.
- Research suggests that funding carer support services is a cost effective preventative investment – that for every £1.00 invested in carers, there is a potential equivalent reduction in local authority cost of £5.90, and with significantly greater 'social return' benefits.

2.6 Local Context Figures obtained from the 2011 Census, York Carers Centre and the Joint Strategic Needs Assessment for York indicate that;

- There are 18,224 carers recorded in the 2011 census in York, comprising 9.2% of the population.
- The number of registrations with York Carers Centre is increasing at a rate of over 10% per annum.
- Figures from the 2011 census show that there has been a 25% increase in the number of young adult carers, aged 16-25. Most of these carers remain hidden.
- City of York Council and its partners are aware of nearly 3,000 carers (or 16% of the total number of carers registered through the census).
- 19% of these carers provide 50+ hours of care per week.
- In the next 15 years the number of York residents aged over 65 will increase from 36,000 to 46,000 and those aged over 75 will increase from 17,000 to over 26,000.
- As York's population increases so does the prevalence of dementia and other long term health conditions. As a result it is envisaged that the demand for spouses and adult children to provide unpaid care will more than double over the next 30 years.

Carers Hub Approach

2.7 City of York Council and the Vale of York CCG currently commission York Carers Centre to deliver a wide range of support services to adult and young carers in the city. The existing contractual arrangements commenced on 31st October 2013 and are due to expire on 31st March 2018.

2.8 A significant extension of the existing Carers Centre contract was agreed in 2016 to support the creation of a Carers Hub, a highly visible referral point where carers could be offered early-stage assessment and preventative support in order to reduce and delay the need for more complex interventions.

- 2.9 Under the branding of the Carers Hub York Carers Centre has successfully established itself as highly visible, front-door contact point in the city which responds rapidly to carers' needs. Carers therefore have one clear point of contact; a competent and highly respected provider who is able to offer immediate support - or signpost to an appropriate partner agency.
- 2.10 The Carers Hub has delivered strongly against the strategic priorities set out in the new operating model for Adult Social Care, particularly the principle of 'preventing, reducing and delaying the need for ongoing care and support'.
- 2.11 Through a combination of early intervention, proportionate assessment and triage for more complex cases of need the Hub provides a highly responsive, integrated and flexible carers support model - one which has proved effective in sustaining carers in their care giving role and reducing the demand for permanent, long-term care. This in turn has led to measurable cost savings across the health and social care system.
- 2.12 Specific examples of achievements since the establishment of the Carers Hub in May 2016 include the following:
- A 10% growth in the number of new registrations with York Carers Centre (i.e.2,844 current registrations compared with 2,584 in May 2016).
 - Targets for the number of new referrals into the Hub have been exceeded by 12% since May 2016. (1,095 new referrals have been received against a target of 980).
 - 1,119 customer contacts have been provided during extended opening hours (Friday / evening cover) since the contract uplift from May 2016.
 - The target for Carers Assessments of Need has been exceeded by 17% (88 completed assessments against a target of 75).
 - The waiting list for Carers Assessments in the city has reduced from 90 to 21 since May 2016.
 - Carers now have to wait for a maximum of 4 weeks for a carers assessment, compared to an average wait of over 8 weeks in May 2016.
 - Three permanent outreach hubs for carers have been established in Acomb, New Earswick and Tang Hall with numerous additional pop-up outreach activities and events taking place in other neighbourhoods across the city.

- Case studies evidence that a complete breakdown of the care giving role has been avoided for at least 207 households in the 11 month period May 2016 to March 2017 including;
 - Prevention in admissions to residential care / reduction in the take up of domiciliary care packages (16% of case studies).
 - Prevention of a significant deterioration in carer mental health (59% of case studies).
 - Prevention of a significant deterioration in carer physical health (12% of case studies).
 - Sustaining carers in employment and alleviating financial hardship (13% of case studies).

2.13 It is the continuation and extension of the successful Carers Hub model that will be taken forward through the proposed re-tendering arrangements.

2.14 It is envisaged that this investment will continue to significantly reduce the call on long term care, welfare and other benefits and physical and mental health services.

3. Consultation

3.1 Consultation and customer feedback has been sought on a continual basis by York Carers Centre as part of their contract monitoring arrangements and annual review process, through focus groups, surveys and interviews with carers of all ages from a wide variety of backgrounds.

3.2 Consultation feedback has been consistent - customers see significant value in the alignment of carers support services through the existing Carers Hub model and are strongly in favour of its continuation. Customers also see particular value in this model being delivered by the voluntary sector, who are often closer to the service user than statutory providers and better able to understand their support requirements.

3.3 Case notes from the York Carers Centre AQ-OL system and from Carers Assessments also point to customer satisfaction with existing support arrangements - particularly the co-ordination of all services through a single point of contact. The emphasis on early intervention and prevention through community outreach provision has been particularly valued. The ability to access Carers Assessments simply and easily within a community setting has also been widely appreciated.

- 3.4 The result of the 2017 National Carers Survey have not yet been published. However raw data from York respondees is available and again indicates customer satisfaction with the existing arrangements.

4. Options

Option 1: The Re-Commissioning of Carers Services

- 4.1 The Preferred Option. Through Option 1 CYC would approach the market to seek a single external provider or consortium to deliver the entirety of carers' service provision from 1st April 2018 onwards. (A timetable for the procurement is attached as Annex A).
- 4.2 If the re-procured carers services were delivered by a provider other than the York Carers Centre it is likely that the York Carers Centre staff supported through existing contractual arrangements would transfer to the new provider in accordance with the Transfer of Undertakings Protection of Employment Regulations (TUPE). However, this would be a process to be determined and taken forward by the incoming and outgoing service providers.

Option 1: Advantages

- 4.3 A re-commissioned approach (driven and co-ordinated by a dynamic lead organisation) is likely to see a continuation and expansion of the existing good practice realised through the tendering of carers services, bringing about more radical, customer focused solutions and outcomes.
- 4.4 Although open to all providers this approach would be particularly suited to the local voluntary sector. A tender opportunity such as the one indicated above could prove very attractive to a consortia of carers' support organisations in York. This approach could nurture the role of these local voluntary sector providers, placing them on a firmer footing financially; retaining their core strengths and capabilities and enabling them to expand and flourish over future years.
- 4.5 Whilst valuing the strengths of the local voluntary sector a re-commissioning approach could also potentially open up the market to national providers who might bring an added dimension in terms of innovation and best practice gleaned from other areas. Such organisations might also bring experienced consortia management and leadership skills.

Option 1: Additional Considerations

- 4.6 Expectations around innovation and added value and clear evidence of the savings realised by health and social care services are contained within the existing service specification and captured / monitored through contractual arrangements. Whilst the existing provider has delivered a highly valued service the service specification will be reviewed and outcomes clearly defined for an enhanced service approach through the re-tendering process.
- 4.7 If a consortia approach were to be successful the providers would need to evidence robust governance / joint working arrangements and indicate how they will effectively draw together various strands of service delivery and financing models. If partnership arrangements were to break down this could impact negatively on a highly vulnerable client group.

Alternative Options

Option 2: Do Nothing

- 4.8 Through this option CYC would not approach the market to re-procure carers support services. The existing carers services contract (and the activities delivered through it) would cease as of 31st March 2018. The in-house element of carers provision delivered by the Adult Social Care Long Term Team Carers Support Workers would continue.

Analysis

- 4.9 Whilst the in-house Carers Support Workers are able to fulfil some of the authority's statutory duties (these staff undertake some carers assessments and support planning functions alongside York Carers Centre staff) the full range of statutory obligations as set out in the Care Act 2014 would not be met.
- 4.10 Section 2 of the Act requires local authorities to provide a range of support services that will prevent or delay the development of needs by carers. (It is not sufficient for authorities to rely on their general preventative services to meet these needs). In light of legal guidance contained within the Care Act it is therefore not possible for the council to discontinue providing a comprehensive range of support services for carers in the city and only proceed with a restricted level of in house provision post March 2018.

Option 3: In House Delivery Model

4.11 Through this option CYC would seek to deliver sensory provision through an entirely in-house approach. The existing Carers Services contract with York Carers Centre would cease on 31st March 2018 and all carers support services would thereafter be delivered in-house by the Adult Social Care Long Term Team.

Analysis

4.12 Carers' services are already closely aligned and carefully co-ordinated through the Carers Hub. All referrals for carers support in the city are channelled through the Hub, where York Carers Centre and CYC staff meet on a weekly basis to jointly assess customer needs and agree which provider is better placed to offer ongoing support.

4.13 Delivering all carers support services directly through the council would not improve upon the existing co-ordination and alignment of services, and could cause confusion by changing a model which is widely recognised and understood by customers and other partner agencies.

4.14 This approach would not be in line with the principles set out in the Care Act 2014 of developing the provider marketplace, and ensuring that provision is flexible, responsive and tailored to the specific requirements of customer need; nor would it be in line with the approach of other local authorities, many of whom have already delegated the majority of their functions to local, independent carer support groups.

4.15 The approach also goes against the broader direction of travel identified in the Care Act to promote outreach, early intervention and prevention within community and neighbourhood settings and to encourage preventative approaches to independence and wellbeing.

4.16 Option 3 contradicts the wishes of customers (as identified in Section 3 of this report) in terms of the operating model that might best deliver their desired outcomes. Customer case studies clearly evidence the belief that carers' provision would be better supported by strengthening the existing voluntary sector driven approach.

5. Analysis

Financial Analysis

- 5.1 The current total contract value is £402,153.75 pa (including a VoY CCG contribution of £81,153.75 per annum).
- 5.2 It is intended to revise the specification to include other elements of carers support currently commissioned by the council into a consolidated carers support service, which would increase the value of the existing contractual level by £21,100 The contract term proposed is 3 years with the potential to extend for a further year, resulting in a maximum contract value at existing levels of £1,608,600 over the lifetime of the contract.
- 5.3 The maximum value of the contract will therefore be £423,253.75 per annum.
- 5.4 As detailed above the VoY CCG currently contribute £81,153.75 per annum to the contracted service which has not increased since 2012 The health related element of the budget has therefore remained static for over 5 years, whilst the CYC contribution has increased significantly during that timeframe.
- 5.5 The CCG have been approached to increase their contribution to Carers Services to provide an enhanced offer but have indicated that their contribution will remain at its existing level.
- 5.6 The Council has budgetary provision for this contract within base budget and through the Better Care Fund which also meets the CCG commitment. The Council extended its commitment in 2016 by an additional investment of £150k which is part of the Directorate's efficiency programme as this additional investment will reduce demand on social care services. As a result efficiencies of £250k are projected for 2018/19. The additional investment is included within the contractual figures within this report.

6. Council Plan

- 6.1 The proposals are fully in line with corporate priorities, as set out in the Council's Plan 2015-19 in particular the following themes:

A focus on frontline services

Future carers' proposals are in line with one of the key aims of this priority that all children and adults are listened to, and their opinions considered. This initiative will ensure that a joined-up approach is taken across services and that services are firmly people focused.

A council that listens to residents

Carers' proposals are in line with proposals to be more flexible and responsive to customer and resident requirements, working in partnership with customers and communities to deliver the services people need and want.

7. Analysis

See paragraphs 4.3 – 4.16 of this report.

8 Implications

- 8.1 **Human Resources (HR):** If the re-procured carers services were delivered by a provider other than the York Carers Centre it is likely that the York Carers Centre staff supported through existing contractual arrangements would transfer to the new provider in accordance with the Transfer of Undertakings Protection of Employment Regulations (TUPE). However, this process would not involve the council as it would be up to the incoming and outgoing service providers to meet their respective HR obligations under the TUPE regulations.
- 8.2 **One Planet / Equalities:** In considering this matter the Council must have regard to the public sector equality duty. In summary, those subject to the equality duty must, in the exercise of their functions, have due regard to the need to:
- a. Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
 - b. Advance equality of opportunity between people who share a protected characteristic and those who do not.
 - c. Foster good relations between people who share a protected characteristic and those who do not.

The Act explains that having due regard for advancing equality involves:

- a. Removing or minimising disadvantages suffered by people due to their protected characteristics.
- b. Taking steps to meet the needs of people from protected groups where these are different from the needs of other people.
- c. Encouraging people from protected groups to participate in public life or in other activities where their participation is disproportionately low.

The overall impact of the project on the creation of a fair, healthy, sustainable and resilient city is overwhelmingly positive. Through a combination of early intervention, proportionate assessment and

triage for more complex cases of need the Carers Hub initiative will provide a highly responsive, integrated and flexible carers support model - one which will prove effective in sustaining carers in their care giving role thereby reducing the demand for permanent, long-term care. This in turn will lead to measurable cost savings across the health and social care system. For further analysis of the project's impact upon the **One Planet Principles** and **Equalities & Human Rights** please refer to the Better Decision Making Tool (Annex B)

Completion of the Better Decision Making Tool has ensured that robust monitoring procedures will be in place, making certain that the initiative delivers against one planet and equalities outcomes.

8.3 **Legal:** If the recommended approach is adopted CYC must ensure that external providers of carers' services comply with data sharing and data protection legislation. Members are also asked to be mindful of the legal guidance contained within the Care Act regarding the council's statutory duties to support carers.

8.4 **Crime and Disorder:** There are no crime and disorder implications.

8.5 **Information Technology (IT):** It is recommended that the external provider of carers services has controlled access to the CYC case management system i.e. Mosaic. This will require the purchase of software licences for provider's individual named staff as well as the establishment of data sharing agreements as identified above. A significant amount of work will need to be undertaken to ensure shared IT and data systems are effectively integrated. Experience from previous procurements also points to the usefulness of external providers who have Mosaic access also having access to the ICT Service Desk.

8.6 **Property:** There are no property implications.

9. Risk Management

9.1 There are limited risks associated with the recommended approach other than the need to determine clear outputs and outcomes expected from the service and exercise robust contract management procedures to ensure that the outputs and outcomes are delivered to a high standard.

Contact Details:

Author	Chief Officer Responsible for Report			
Adam Gray Commissioning Manager Adult Social Care Tel No.01904 551053 adam.gray@york.gov.uk	Martin Farran Corporate Director of HHASC Michael Melvin Assistant Director (Adults & Social Care)			
	Report Approved	✓	Date	09/08/17
Specialist Implications Officer(s) Finance Steve Tait (ext 4065) Legal Melanie Perara (ext 1087)				
Wards Affected: List wards or tick box to indicate all			All	✓
For further information please contact the author of this report				

Annexes

Annex A: Carers Support Services Re-Procurement Timetable
 Annex B: Carers Support Services Better Decision Making Tool

Annex A: Carers Service OJEU Open Procedure Procurement Timetable

Carers Service OJEU Open Procedure Timetable	Achieved By
CYC Exec Decision to approve re-commissioning of Carers Services	31/08/17
SQ, ITT, contract T&C's finalised	22/09/17
SQ, ITT docs published on Yortender	25/09/17
SQ & ITT return deadline	10/11/17
SQ evaluation quality submissions, Financial accounts/References/ H&S policies. Bidders for tender evaluation identified	15/11/17
ITT quality evaluations: evaluate quality method statements, tenderers prices & tenderers clarifications	23/11/17
ITT quality evaluations: Interviews/ presentations	24/11/17
Formal clarifications of bidders responses and recommendation for contract award	29/11/17
Decision report for contract award Director's approvals obtained	01/12/17
Standstill period (10 calendar days)	04/12/17
Contract Award	18/12/17
OJEU Contract Award Notice published	20/12/17
Contract Mobilisation period commences	22/12/18
Contracts signed by appointed Provider/Legal	28/02/18
Contract Mobilisation period ends	31/03/18
New Service Commences	01/04/18

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'Better Decision Making' Tool

Informing our approach to sustainability, resilience and fairness

The 'Better Decision Making' tool should be completed when proposing new projects, services, policies or strategies.

This integrated impact assessment tool was designed to help you to consider the impact of your proposal on social, economic and environmental sustainability, and equalities and human rights. The tool draws upon the priorities set out in our Council Plan and will help us to provide inclusive and discrimination-free services. The purpose of this new tool is to ensure that the impacts of every proposal are carefully considered and balanced and that decisions are based on evidence.

Part 1 of this form should be completed as soon as you have identified a potential area for change and when you are just beginning to develop a proposal. If you are following the All About Projects Framework it should be completed before going through Gateway 3.

Part 2 of this form should be filled in once you have completed your proposal and prior to being submitted for consideration by the Executive. If you are following the All About Projects Framework it should be completed before going through Gateway 4. Your answer to questions 1.4 in the improvements section must be reported in any papers going to the Executive and the full 'Better Decision Making' tool should be attached as an annex.

Please complete all fields (and expand if necessary).

Introduction

Service submitting the proposal:	Adult Social Care
Name of person completing the assessment:	Adam Gray
Job title:	Commissioning Manager
Directorate:	Health, Housing and Adult Social Care
Date Completed:	31/07/2017
Date Approved: form to be checked by service manager	

Part 1

Section 1: What is the proposal?

1.1	<table border="1"> <tr> <td colspan="2" style="text-align: center;">Name of the service, project, programme, policy or strategy being assessed?</td> </tr> <tr> <td style="width: 10%;"></td> <td>Carers Support Services</td> </tr> </table>	Name of the service, project, programme, policy or strategy being assessed?			Carers Support Services
Name of the service, project, programme, policy or strategy being assessed?					
	Carers Support Services				
1.2	<table border="1"> <tr> <td colspan="2" style="text-align: center;">What are the main aims of the proposal?</td> </tr> <tr> <td style="width: 10%;"></td> <td>To deliver a sustainable, integrated support model for carers, delivered by a competent and professional external provider who fully understands the needs of carers of all ages and from all backgrounds.</td> </tr> </table>	What are the main aims of the proposal?			To deliver a sustainable, integrated support model for carers, delivered by a competent and professional external provider who fully understands the needs of carers of all ages and from all backgrounds.
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1.3	<table border="1"> <tr> <td colspan="2" style="text-align: center;">What are the key outcomes?</td> </tr> <tr> <td style="width: 10%;"></td> <td>To significantly reduce the call on long term care, welfare and other benefits and physical and mental health services through extension / enhancement of the successful Carers Hub initiative.</td> </tr> </table>	What are the key outcomes?			To significantly reduce the call on long term care, welfare and other benefits and physical and mental health services through extension / enhancement of the successful Carers Hub initiative.
What are the key outcomes?					
	To significantly reduce the call on long term care, welfare and other benefits and physical and mental health services through extension / enhancement of the successful Carers Hub initiative.				

Section 2: Evidence

What data / evidence is available to understand the likely impacts of the proposal?
(e.g. hate crime figures, obesity levels, recycling statistics)

National Context: Statistics compiled by Carers UK indicate the following;

- There are around seven million carers in the UK.
- Three in five people will be carers at some point in their lives in the UK.
- Out of the UK's carers, 42% of carers are men and 58% are women.
- The economic value of the contribution made by carers in the UK is £132bn a year.
- By 2030 the number of carers will increase by 3.4 million (around 60%).
- Informal carers are increasingly doing more hours of care per week and are, on average, getting older.
- 19% of carers known to local authorities are not in paid work due to their caring responsibilities.
- Caring has affected the health of 86% of carers.
- 20% of emergency hospital admissions for carers/cared-for are for existing conditions which could be managed effectively by primary, community or social care and could be avoided.
- An estimated 35% of working age in-household carers may be entitled to, but not receiving, Carer's Allowance.
- Research suggests that funding carer support services is a cost effective preventative investment – that for every £1.00 invested in carers, there is a potential equivalent reduction in local authority cost of £5.90, and with significantly greater 'social return' benefits.

2.1

Local Context: Figures obtained from the 2011 Census, York Carers Centre and the Joint Strategic Needs Assessment for York indicate that;

- There are 18,224 carers recorded in the 2011 census in York, comprising 9.2% of the population.
- The number of registrations with York Carers Centre is increasing at a rate of over 10% per annum.
- Figures from the 2011 census show that there has been a 25% increase in the number of young adult carers, aged 16-25. Most of these carers remain hidden.
- City of York Council and its partners are aware of nearly 3,000 carers (or 16% of the total number of carers registered through the census).
- 19% of these carers provide 50+ hours of care per week.
- In the next 15 years the number of York residents aged over 65 will increase from 36,000 to 46,000 and those aged over 75 will increase from 17,000 to over 26,000.
- As York's population increases so does the prevalence of dementia and other long term health conditions. As a result it is envisaged that the demand for spouses and adult children to provide unpaid care will more than double over the next 30 years.

	What public / stakeholder consultation has been used to support this proposal?
2.2	<p>Consultation and customer feedback has been sought on a continual basis by York Carers Centre as part of their contract monitoring arrangements and annual review process, through focus groups, surveys and interviews with carers of all ages from a wide variety of backgrounds.</p> <p>Consultation feedback has been consistent - customers see significant value in the alignment of carers support services through existing Carers Hub model and are strongly in favour of its continuation. Customers also see particular value in this model being delivered by the voluntary sector, who are often closer to the service user than statutory providers and better able to understand their support requirements.</p> <p>Case notes from the York Carers Centre AQ-OL system and from Carers Assessments also point to customer satisfaction with existing support arrangements - particularly the co-ordination of all services through a single point of contact. The emphasis on early intervention and prevention through community outreach provision has been particularly valued. The ability to access Carers Assessments simply and easily within a community setting has also been widely appreciated.</p> <p>The result of the 2017 National Carers Survey have not yet been published. However raw data from York respondees is available and again indicates customer satisfaction with the existing arrangements.</p>

	Are there any other initiatives that may produce a combined impact with this proposal? (e.g. will the same individuals / communities of identity also be impacted by a
2.3	<p>The proposal is in line with emerging initiatives within Adult Social Care (driven by the Care Act 2014) to create a culture of personal commissioning - placing emphasis on prevention, early intervention and the maximisation of self care. The Carers Hub will deliver strongly against the strategic priorities set out in the New Operating Model for Adult Social Care, particularly the principle of 'preventing, reducing and delaying the need for ongoing care and support'.</p>

Part 1

Section 3: Impact on One Planet principles

Please summarise any potential positive and negative impacts that may arise from your proposal on staff or residents.

For 'Impact', please select from the options in the drop-down menu.
If you wish to enter multiple paragraphs in any of the boxes, hold down 'Alt' before hitting 'Enter'.

Equity and Local Economy

Does your proposal?	Impact	What are the impacts and how do you
3.1 Impact positively on the business community in York?	Positive	The project will actively engage and support employers and promote awareness of carers and their needs across the business community of York. Carers in Employment is likely to be included as a specific themes within the tender documentation. The number of employers actively supported / advised by the re-tendered service in respect of their duties and obligations to carers will be rigorously monitored.
3.2 Provide additional employment or training opportunities in the city?	Positive	Carers will be supported to enter, and maintain, employment, training and education. The project will work in partnership with a variety of education and training providers.
3.3 Help individuals from disadvantaged backgrounds or underrepresented groups to improve their skills?	Positive	Carers (many of whom are from significantly disadvantaged backgrounds) will be supported to enter and maintain employment, training and education, thereby significantly improving their skill levels.

Health & Happiness			
Does your proposal?		Impact	What are the impacts and how do you
3.4	Improve the physical health or emotional wellbeing of staff or residents?	Positive	The project will significantly improve the physical and mental health of carers of all ages and from all backgrounds by supporting them in a variety of ways. For example carers will have access to activities that may provide a break from caring and enhance the health and wellbeing of the carer. Carers will have access to a wide range of other support services that will help to maintain their wellbeing e.g. counselling, 1:1 case work, financial advice, outreach support in local neighbourhoods, carers grants etc.
3.5	Help reduce health inequalities?	Positive	Carers in York report poorer levels of physical and mental health than the wider population. The project aims to support carers, improve their health and therefore reduce the health inequalities that exist between carers and the wider population.
3.6	Encourage residents to be more responsible for their own health?	Positive	Carers will be equipped with various techniques to enable them to adequately look after their own health and to stay mentally and physically well. This will sustain carers in their care giving role, which will in turn positively impact on the health and wellbeing of the person they care for.
3.7	Reduce crime or fear of crime?	Neutral	The project will not impact positively or negatively on crime or the fear of crime.

3.8	Help to give children and young people a good start in life?	Positive	The project will support both child and young adult carers. The personal aspirations and ambitions of child and young adult carers will be recognised and encouraged so that these carers are supported towards realising their individual potential.
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Culture & Community

Does your proposal?		Impact	What are the impacts and how do you
3.9	Help improve community cohesion?	Positive	The project will promote stronger, cohesive communities where carers are valued, recognised and supported.
3.10	Improve access to services for residents, especially those most in need?	Positive	One of the primary purposes of the project is to give carers a voice and enable them to shape and influence the services of statutory organisations in the city, particularly those services which impact significantly upon carers lives.
3.11	Improve the cultural offerings of York?	Positive	The Carers Hub will organise a range of social, cultural and leisure activities in order to enhance the emotional health and wellbeing of carers.
3.12	Encourage residents to be more socially responsible?	Positive	The project will recruit volunteers to actively support carers in a variety of settings.

Zero Carbon and Sustainable Water

	Does your proposal?	Impact	What are the impacts and how do you
3.13	Minimise the amount of energy we use, or reduce the amount of energy we will use/pay for in the future?	Neutral	The project will not impact positively or negatively on energy usage.
3.14	Minimise the amount of water we use or reduce the amount of water we will use/pay for in the future?	Neutral	The project will not impact positively or negatively on water usage.
3.15	Provide opportunities to generate energy from renewable/low carbon technologies?	Neutral	The project will not impact positively or negatively on energy generation from renewable / low carbon technologies.

Zero Waste

	Does your proposal?	Impact	What are the impacts and how do you
3.16	Reduce waste and the amount of money we pay to dispose of waste by maximising reuse and/or recycling of materials?	Neutral	The project will not impact positively or negatively on waste reduction.

Sustainable Transport

	Does your proposal?	Impact	What are the impacts and how do you
3.17	Encourage the use of sustainable transport, such as walking, cycling, ultra low emission vehicles and public transport?	Neutral	The project will not impact positively or negatively on sustainable transport.
3.18	Help improve the quality of the air we breathe?	Neutral	The project will not impact positively or negatively on air quality.

Sustainable Materials

	Does your proposal?	Impact	What are the impacts and how do you
3.19	Minimise the environmental impact of the goods and services used?	Neutral	The project will not impact positively or negatively on the environmental impact of goods and services used.

Local and Sustainable Food

	Does your proposal?	Impact	What are the impacts and how do you
3.20	Maximise opportunities to support local and sustainable food initiatives?	Neutral	The project will not impact positively or negatively on local sustainable food initiatives.

Land Use and Wildlife

	Does your proposal?	Impact	What are the impacts and how do you
3.21	Maximise opportunities to conserve or enhance the natural environment?	Neutral	The project will not impact positively or negatively on conservation or the natural environment.
3.22	Improve the quality of the built environment?	Neutral	The project will not impact positively or negatively on the quality of the built environment.
3.23	Preserve the character and setting of the historic city of York?	Neutral	The project will not impact positively or negatively on the character and setting of the city.
3.24	Enable residents to enjoy public spaces?	Neutral	The project will not impact positively or negatively on public spaces.

3.25	Additional space to comment on the impacts

Part 1

Section 4: Impact on Equalities and Human Rights

Please summarise any potential positive and negative impacts that may arise from your proposal on staff or residents.
 This section relates to the impact of your proposal on **advancing equalities and human rights** and should build on the impacts you identified in the previous section.

For 'Impact', please select from the options in the drop-down menu.
 If you wish to enter multiple paragraphs in any of the boxes, hold down 'Alt' before hitting 'Enter'

Equalities

Will the proposal **adversely impact** upon 'communities of identity'?
 Will it **help advance equality** or **foster good relations** between people in 'communities of identity'?

		Impact	What are the impacts and how do you know?	Quality of life indicators
4.1	Age	Positive	Caring responsibilities can affect people of all ages but children and young adults are particularly affected and their life chances disadvantaged as a result of their caring duties. Though various dedicated support mechanisms the project will impact positively on this age group. Older people are another age group that the project will benefit from tailored support packages - many older people face disproportionate caring responsibilities at a time when their own health may be deteriorating.	N/A

4.2	Disability	Positive	<p>Many of the adults in need who people care for will possess some form of physical or mental disability. By supporting and sustaining their carers the project will impact positively on this client group - ensuring that their existing care arrangements are maintained and enhanced, thereby preventing their conditions from deteriorating or worsening.</p>	N/A
4.3	Gender	Positive	<p>In total more women are carers than men in York, as indeed elsewhere. The re-tendered service will continue reaching out to female carers through a variety of channels that have already proved effective e.g. outreach / pop-up hubs at community events, social clubs and support groups with a high female attendance, through family support networks and by having a presence in GP surgeries etc.</p> <p>However, it should be noted that while more women than men under 65 are carers, men aged in the 50-64 age group provide a higher percentage of unpaid care than women aged 25-49. Among the over 65s, more men provide care (15%) than women (13%). Many older men who care for spouses, partners or family can become isolated and unwilling to ask for help, or even ignored by GPs who focus on the person needing care. From the general to the very individual, older male carers experience loss in many areas of their lives and experiences. Similar</p>	N/A

	Gender	Positive	<p>challenges are faced by female carers – but a significant problem for men is the lack of support networks, and a reluctance to discuss these problems.</p> <p>Overall, older men are less likely and less forthcoming generally in asking for help and support than older female carers; they tend to reach crisis point before asking for support from care services. Family support, for example, isn't necessarily something that older male carers feel they can rely on. This suggests that male carers – older and perhaps younger – can have a different kind of experience and need different kinds of support than older women carers.</p> <p>The re-tendered service provision will therefore give careful consideration as to the issues affecting carer as a result of gender (and in some cases a combination of age and gender).</p>	N/A
4.4	Gender Reassignment	Neutral	The project will not impact positively or negatively on gender reassignment.	N/A
4.5	Marriage and civil partnership	Neutral	The project will not impact positively or negatively on marriage and civil partnership	N/A
4.6	Pregnancy and maternity	Neutral	The project will not impact positively or negatively on pregnancy and maternity.	N/A

4.7	Race	Positive	<p>The re-tendered service will demonstrate that all communities of identity use / feel welcome to use the service. The service will engage meaningfully over the longer term with carers from all communities of identity in York. Raising awareness of services and support within these communities is a key element to improving levels of take-up. Making specific, tailored support packages available to different communities of interest is also critical. (Levels of take-up will be carefully tracked as part of the monitoring arrangements for the new service).</p>	N/A
4.8	Religion or belief	Positive	<p>The re-tendered service will demonstrate that carers of all religions and beliefs will use / feel welcome to use the service. The service will engage meaningfully over the longer term with carers from all religions and beliefs. Raising awareness of services and support within these communities is a key element to improving levels of take-up. Making specific, tailored support packages available to carers if all religions and beliefs is also critical. (Levels of take-up will be carefully tracked as part of the monitoring arrangements for the new service).</p>	N/A

4.9	Sexual orientation	Positive	The re-tendered service will demonstrate that carers of all sexual orientations will use / feel welcome to use the service. The service will engage meaningfully over the longer term with carers of every sexual orientation. Raising awareness of services and support within these communities is a key element to improving levels of take-up. Making specific, tailored support packages available to different is also critical. (Levels of take-up will be carefully tracked as part of the monitoring arrangements for the new service).	N/A
4.10	Carer	Positive	The primary intention of the project is to support carers of all ages and from all backgrounds.	N/A
4.11	Lowest income groups	Positive	Carers are amongst some of the lowest income groups in the city. Support with income maximisation will be one of the specific strands of the project.	N/A
4.12	Veterans, Armed forces community	Positive	The project aims to work closely with the veterans and armed forces community in York - many families from armed forces backgrounds have substantial caring responsibilities.	N/A

Human Rights

Consider how a human rights approach is evident in the proposal

		Impact	What are the impacts and how do you know?
4.13	Right to education	Positive	<p>The project will impact positively on the right to education. The existing Carers Hub support service is working very closely with schools in York to identify young carers that may be invisible to them, and school liaison will form a crucial part of the re-tendered service specification / contract monitoring.</p> <p>As with existing provision the new service will provide drop ins / talks in local schools to raise awareness of the challenges faced by young carers and to support young carers attending these schools. The service will also support schools to work towards the Carers Trust Bronze, Silver and Gold Awards, which equip schools with a range of techniques to identify young carers and ensure that they receive the same access to education as other children.</p> <p>Furthermore the re-procured service will ensure that young carers have a voice that influences and informs the planning and deliver of education services by ensuring young carer representation on appropriate education partnership forums / boards.</p>
4.14	Right not to be subjected to torture, degrading treatment or punishment	Positive	<p>The project will have a positive impact in this area. Staff and partners involved in the initiative will be trained to recognise degrading treatment and protect people from it. Staff involved in the project will have a very clear understanding on when and how to report/escalate issues if they suspect people are not being treated with respect, or being treated in a humiliating and degrading way.</p>
4.15	Right to a fair and public hearing	Neutral	<p>The project will not impact positively or negatively on the right to a fair and public hearing.</p>

4.16	Right to respect for private and family life, home and correspondence	Positive	The project will have a positive impact in this area. The service provider will ensure that carers' human rights are upheld - respecting carers rights to make choices about things that affect them is likely to be a recurrent theme throughout the tender documentation. The service will be expected to demonstrate that carers are confident and empowered to engage in consultation and decision making processes.
4.17	Freedom of expression	Positive	The project will have a positive impact in this area. Freedom of expression gives children the right to learn and get information on what they want, which means that young carers have the right to be told about the support and benefits that are available to them. The re-tendered service will be monitored to ensure that outcomes for young carers are being achieved in this respect.
4.18	Right not to be subject to discrimination	Positive	The project will support carers and ensure that they are not discriminated against or treated in a manner which makes it difficult for them to fulfil their caring responsibilities, particularly carers in the workplace.
4.19	Other Rights	Positive	Young carers could be unintentionally or intentionally exploited into caring responsibilities that are unreasonable. It is important that the re-tendered service tracks and monitor instances where this type of situation occurs and takes action to prevent it.

4.20

Additional space to comment on the impacts



Part 1

Section 5: Developing Understanding

Based on the information you have just identified, please consider how the impacts of your proposal could be improved upon, in order to balance social, environmental, economic, and equalities concerns, and minimise any negative implications.

It is not expected that you will have all of the answers at this point, but the responses you give here should form the basis of further investigation and encourage you to make changes to your proposal. Such changes are to be reported in the final section.

5.1	<p>Taking into consideration your responses about <u>all of the impacts</u> of the project in its <u>current form</u>, what would you consider the overall impact to be on creating a fair, healthy, sustainable and resilient city?</p> <p>The overall impact on the creation of a fair, healthy, sustainable and resilient city is overwhelmingly positive. Through a combination of early intervention, proportionate assessment and triage for more complex cases of need the Carers Hub initiative will provide a highly responsive, integrated and flexible carers support model - one which will prove effective in sustaining carers in their care giving role thereby reducing the demand for permanent, long-term care. This in turn will lead to measurable cost savings across the health and social care system.</p>
5.2	<p>What could be changed to improve the impact of the proposal on the <u>One Planet principles</u>? (please consider the questions you marked either mixed or negative, as well as any additional positive impacts that may be achievable)</p> <p>The project impacts positively on the Health & Happiness, Culture & Community and Equity & Local Economy principles. The intention is to maximise the impact of the existing positive impacts by extending the project's reach and influence and impact within these specific themes. This is not a new project, rather than the re-commissioning of an existing successful scheme. If there is one area that could potentially be improved through the re-commissioning process it is around the setting of clear, measurable outputs and outcomes that support the One Planet Principles - ensuring that there are robust monitoring procedures in place to ensure that the outcomes are being delivered.</p>

	<p>What could be changed to improve the impact of the proposal on <u>equalities and human rights</u>? (please consider the questions you marked either mixed or negative, as well as any additional positive impacts that may be achievable)</p>
5.3	<p>The project's existing impacts on equalities and human rights have been highly positive, particularly in the areas of age, disability, supporting the lowest income groups and carers (the primary beneficiaries of this project). As with the One Planet Principles If there is one area that could potentially be improved through the re-commissioning process it is around the setting of clear, measurable outputs and outcomes that support the Equalities and Human Rights Agenda - ensuring that there are robust monitoring procedures in place to ensure that the outcomes are being delivered.</p>

Section 6: Planning for Improvement

	<p>What further evidence or consultation is needed to fully understand its impact? (e.g. consultation with specific communities of identity, additional data)</p>
6.1	<p>There has been ongoing, significant consultation with service users and other stakeholders which has been undertaken through regular project monitoring (quarterly review meetings and an intensive Annual Project Review). This process of stakeholder and service user engagement combined with regular monitoring of project outputs and outcomes will be sustained and enhanced through the re-commissioning procedures.</p>

6.2	<p>What are the outstanding actions needed to maximise benefits or minimise negative impacts in relation to this proposal? Please include the action, the person(s) responsible and the date it will be completed (expand / insert more rows if needed)</p>
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Action	Person(s)	Due date
<p>Ensure the Carers Hub tender contains clear, measurable outputs and outcomes that support the One Planet Principles</p>	Adam Gray	25/09/2017
<p>Ensure the Carers Hub tender contains clear, measurable outputs and outcomes that support the Equalities and Human Rights Principles</p>	Adam Gray	25/09/2017

6.3	<p>Additional space to comment on the impacts</p>
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Part 2

Section 1: Improvements

Part 2 builds on the impacts you identified in Part 1. Please detail how you have used this information to make improvements to your final proposal.

Please note that your response to question 1.4 in this section must be reported in the One Planet Council implications section of reports going to the Executive.

1.1

For the areas in the 'One Planet' and 'Equalities' sections, where you were unsure of the potential impact, what have you done to clarify your understanding?

The project's impact on these sections will either be neutral or positive.

1.2

What changes have you made to your proposal to increase positive impacts?

As part of the retendering arrangements expectations around innovation, added value and impact upon the One Planet and Equalities & Human Rights Principles will be built into the service specification and carefully measured through contract monitoring arrangements. Whilst the existing provider has delivered a highly valued service the service specification will be reviewed and outcomes clearly defined for an enhanced service approach through the re-tendering process.

1.3

What changes have you made to your proposal to reduce negative impacts?

There are no negative impacts of this project. Future emphasis will be placed on further enhancing, extending and evidencing the positive impact of this initiative.

1.4	<p>Taking into consideration everything you know about the proposal <u>in its revised form</u>, what would you consider the overall impact to be on creating a fair, healthy, sustainable and resilient city?</p> <p>Your response to this question must be input under the One Planet Council implications section of the Executive report. Please feel free to supplement this with any additional information gathered in the tool.</p>
	<p>With the implementation of the actions identified in Section 7 it is anticipated that the project will impact even more positively on the creation of a fair, healthy, sustainable and resilient city than was originally envisaged. The actions identified through the Integrated Impact Assessment are critical to enhancing the quality of the project and mitigating risk - and will be delivered thoroughly and diligently over forthcoming months.</p>

1.5	<p>Any further comments?</p> <p>n/a</p>
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Executive

31 August 2017

Report of the Corporate Director of Economy & Place
Portfolio of the Executive Member for Transport & Planning

Transport for the North – Incorporation as a Sub-National Transport Body**Summary**

1. The purpose of this report is for Members to consent to the making of Regulations by the Secretary of State to establish Transport for the North as a Sub –National Transport Body under section 102E of the Local Transport Act 2008. The consent of each Constituent Authority is required to the making of Regulations by the Secretary of State.
2. Members are also asked to approve in principle the transfer of Rail North Limited to TfN following its inauguration and the signing of a new Rail Franchise Management Agreement with TfN replicating as far as possible the arrangements entered into in respect of Rail North Limited.

Recommendations

1. The Executive is asked to:

Formally consent to:

- a) the making by the Secretary of State of Regulations under section 102E of the Local Transport Act 2008 to establish Transport for the North as a Sub-National Transport Body.
- b) The transfer of Rail North Limited to TfN so that it can be subsumed within TfN
- c) The signing of a new Rail Franchise Management Agreement with TfN replicating as far as possible the current Rail North Limited Members Agreement
- d) Continuation of the payment of the current funding for Rail North Limited to TfN after its inauguration.

Reason: To ensure that the City Council is fully engaged in the governance of the proposed Sub-National Transport body. As the City of York Council is a proposed Constituent Authority consent is required to the making of Regulations by the Secretary of State.

2. Background

- 2.1 Getting transport right is central to achieving the Northern Powerhouse ambition which is itself central to a successful UK industrial strategy. A world class transport system linking towns and cities across the North will create a unified economic area, attracting new business, improving productivity in the North and thereby rebalancing the UK economy.
- 2.2 There has been long term underperformance of the Northern economy when compared with other parts of the UK. There is a significant economic performance gap between the North and the rest of the UK economy – a difference in income of £4,800 per person in 2014, compared with the national average, and £22,500 compared with London. Having been on a downward trend since the early 2000s, the gap has widened since the 2008/09 recession.
- 2.3 Productivity accounts for the largest proportion of the ‘performance gap’, driven by an underdeveloped skills base, under-investment by the private sector and low enterprise rates. This has worsened since the recession, in part due to out-migration of skilled workers to the southern regions where employment prospects are better.
- 2.4 Poor connectivity is central to understanding the economic challenges of the North. There is disproportionately low investment in the North compared with London and other city regions across Europe. A series of studies have shown how investing in transport infrastructure can unlock the economic potential of the North.
- 2.5 The Independent Economic Review of the Northern Powerhouse shows the scale of the benefits to the UK of closing the productivity gap. Advances in productivity, driven by key sectors of digital technologies, health innovation energy and advanced manufacturing have the potential to transform the North of England’s economy adding £97 billion and 850,000 jobs by 2050.
- 2.6 The North has had no way of agreeing strategic priorities, with the responsibility for transport divided over many organisations at different

geographical levels. This has made it hard to properly consider and prioritise the right strategic transport interventions to transform economic growth at the regional scale. As a result, the North has been unable to speak with one clearly evidenced voice to Government on its transport priorities in Spending Rounds or rail and road investment plans.

- 2.7 To address these concerns in 2014 Local Transport Authorities and Local Enterprise Partnerships across the North of England came together in partnership with the Department for Transport and the National Transport Agencies to form Transport for the North (TfN). Together they have developed an ambitious pan-northern transport strategy to drive economic growth in the North. The purpose of TfN is to transform the transport system of the North of England and the aim of TfN is to plan and deliver the improvements needed to truly connect the region with fast, frequent and reliable transport links, driving economic growth and creating a Northern Powerhouse.
- 2.8 The ambition of TfN over time is to achieve significant devolution of transport responsibilities for the North of England and specifically to:
- Develop and deliver a multi-modal, integrated strategic transport plan that drives transformational economic growth in the North;
 - Set the strategic outcomes, outputs and priorities for the North of England's rail infrastructure and strategic road network; and
 - Determine specifications and contracts for future rail service franchises in the North of England.
- 2.9 As part of this programme of improvements and devolution of transport strategy to a more local level the Local Transport Authorities came together to form Rail North Limited a company whose objects include the management of the TransPennine Express and Northern Rail Franchises on behalf of the Secretary of State for Transport.
- 2.10 On 25 August 2016 the Executive agreed to the submission to Government of the draft proposal for TfN to become a Sub-National Transport Body. The Executive raised a number of key areas of concern which needed further clarification prior to consenting to the making of the regulations. These queries are detailed in the following paragraphs with a summary of the response from TfN added. It is considered that TfN have provided the necessary clarification to the areas of concern raised by the Executive.

- i. Full and final agreement of the voting arrangements for Members of TfN including the mechanisms and terms of reference for the suggested 'super majority'

Summary of TfN response - Voting will be on the basis of votes weighted according to the population of each Constituent Authority (1 vote per 200,000 population or part thereof) with York therefore having two votes. A decision to approve the Budget, to approve the Constitution or to adopt the Transport Strategy will require an increased majority of 75% of the weighted votes and a simple majority of the Members of TfN.

- ii. Full and final agreement of the mechanism and quantum of the proposal for raising statutory contributions from constituent authorities of TfN.

Summary of TfN Response - Any such contributions would need to be unanimously agreed by the TfN members appointed by the Constituent Authorities. Were this to occur, the quantum of the resultant contributions from each Constituent Authority would be calculated on the weighted voting basis.

- iii. Further clarification of the financial and other liabilities on both TfN and its individual constituent authorities of the proposed powers that TfN propose to take on.

Summary of TfN Response - Section 102E of the Local Transport Act 2008 makes it clear that an STB will be established as a body corporate. It follows that TfN will itself be responsible for any financial or other liabilities it incurs.

2.11 In October 2016 with the agreement of all the Constituent Authorities TfN submitted a proposal to the Secretary of State for Transport that TfN should be established as the first Sub-national Transport Body (STB) under the provisions of section 102E of the Local Transport Act 2008 as amended by the Cities and Local Government Devolution Act 2016.

2.12 The 19 Constituent Authorities of TfN are:

Greater Manchester Combined Authority
Liverpool City Region Combined Authority
North East Combined Authority
Sheffield City Region Combined Authority
Tees Valley Combined Authority

West Yorkshire Combined Authority
Cumbria County Council
Lancashire County Council
North Yorkshire County Council
Blackburn with Darwen Unitary Authority
Blackpool Unitary Authority
Cheshire East Unitary Authority
Cheshire West and Chester Unitary Authority
Warrington Unitary Authority
City of York Unitary Authority
East Riding of Yorkshire Unitary Authority
Hull Unitary Authority
North Lincolnshire Unitary Authority
North East Lincolnshire Unitary Authority

3. Draft Constitution

3.1 The Secretary of State has now formally responded to the Proposal and has indicated that he is minded to make Regulations creating TfN as the first Sub-national Transport Body with the following functions:

- a) The preparation of a Northern Transport Strategy;
- b) The provision of advice on the North's priorities, as a Statutory Partner in the Department's investment processes;
- c) The coordination of regional transport activities, (such as smart ticketing), and the co-management of the TransPennine Express and Northern rail franchises through the acquisition of Rail North Ltd.

3.2 A Draft Constitution and draft Regulations have been drawn up which include provisions which reflect and implement the Submission Proposal. The draft Constitution contains the following Provisions:

3.3 **Articles**

3.3.1 The Articles sets out the statutory basis for TfN and its membership. TfN is made up of representatives from the 19 Constituent Authorities who are the Transport Authorities for the North of England. TfN will operate through a delegation to its Chief Officers of all its functions other than decisions in relation to the Constitution, the Budget and the statutory Transport Strategy and any other matters which are specifically reserved to TfN by statute.

3.3.2 The Articles contains an overview of the functions of TfN and the major partnerships through which it will exercise these functions, in particular its role as Statutory Partner in determining priorities for road (Highways North Board) and rail investment and its role in managing the TransPennine Express and Northern Rail Franchises.

3.3.3 TfN will establish a Partnership Board with representatives of all the Constituent Authorities, representatives of the other Authorities who were members of Rail North Limited, representatives of the 11 LEPs and representatives of the Department for Transport and of other Government Agencies. This Board will be responsible for setting the strategic agenda for transport in the North of England.

3.3.4 TfN will also engage with its partners in the Rail North Partnership Board setting the strategic priorities for rail investment and in the Highways North Board setting the strategic priorities for road investment.

3.3.5 TfN will co-manage the TransPennine Express and Northern Rail Franchises through a Committee which will include representatives of all the other Authorities who were members of Rail North Limited.

3.4 **Voting**

3.4.1 The Articles provide for weighted voting in accordance with a matrix which gives the representative of each Constituent Authority a vote which is weighted to reflect the population of the area of the Constituent Authority.



Schedule A

Transport for the North – Voting Metrics

TfN Constituent Authorities	Population	% of TfN area Population	200,000 Or part	RN Votes
Greater Manchester CA	2,756,162	18.14	14	223
West Yorkshire CA	2,281,718	15.02	12	209
North East CA	1,957,152	12.89	10	65
Liverpool CR CA	1,524,558	10.04	8	59
Sheffield CR CA	1,374,655	9.05	7	78
Lancashire CC	1,191,691	7.84	6	55
Tees Valley CA	667,469	4.39	4	33
North Yorkshire CC	602,277	3.97	4	32
Cumbria CC	497,996	3.28	3	40
Cheshire East	375,392	2.47	2	21
East Riding of Yorkshire	336,685	2.22	2	9
Cheshire W. and Chester	333,917	2.20	2	11
Hull City	258,995	1.71	2	13
Warrington	207,695	1.37	2	12
City of York	206,856	1.36	2	54
North Lincolnshire	169,820	1.12	1	4
NE Lincolnshire	159,570	1.05	1	6
Blackburn with Darwen	146,846	0.97	1	6
Blackpool	139,578	0.92	1	15
Non-Constituent Authorities				
Staffordshire	(862,562)			1
Nottinghamshire	(805,848)			3
Derbyshire	(782,365)			14
Lincolnshire	(736,665)			7
Nottingham	(318,901)			15
Stoke-on-Trent	(251,648)			8

Notes

(1) Column 1 authorities are CAs / LTAs on their existing boundaries

(2) Column 2 population figures are ONS 2015 mid-year estimates based on current CA / LTA boundaries

(3) Column 3 is the population of the CA / LTA as a percentage of the aggregate TfN area population (15,189,032)

(4) The proposed option in column 4 awards one vote to each CA/LTA for each 200,000 or part thereof of resident population.

(5) Column 5 shows the number of votes each CA/LTA has as a member of RNL, based on one vote for each 0.1% of passenger miles on the Northern / TPE franchises relating to their area (Tees Valley CA being a combined vote of their constituent councils)

(6) On the publication of the annual ONS mid-year estimates, the voting band of each authority would be reviewed and adjusted, if necessary.

- 3.4.2 A decision to approve the Budget, to approve the Constitution or to adopt the Transport Strategy will require an increased majority of 75% of the weighted votes and a simple majority of the Members of TfN.
- 3.4.3 It is proposed that TfN should be entitled to co-opt Members and that such co-opted Members should have voting rights. It is further proposed that those Authorities which are members of Rail North Limited but which will not be a Constituent Authority of TfN (the Rail North Authorities) should each be entitled to appoint a representative to be a co-opted Member of TfN with a right to speak and vote on rail franchise matters. The voting in relation to rail franchise matters shall be weighted in accordance with a voting matrix which reflects the voting arrangements for Rail North Limited.

3.5 Financial Contributions

- 3.5.1 TfN is funded through government grant and although future funding decisions will remain the responsibility of the government at the time, establishing TfN in statute ensures it has the stability and permanence to be confident of long term central Government support.
- 3.5.2 At present the Constituent Authorities and the Rail North Authorities make the Rail North Support Payment and the Authorities in receipt of rail administrative grant make the Rail North Supplemental Payment to support Rail North Limited. Upon TfN assuming the responsibilities and functions of Rail North Limited these payments will continue to be made to TfN to enable it to continue to support rail franchise management.
- 3.5.3 The Submission Proposal provides that the Constituent Authorities may all agree to contribute to the costs of TfN in the future. However a decision to raise such contributions and the amount would require a unanimous decision of the Constituent Authorities and could only be taken after written consent to the proposal has been received from each of the Constituent Authorities.
- 3.5.4 Unless unanimously agreed otherwise, the apportionment of any financial contributions would be determined on the basis of the Resident Populations of each of the Constituent Authorities.
- 3.5.5 TfN would be entitled to accept voluntary contributions towards its costs from any of the Constituent Authorities.

3.6 Powers and Functions

3.6.1 This section sets out the powers and functions which will be given to TfN.

3.6.2 These are as follows:

- a) To prepare a Transport Strategy for the Combined Area in accordance with section 102I of the Local Transport Act 2008;
- b) To provide advice to the Secretary of State about the exercise of the transport functions in the Combined Area;
- c) To be a Statutory Partner with the Secretary of State in both road and rail investment processes and to be responsible for setting the objectives and priorities for strategic road and rail investments in the Combined Area;
- d) To be consulted in relation to rail franchise agreements for services to and from or within its area;
- e) To co-manage with the Secretary of State the TransPennine Express and Northern Rail Franchises;
- f) To co-ordinate the carrying out of specified transport functions that are exercisable by its different Constituent Authorities with a view to improving the effectiveness and efficiency of the carrying out of those functions;
- g) To promote and co-ordinate road transport schemes;
- h) To make proposals to the Secretary of State for the transfer of transport functions to TfN;
- i) To make other proposals to the Secretary of State about the role and functions of TfN;
- j) To undertake Smart Ticketing within the Combined Area;
- k) To promote and oppose local or personal bills in Parliament;
- l) To pay Capital Grants to support the funding and delivery of joint projects;
- m) To exercise powers to acquire land and to construct highways under sections Section 24.

3.6.3 In carrying out these functions, TfN will be a statutory partner of the Department for Transport, devolving responsibilities from the Secretary of State and speaking to the Department with a strong, single voice for the North. It is not intended that TfN should take responsibilities away from the Constituent Authorities, instead exercising a coordinating role in relation to specified transport functions and continuing to work in partnership with members. It is not the intention that TfN becomes a Highway Authority.

3.7 Concurrent Functions

3.7.1 Before exercising any transport powers or functions it holds concurrently with any of the Constituent Authorities or Highways Authorities within the TfN area, TfN will consult those Authorities and enter into a Protocol covering the way in which those functions will be exercised.

3.8 Responsibility for Functions

3.8.1 The Membership of TfN will together be responsible for approving the Budget, the Constitution and the Transport Strategy.

3.8.2 Officers of TfN will have delegated responsibility to carry out all of TfN's day to day functions and to implement the strategic decisions made by TfN.

3.8.3 In carrying out these functions TfN and its officers will have due regard to the views and advice of the Partnership Board, DfT and other Statutory Agencies.

3.9 Audit and Governance Committee

3.9.1 TfN will appoint an Audit and Governance Committee to provide independent review and assurance to Members on governance, risk management and control frameworks. It oversees financial reporting, the Annual Governance Statement process and internal and external audit, to ensure efficient and effective assurance arrangements are in place.

3.10 Scrutiny Committee

3.10.1 Each of the Constituent Authorities will be entitled to appoint a representative (and a substitute) to the Scrutiny Committee.

3.10.2 The role of the Scrutiny Committee will include:-

- a) reviewing the decisions of TfN and of officers of TfN under the scheme of delegations;
- b) making reports or recommendations to TfN with respect to the discharge of the functions of TfN and on transport matters that affect the TfN area.

3.11 The Rail North Committee

- 3.11.1 TfN will establish a Rail North Committee which will advise on TfN's Statutory Partner role in relation to rail investment and will have oversight of the management of the TransPennine Express and Northern Rail Franchises. This will replace the Association of Rail North Authorities and will include representatives of the six non-TfN Rail North Authorities as co-opted Members. Voting in the Rail North Committee will be on the basis of weighted votes which replicate the voting provisions of Rail North Limited.

3.12 The Rail North Sub-Committee

- 3.11.1 TfN will also establish a Rail North Sub-Committee that will be appointed according to provisions which replicate the provisions for appointing the Rail North Limited Board.
- 3.11.2 Rail North Area Sub-Committees - Where requested TfN will also establish Rail North Area Sub-Committees to take the place of the Regional Business Units permitted under the provisions of the Rail North Members Agreement.

3.12 Officers

- 3.12.2 TfN will appoint its 3 Statutory Officers, the Chief Executive as the Head of Paid Service, the Monitoring Officer and the Finance Director as its Chief Officers to whom it will delegate day to day operations of TfN.
- 3.12.3 Chief Officers will have due regard to the recommendations of the Partnership Board, the Rail Partnership Board and Highways North Board in carrying out their functions.

3.13 Procedure Rules

- 3.13.1 This section sets out the procedures which shall apply to meetings of TfN. The Rules of Debate reflect the nature of the business of TfN and that most decisions are expected to be consensual without the need for formal debating procedures.

3.14 Scrutiny Procedure Rules

3.14.1 These set out the role of Scrutiny within TfN.

3.14.2 The Scrutiny Procedure Rules provide for Scrutiny Committee to set up smaller Scrutiny Panels to review discreet topics and to allow these Panels to invite representatives of outside bodies to attend to inform their Reviews.

3.15 Financial Procedures

3.15.1 This section sets out the financial rules and controls which will govern all expenditure by TfN. It also contains the Contract Procurement Rules which will govern how TfN tenders and awards contracts.

3.15.2 It is expected that more detailed financial controls in relation to individual projects will be set out in the Funding Letter from the Secretary of State.

3.16 Codes and Protocols

3.16.1 It is not intended that TfN should have its own Code of Conduct for Members but Members will be expected to adhere to the Code of Conduct of their appointing Authority in the conduct of TfN's business and any Standards issue would be referred back to the appointing Authority by the Monitoring Officer.

3.16.2 The section includes the Codes of Conduct for Officers of TfN, the Protocol on Member/Officer Relations, the Code of Corporate Governance, the Anti-Fraud and Corruption Policy and the Whistleblowing Policy.

3.16.3 Although TfN is not required to adopt its own Code of Conduct for Members it will need to have a separate Disclosure of Interests by each Member in respect of their interests within the whole of the TfN geographical area.

3.16.4 The Code of Conduct for Officers sets out the standards of behaviour expected from TfN's officers.

- 3.16.5 The Protocol on Member/Officer Relations sets out guidance on the mutual respect which should exist between officers and Members and the way in which they should interact with each other.
- 3.16.6 The Code of Corporate Governance sets out the core principles and values which will govern the way in which TfN operates.
- 3.16.7 The Anti-Fraud and Corruption Policy sets out the measures that TfN will put in place to avoid and address fraud and corruption in any of its dealings.
- 3.16.8 The Whistle Blowing Policy sets out the ways in which whistle-blowers may bring their concerns to management and the protections that are in place to ensure that whistle-blowers are not victimised or discriminated against.

3.17 Role of the Partnership Board

- 3.17.1 TfN has evolved over the years from the inception of Transport for the North as a partnership representing all those with an interest in the improvement of transport in the North of England to the creation of TfN as the first Sub-National Transport Body. Although TfN as a corporate body will consist of the representatives of the 19 Constituent Authorities there is an aspiration that it will continue to operate through the Partnership Board taking decisions in partnership with the representatives of the 11 LEPs as representatives of the business community and with representatives of the Department for Transport and other Government Agencies and will continue to have an independent chair.
- 3.17.2 The Draft Constitution reflects the legal requirements for decision making within TfN as a corporate body but it will be open to TfN to operate these constitutional arrangements in a way that is consistent with continuing the present arrangements of the Partnership Board if Members so agree.

3.18 Rail North Limited

- 3.18.1 One of the drivers for the creation of TfN as a Sub-National Transport Body was to create a body which could speak with one voice on all transport matters affecting the North of England. To achieve that, it is proposed that TfN should take over ownership of Rail North Limited and subsume all of its functions directly into TfN.

3.18.2 Rail North Limited would be replaced by a Committee of TfN on which the former Rail North Member Authorities would be represented and have the same voting rights as under the Memorandum and Articles of the Company.

3.18.3 Before this can be achieved all the current members of Rail North Limited will need to formally agree to the proposals for the transfer of Rail North Limited to TfN

3.18.4 The current Members Agreement with Rail North Limited will be replaced by a Rail Franchise Management Agreement between TfN and the current Members of Rail North Limited which will replicate as far as possible the provisions of the Members Agreement.

3.19 The Rail Partnership Board

3.19.1 A Rail Partnership Board will be set up which will replicate the existing Rail North Board and will include Members of TfN along with representatives of the Department for Transport. This Board will make recommendations in relation to strategic priorities for rail investment and in relation to existing and future rail franchises.

3.20 The Highways North Board

3.20.1 TfN will participate in the Highways North Board which will consist of the Members of TfN along with representatives of the Department for Transport and Highways England. The role of the Board will be to make recommendations in respect of the future Roads Investment Strategy and competitive major roads funding programmes.

3.21 The Chief Executives Meeting

3.21.1 The Chief Executives or their representatives will continue to meet to provide oversight of the activities of TfN and review draft Board papers and advise on policy and strategy proposals.

3.22 Consent to the Regulations

3.22.1 Regulations are being prepared to create TfN as a Sub-National Transport Body. A draft has been shared with the constituent authorities. These reflect the proposal as approved by the Secretary

of State and as set out in this report although they are still subject to drafting changes.

- 3.22.2 Before the Secretary of State may make these Regulations each of the Constituent Authorities must consent to the making of the Regulations. It is anticipated that the Secretary of State will send a letter to each of the Constituent Authorities requesting formal consent to the making of the Regulations to be provided by early September 2017. On the basis of the assurances given and the draft documents which have been shared Officers are content to recommend that consent should be given.

Consultation

4. The Council is a consultee along with other Northern transport authorities.

Options

5. The Executive has the option to either consent to the making by the Secretary of State of Regulations to establish Transport for the North as a Sub-National Transport Body or not.

Analysis

6. The setting up of the Sub-National Body will help to address the transport constraints which are a major cause of the productivity gap between the north and other areas of the country. It is considered that TfN have adequately addressed the concerns raised by the Executive in August 2016. The inclusion of York on the TfN Board will provide an opportunity to ensure that the key transport priorities of the city are considered in a wider forum and help to make the case for investment in the future. These opportunities will be lost if the Sub National Body is not formed.

Council Plan

7. The formation of TfN and the prioritisation of transport investment in the North of England will assist in the delivery of the Councils priority to provide 'A Prosperous City for All'.

Implications

Financial Implications

- It is considered that the concerns raised about potential future financial contributions and financial liabilities have been adequately addressed by the responses given by TfN. Any contributions to the TfN budget would need to be unanimously agreed by the TfN members appointed by the Constituent Authorities. Were this to occur, the quantum of the resultant contributions from each Constituent Authority would be calculated on the weighted voting basis. The STB will be established as a body corporate and it therefore follows that TfN will itself be responsible for any financial or other liabilities it incurs.

Human Resources implications

- There are no Human Resources implications.

Equalities Implications

- Consideration has been given to the potential for any adverse equalities impacts arising from the recommendations of this report. It is the view of officers that the recommendations included in this report do not have an adverse impact on any of the protected characteristics identified in the Equalities Act 2010.

Legal Implications

- The legal implications are set out within the body of the report. In summary TfN will be an independent corporate body established by Regulations issued by the Secretary of State with the consent of the Constituent Authorities. It will have the powers granted to it by Regulations and under the 2008 Act. Its proceedings will be partially governed by the Regulations and by a Constitution which TfN will adopt once formally established.

Crime and Disorder

- There are no crime and disorder implications to this report.

Information Technology (ICT)

- There are no information technology implications to this report.

Property

- There are no property implications to this report.

Risk Management

8. There are no known risks of the formation of Transport for the North however there would be concerns that the City would not be fully included in prioritisation of potential transport schemes if the Council were not members.

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Report **Date** 18/8/2017
Approved

Specialist Implications Officer(s) List information for all

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Wards Affected: List wards or tick box to indicate all **All**

For further information please contact the author of the report

Background Papers:

None

Annexes

None

Abbreviations

TfN - Transport for the North

STB - Sub-National Transport Body



Executive

31 August 2017

Report of the Corporate Director of Economy & Place
Portfolio of the Executive Member for Transport & Planning

Scarborough Bridge – Footbridge Replacement and Upgrade**Summary**

1. This report outlines the proposals to replace and upgrade the existing footbridge spanning the River Ouse adjacent to 'Scarborough (Railway) Bridge'. The new bridge will be substantially wider to enable shared pedestrian and cycle use and feature ramped access from all sides, providing a continuous traffic-free and step-free route from York Station to the northern embankment of the river, in addition to the city centre itself. Network Rail will be further commissioned to lead on the design and full construction of this asset, to be delivered during 2018.

Recommendations

2. The Executive is asked to:
 - 1) Approve in principle the replacement and upgrade of the Scarborough Bridge footbridge and associated ramps / structures
 - 2) Note the continued progression of the scheme at risk through the planning and procurement stages Grant the Assistant Director for Transport, Highways & Environment delegated powers to make any future required amendments to the scheme as a result of emerging detailed design etc.
 - 3) Approve an allocation for risk within the Local Transport Plan programme 2018/19 in order to ensure that sufficient funds are available to deliver the proposed scheme.

- 4) Subject to funding agreements being agreed with other contributors and relevant planning consent being granted authorise the Assistant Director for Transport, Highways & Environment to progress the scheme including awarding contracts for the future delivery of the project.

Reason: The recommended replacement of the footbridge offers a unique opportunity to significantly improve one of a limited number of city centre river crossings and significantly improve access to the Railway Station and York Central Development site.

Background

3. The original railway bridge over the river Ouse known as Stephenson's Scarborough Railway Bridge was opened in 1845 and remained in use for almost thirty years. This bridge originally had a public footpath between the two tracks reached by stairs inside each abutment. This rail bridge was renewed in 1875 using the original abutments and the central pier, although pedestrian access was moved to the outside of the bridge along the east side on a separate footbridge, and the abutment stairways were subsequently abandoned. This footbridge has remained to the present day.
4. The objective of this project is to improve the river crossing to provide:
 - A step free access across the river for pedestrians, cyclists, wheelchair users and people with pushchairs.
 - A wider bridge to increase crossing capacity and reduce the conflict between users.
 - A crossing accessible during high river levels.
 - A reduction of conflict between riverside path and bridge users at ground level.
 - Direct traffic free access between railway station and city centre via museum gardens
 - Reduction of cycle/vehicle conflict on Lendal Bridge
 - Improved sustainable access to the York Central site
5. Current usage surveys have shown that on average over 2,600 pedestrians and over 600 cyclists use the footbridge daily. At present cyclists have to lift / wheel their bikes up the steep narrow steps and the footbridge deck itself is only 1.3 metres wide. The footbridge is currently inaccessible for wheelchair users or others with mobility impairments. Additionally this river crossing becomes completely unusable when river

levels are high as the current access is via the steps from the riverside paths.

6. An improved crossing at this location will provide a step-free, traffic-free access route via Museum Gardens direct between the Railway Station and the City Centre. A plan of the cycling connectivity which the river crossing provides is illustrated at Annex A. As shown, the crossing will also significantly improve the sustainable access options to the York Central site from the north of the river. In 2015 the Council successfully bid for a bridge upgrade scheme to be included in the West Yorkshire Combined Authority's Cycle City Ambition Grant programme. A match funding allocation of £1m was also included in the 2015/16 Capital Programme to enable the scheme to proceed.
7. City of York Council commissioned Network Rail during 2015/16 to carry out a GRIP2 feasibility report to investigate the possibility of providing a new shared-use pedestrian and cycle bridge adjacent to the existing Scarborough railway Bridge, replacing the existing inadequate footbridge. The report gave 3 concept design options for a new bridge:
 - a) A cable-stayed bridge supported from an upgraded central pier. However, this option was discounted due to the excessive impact loading required on the central pier.
 - b) A freestanding design featuring a single mastered suspension bridge with a 24 metre high steel mast set on the north bank of the river. However this option was also discounted due to its excessive cost and visual impact.
 - c) A simpler solution whereby the bridge is based on the simple structural concept of removing the existing footbridge and utilising its support position to accommodate a steel box beam off which the new bridge deck can be cantilevered. This option was considered to be the best balance of aesthetic design, structural simplicity and cost.
8. Following identification of a viable solution, as shown at Annex B, a subsequent GRIP3 option selection report was commissioned and undertaken by Network Rail. During this process significant work was undertaken on the proposed bridge design as well as in-depth investigative surveys in order to ascertain ground conditions and reduce risk to the programme.

9. The proposed upgraded bridge would provide a much wider bridge deck, increased to a width of 3.7 metres, with improved access. For the first time, the new bridge would be accessible for wheelchair users and those with mobility issues, as well as pedestrians with pushchairs or wheeling suitcases.
10. The proposal also includes for improved and wider links between the riverside paths and the new bridge, providing a more direct and convenient link between York Station, the off road cycle network, and the north side of the river. This would comprise 3.0 metre wide ramps / paths connecting to the south with the existing station access ramps from Post Office Lane. This layout is considered to provide the most cost effective solution with the best overall benefit for pedestrians and wheelchair users in the area travelling between the station and bridge whilst also providing a direct connection for cyclists between the riverside and the bridge. To the north a ramp will connect with the riverside and, if affordable, an additional spur will be provided northwards adjacent to Marygate car park. Stepped access from both riversides would also be provided. The ramp layout on the station Please see below section regarding stepped access to the bridge.
11. The proposed bridge and its associated access ramps are all to be restricted to a land area fully within the ownership of Network Rail. An existing area of land required for the northern ramp is currently leased to the Abbey Guest House (as a car park) by Network Rail on a short-term rolling contract. Constructive discussions have already been made with the owners of the Guest House.

Bridge deck width

12. An aspiration early in the design process was to provide as wide as possible usable bridge deck in order to accommodate the many anticipated users. Network Rail were asked to look at providing a 4.5 metre wide deck. However, even with the proposed reduction in weight as a result of removing the stone pilasters, the weight of the new bridge was found to exceed the capacity of the foundations when a 4.5 metre bridge deck was used, especially due to the eccentric loading.
13. The outline design work has confirmed that the existing bridge foundations only have the capacity to support a bridge deck of up to 3.7 metres in width. For information, the comparable Millennium Bridge (also shared-use) has a usable width of 4.0 metres.

Stepped access to the bridge

14. It is proposed to provide stepped access to the new bridge to allow access to the riverside paths. The objective is to provide steps at locations which minimise conflict between users on the bridge deck and at ground level. Two options have been considered for these steps:
 - a) The preferred option is to construct new steps on the outside of the bridge. This would maintain a consistent bridge deck width and also encourages pedestrian flows to the balustrade side of the bridge which is likely to be favoured by most. Conflict at the riverside path level would also be significantly reduced. However it should be noted that the closure of the existing steps may be considered to be a loss of part of the existing bridge's history and character.
 - b) Retain the existing steps which sit to the back of the bridge and are constructed as part of the abutment. The steps would require some refurbishment. However, these would cause a pinch point of the bridge deck as it passes the steps, down to approximately 2.3 metres (over 9 metres length). In addition the steps in this position would encourage pedestrian flows to the railway side of the new bridge rather than the balustrade overlooking the river which is likely to be favoured by most. Thus some cyclist and pedestrian conflict on the bridge deck is possible. The existing conflict between cyclists on the riverside path on the south side of the river and pedestrians at the bottom of the steps would remain but reduced if the lower part of the steps was turned to be parallel to the river.
15. It is proposed to progress the new steps option subject to the resolution of planning and technical issues.

Cost & Source of funding

16. The cost estimate prepared by Network Rail for the construction of the new bridge is £4.871million, including a £483k risk/contingency allowance. It is proposed to fund the scheme from a number of sources indicated in the following table:

Funding	£k
West Yorkshire Combined Authority: CityConnect programme - <i>tbc</i>	1,935
CYC: Capital Programme - existing	972
York North Yorkshire East Riding Local Enterprise Partnership (YNYER LEP): Local Growth Fund - <i>tbc</i>	1,500
CYC: Local Transport Plan (LTP) 2018/19 - <i>proposed</i>	464
Total	4,871

Anticipated programme

17. Subject to agreement by the Executive, a high level indicative programme is illustrated below:
- 31 August 2017: Executive Decision to Proceed subject to confirmation of funding
 - October 2017: WYCA and YNYER LEP Funding Decisions
 - November 2017– January 2018: Planning Application
 - March 2018: Award of contract for construction
 - January 2019: Completion

Future ownership and maintenance

18. There have been initial discussions with Network Rail regarding the future ownership of the new bridge and associated structures, including who will be liable for future inspection and maintenance. The existing footbridge is currently owned and maintained by Network Rail.
19. The current proposal is for the new bridge to become a council owned asset with the new bridge and associated infrastructure maintenance obligations to be passed to CYC. All Network Rail owned land required for the construction of the new bridge will however remain in Network

Rail's freehold ownership. A commuted sum will be paid to the council by Network Rail for a proportion of future maintenance liabilities.

Consultation

20. Public consultation was undertaken during July 2017, including a two-day public exhibit at York Station. 142 individual responses from members of the public and interested parties have been received. This included a petition with 16 signatories wishing to show support for the proposals. Specific points raised within the consultation have been collated into common themes and can be seen at Annex C along with an Officers response where applicable.
21. From the public consultation it is evident that there is clear support for the proposed new bridge, with 135 (of 142) comments stating their enthusiastic support for the project. Comparably, there were only two objections received.
22. The next most popular comments were concerning current difficulties experienced with the existing bridge and endorsing our proposals. Many responses were also received requesting that the option involving new steps on the outside of the bridge be taken forward to avoid the potential pinch point on the bridge deck.
23. Comments were also received from a number of stakeholders / organisations and these are summarised below:

York Green Party – Welcome the proposals as they would provide an accessible traffic free river crossing near the city centre, although not fully convinced that the space should be unsegregated. Would prefer to see new steps built on the outside of the bridge to remove the potential pinch points on the bridge deck and by the riverside archway. Would like to see Post Office Lane and Marygate Lane paths widened and well maintained, with access through the flood barrier improved. Would love to see a social space / platform / widening in the centre of the bridge for people to meet / admire and photograph the view etc.

Micklegate Ward Planning Panel – Supportive of the proposals and would like to see the option taken forward featuring the new steps on the outside of the bridge. Some concern over shared use.

Sustrans – Greatly welcome the proposals. Concern that the proposed width would be insufficient for future increased usage and would advocate a wider bridge deck. Favour new steps on the outside of the

bridge to remove the pinch point conflicts. Adjacent paths leading to the new bridge should be widened to cater for increased usage also.

Cycling UK – Supportive of the proposals. Anticipating greater surge in cyclists using this route and the northern station entrance, thus additional cycle parking would be required at this end of the station

York Older People's Assembly – Supportive of the proposals and considers them well thought through, catering for all possible users.

York Health Walks – Very welcoming of proposals. Requests that new steps be provided on the outside of the new bridge to avoid the potential pinch point conflict points on the bridge and the riverside archway.

York Greenways – Supportive and regards this as a really important transport link for the city. The fact that so many use the bridge now just goes to show the demand and the potential for increasing its use.
Submitted a 16 signatory petition showing their support.

Treemendous York – Supportive of the proposals. Would like demarcation / segregation for users. Main concern is landscaping and any trees to be removed and the mitigation proposed to replace them.

Abbey Guest House – Welcomes the proposals to improve access to the station, although asks for the council to be thoughtful in its approach and mindful of the environmental impact this project will have on the area. Seeks assurances that new facility and landscaping will be well maintained. Bridge and ramps should be designed to deter antisocial behaviour including being well lit and patrolled / CCTV. Little hard landscaping preferred with greater planting / habitat.

Other concerns regarding future provision of car parking spaces are being addressed directly with the owners of the Abbey Guest House.

Options

24. There are 2 options available to the Executive:

- 1) Approve in principle the replacement and upgrade of the Scarborough Bridge footbridge and associated ramps / structures. This option would also continue the progression of the scheme at risk through the planning and procurement stages with the commencement of delivery being subject to funding agreements being agreed with other contributors and relevant planning consent being granted. This is the recommended option.
- 2) Do not approve the principle of replacing Scarborough Bridge.

Analysis

25. It has been a long held aspiration to improve the accessibility of the river crossing at Scarborough Bridge with the only viable solution considered to be to replace the existing narrow footbridge with one which is much wider and more accessible. Following extensive investigatory and design work, a bridge design has now been produced which fulfils the objectives and which is affordable subject to the confirmation of contributions from other bodies.
26. Funding has been allocated within the Council's capital programme and provisional funding in principle has already been allocated to this scheme from a number of external sources. The funding from the West Yorkshire Combined Authority City Connect Programme is time dependent with the need for commencement on the delivery stage to be confirmed by March 2018. To ensure that the scheme is progressed to meet this deadline the planning and procurement stages will need to be progressed in advance of all of the funding being confirmed. The additional information available from this planning/procurement work would also be beneficial to secure alternative funding sources if the anticipated funding is not confirmed. To progress this option approval is sought to commence procurement of an appropriate design and build contractor to deliver the project. Approval for additional resources to cover risk using the Local Transport Plan programme 2018/19 is also requested in order to ensure that sufficient funds are available to deliver the proposed scheme.
27. Option 2, to do nothing to improve the footbridge, would mean that the opportunity to significantly improve the accessibility of the river crossing and connections into York Central York Station would be lost. Therefore this option is not recommended.

Council Plan

28. "A Prosperous City For All"; "A Focus on Frontline Services". The proposed Scarborough Bridge upgrade supports the prosperity of the city by improving the effectiveness, safety and reliability of the transport network, which helps economic growth and the attractiveness for visitors and residents. Enhancements to the efficiency of the sustainable transport network in addition to promoting a traffic-free and safe access to and from the station and the York Central development site will

improve the reliability and accessibility to other council services across the city.

Implications

Financial

29. The feasibility study undertaken by Network Rail indicates that the estimated cost of the proposed scheme is £4.871m including an allowance of approximately 10% for risk. It is proposed to fund the scheme from a variety of sources.

Funding	£k
CityConnect tbc	1,935
CYC Capital Programme - Existing	972
YNYER LEP tbc	1,500
CYC - LTP (2018/19)	464
Total	4,871

30. The council allocated £1m (£972k remaining) in the capital programme in 2015/16 to match fund an allocation of £1.953m in the West Yorkshire City Connect programme for the delivery of the scheme by the end of 2017/18. Owing to cost pressures across the £52m West Yorkshire CityConnect programme a review is currently being undertaken with the funding for 4 schemes which were originally planned to be delivered at the end of the programme, including Scarborough Bridge, placed on a reserve list subject to confirmation at the end of October 2017.
31. The York North Yorkshire East Riding LEP successfully bid for funding for the York Central Development, including an allocation for an upgrade of Scarborough Bridge, from the Growth Fund. The success of the York Central development is dependent on maximising the number of trips into the site by sustainable means. The Scarborough Bridge Scheme will provide a high quality traffic free connection between the site and the north of the river including the City Centre. A detailed submission to confirm the £1.5m of funding for the Scarborough Bridge Scheme has been submitted with an expectation that a decision will be taken at the YNYER Infrastructure Committee on 4 October.
32. It is proposed to make use of £464k of currently unallocated 2018/19 Local Transport Plan funds to cover the risk element of the project. Alternative transport schemes will be brought forward for delivery

depending upon the actual expenditure against the Scarborough Bridge scheme in 2018/19.

Human Resources

33. There are no HR implications

One Planet Council / Equalities

34. The new bridge and access ramps will be designed with equalities in mind. The main purpose of the project is to improve access for all users and promoting sustainable transport.

Legal

35. The Council has powers under various legislation which allow for the construction of a bridge. It is noted that the main purpose of the project is to improve access for all users. Members are well aware of their duties under the Equality Act and, in particular, the duty to promote equality of opportunity. It will be particularly important to ensure that the design of the new bridge reflects this duty.

Crime and Disorder

36. There are no Crime and Disorder implications.

Information Technology

37. There are no Information Technology implications.

Property

38. is proposed that the new bridge and associated structures (i.e. ramps and steps) will in the future be owned and maintained by City of York Council. However the land they would be constructed upon would remain Network Rail freehold.

Other

39. Disruption during construction – Constructing a scheme of this size and complexity inevitably means a level of disruption to users of the existing footbridge. Access to and use of the existing footbridge will be maintained for as long as possible, but the river crossing will unavoidably be out of action for the period of construction requiring a temporary suspension of the public right of way which runs across it. Works will be scheduled and planned to minimise disruption where practicable and sufficient information and notice will be given to affected parties.

Risk Management

40. A full risk register has been prepared for the project identifying the main risks affecting the delivery of the scheme. The risk register will be monitored regularly and mitigation measures put in place as necessary.
41. One of the principal risks is the availability of funding owing to the need to obtain confirmation from the other contributors before progressing the delivery contract. Several break-points have been built into the programme with Network Rail to mitigate the impact of this risk. Other risks relate to planning consent, railway interface etc.
42. Generally project risks are recorded within the Project Risk Register and managed by the Project Team and monitored by the Transport Board.

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Report Date 17/08/2017
Approved

Specialist Implications Officer(s):

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Corporate Finance Manager

Wards Affected:

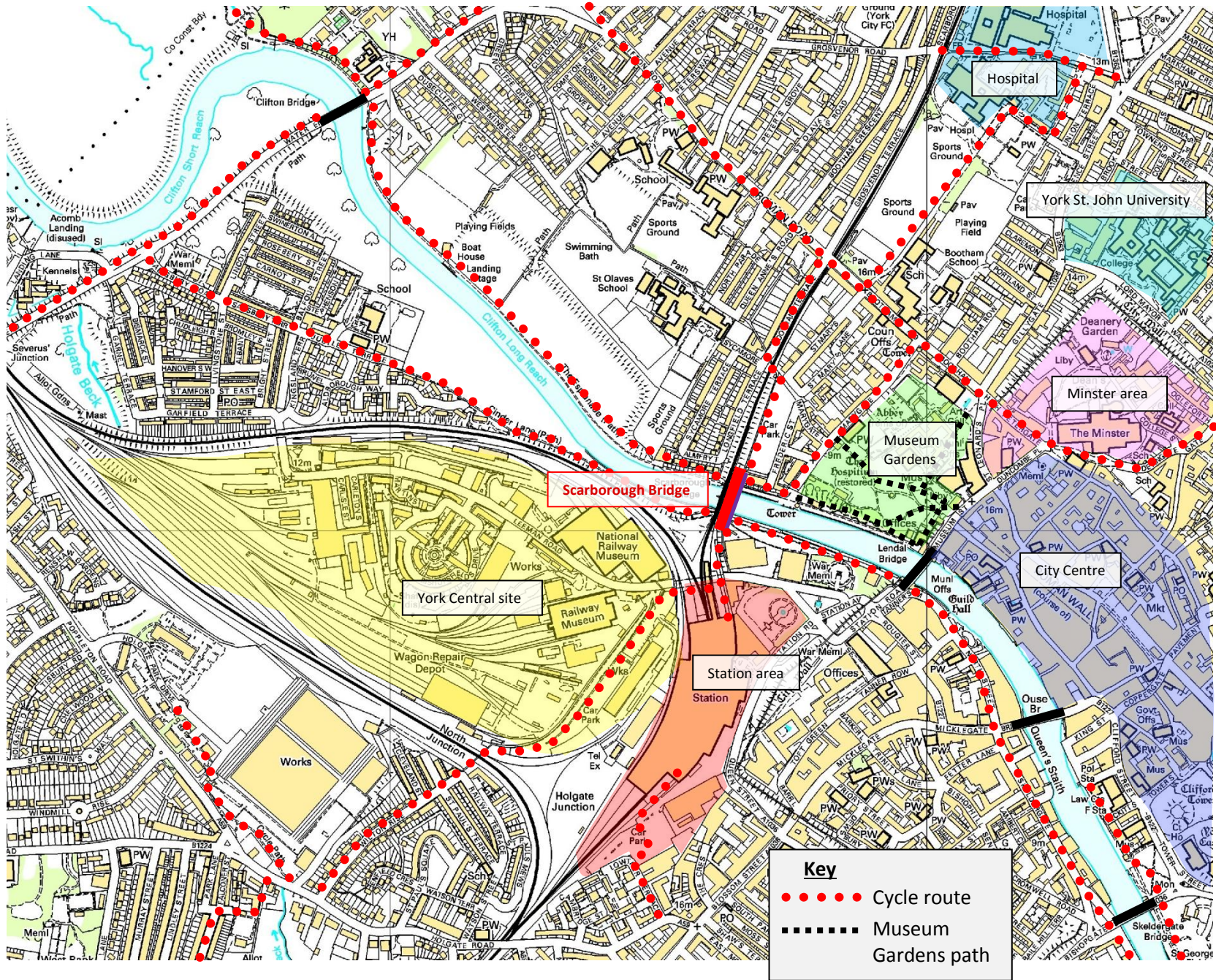
Clifton, Guildhall, Holgate, Micklegate

For further information please contact the report author

Annexes:

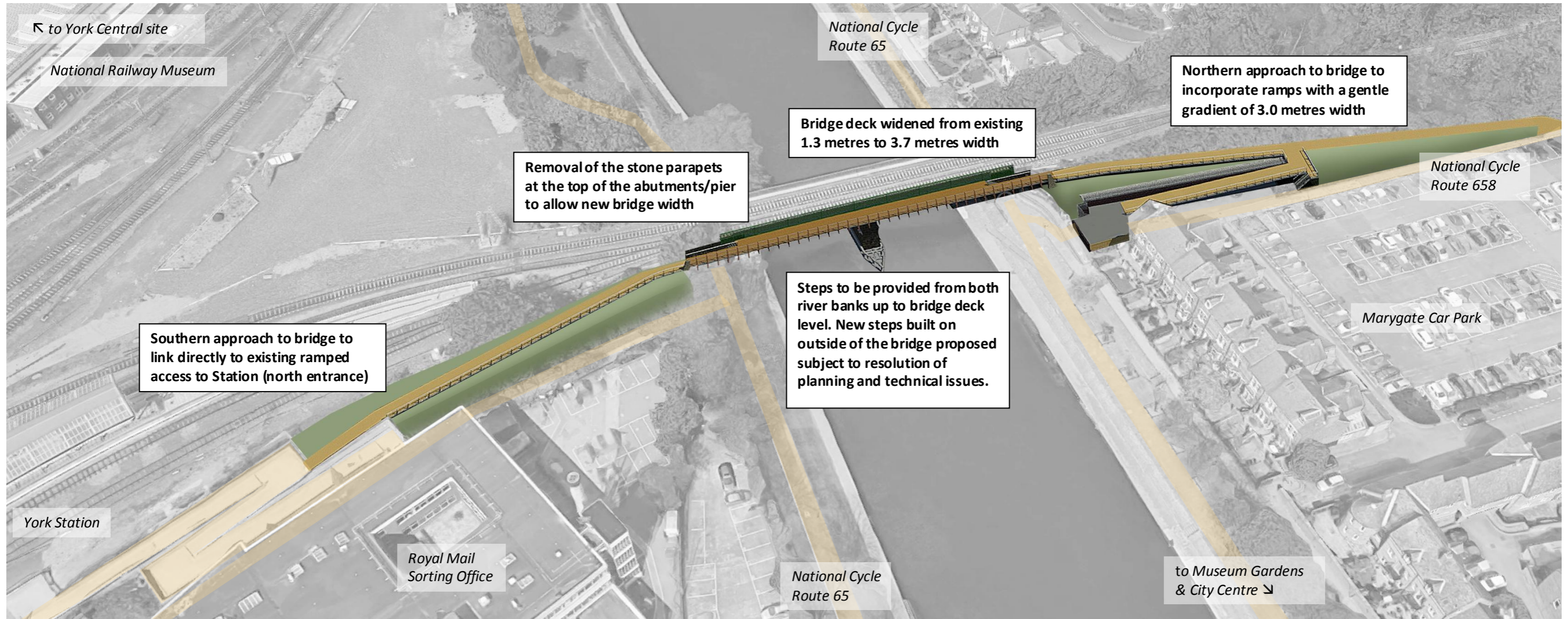
Annex A – Plan demonstrating the connectivity of Scarborough Bridge
Annex B – Plan of proposed Scarborough Bridge upgrade
Annex C – Results of public consultation held during July 2017

Scarborough Bridge - Connectivity



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Proposed Scarborough Bridge upgrade – new shared use bridge



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SCARBOROUGH BRIDGE UPGRADE: PUBLIC CONSULTATION RESULTS

Number of respondents: **142**

Addresses of respondents: Not stated 67; Clifton 23; Bootham 9; Holgate 5; Leeman Rd area 5; South Bank 4; Acomb 2; Poppleton 2; Tang Hall 1; Westfield 1; Bishopthorpe 1; Copmanthorpe 1; Hammerton 1; Clifton Moor 1; Micklegate 1; Huntington 1; Lancashire 1; [plus a Petition with 16 signatories]

Comments concerning:	No. of comments	Addresses (if known)	Response
Strongly support the proposed scheme	135	Not stated 62 Holgate 5 Westfield 1 Lancashire 1 Copmanthorp 1 Micklegate 1 Clifton 22 Leeman Rd 5 Tang Hall 1 Bishopthorpe 1 Hammerton 1 Huntington 1 Bootham 8 South Bank 4 Acomb 2 Poppleton 2 Clifton Moor 1 Petition 16	-
Currently difficult to haul bikes / cases up steps	29	Not stated 12 Bootham 3 Hammerton 1 South Bank 2 Acomb 1 Clifton Moor 1 Clifton 5 Leeman Rd 3 Poppleton 1	-
Endorse new sustainable pedestrian & cycle route linking station to other side of river	26	Not stated 9 Clifton Moor 1 Holgate 1 Clifton 7 Tang Hall 1 Hammerton 1 Bootham 5 South Bank 1	-
Would like new steps built on the outside of bridge to avoid potential pinch point	24	Not stated 13 South Bank 1 Micklegate 1 Clifton 5 Bishopthorpe 1 Bootham 2 Leeman Rd 1	Noted
Issue with narrow passing-point and archway where southern steps meet riverside route	22	Not stated 10 Bootham 2 Holgate 1 Leeman Rd 3 Clifton 2 Poppleton 1 South Bank 2 Acomb 1	This issue would be partially resolved if the steps were relocated to the outside of the new bridge, with the landing area relocated away from the archway
Proposed plans are well thought through	22	Not stated 11 Copmanthorp 1 Clifton 7 Bishopthorpe 1 Acomb 1 Holgate 1	-
Pleased to be able to use crossing during floods	13	Not stated 4 Clifton Moor 1 Clifton 5 Bootham 3	-
Prefer to segregate cyclists & pedestrians	12	Not stated 8 Clifton 3 Micklegate 1	Noted. Official segregation would be difficult to build in to the design, especially where widths are restricted. However this will be considered at detailed design
Unable to use existing bridge at present (mobility issues etc)	11	Not stated 3 Acomb 1 Clifton 3 Tang Hall 1 Leeman Rd 2 Bootham 1	-
Confusion over whether stepped access will be present on both sides of the bridge	11	Not stated 7 Clifton 1 Westfield 1 South Bank 1 Acomb 1	Stepped access would be available from both river sides. Still to be determined if existing steps to be retained or build new steps on the outside of the structure

Would like improved entrance to station ramp / widen Post Office Lane	8	Not stated 4	South Bank 3	Leeman Rd 1	This area would be improved as part of the project. The existing gates to the station ramp would be relocated and palisade fencing would be removed throughout.
Would like a wider place to stand in centre of bridge, for meeting, photos, passing point etc	7	Not stated 2	Clifton 4	South Bank 1	Noted
Bit of a detour from riverside to use station ramps to access new bridge	7	Not stated 6	Lancashire 1		Due to the proximity of the existing station ramps it would be more prudent to utilise the existing structures
Proposed bridge should be wider	6	Not stated 4	Clifton 2		See section in report re: bridge width restriction
Should not feature any barriers	6	Not stated 4	Clifton 2		Noted
Loss of trees undesirable / Replanting required	6	Not stated 3	Bootham 2	Clifton 1	We would wish to include compensatory planting
Once in a lifetime opportunity to become iconic part of York, not to be missed	5	Not stated 3	Clifton 2		-
Ramps should allow for long bikes (i.e. cargo / recumbent / utility)	5	Not stated 1 Clifton 1	Holgate 1 Lancashire 1	South Bank 1	Ramps are proposed to be 3.0 m in width, with turning point areas of 9.0 sq m
Extension of northern ramp is welcome	4	Bootham 2	Clifton 1	South Bank 1	-
Would like the existing steps retained	4	South Bank 1 Copmanthorp 1	Bootham 1	Poppleton 1	Noted
Existing bridge fairly unsightly / Make more of a feature of new bridge – i.e. a “destination”	4	Bootham 2	Clifton 2		Noted
Enhance the bridge using shrubs / planters etc	4	Not stated 2	Bootham 1	Holgate 1	Noted
Station short-stay car park a conflict point – Needs altering to have a proper path through	4	Not stated 2	Leeman Rd 1	Bootham 1	Would be proposed in discussion with Virgin Trains East Coast and Network Rail
Maintenance / upkeep concerns, CCTV	4	Not stated 1	Bootham 2	Holgate 1	Noted. CCTV is proposed to be included in the project
Hopes river crossing will be closed for as little time as possible during construction	3	Clifton 2	Not stated 1		Disruption would be kept to a minimum
Design should discourage ‘love locks’	3	Clifton 2	Bootham 1		Noted
Ensure continuation of the latticework ironwork / fencing style	3	Not stated 1	Copmanthorp 1	Bootham 1	Noted
Would like restrictions on Lendal Bridge traffic	3	Not stated 3			-
Will need extra cycle parking at north end of station	2	Holgate 1	Clifton 1		Noted
Sufficient illumination required (and interesting – i.e. colour changing LEDs)	2	Not stated 1	Clifton 1		Noted
Use local contractors / materials if possible	2	Not stated 2			Noted
Estimated cost seems excessively high	2	Not stated 1	Bootham 1		The cost estimate has been validated
Disappointed with limited exhibit times	2	Clifton 1	Leeman Rd 1		A 2 day exhibit was held at York Station. There were insufficient resources for a longer exhibit

Would like design of new bridge to reflect York's railway history – not off the shelf	2	Not stated 2	Noted
Object to proposal – Current bridge adequate and could use money elsewhere	2	Not stated 1 Heworth 1	Noted
Further work required on the riverside paths for courteous shared use	2	Not stated 2	Noted
Network Rail should be fully committed to this scheme.	1	Not stated 1	-
Would like benches on the bridge	1	Clifton 1	Widths would be restricted with this suggestion
Needs a central 'landmark feature' such as a clock, weathervane, digital art etc	1	Clifton 1	Noted
Visual digital cycle counter? Webcam?	1	Clifton 1	Noted
Better lighting of station access ramp	1	South Bank 1	Noted
Would like solution / route for cyclists through centre of station	1	Bootham 1	Restrictions would remain on cycling through the main station concourse
Ramp surface material needs to be suitable	1	Not stated 1	Noted
Good value for money compared with a 'highway scheme'	1	Not stated 1	-
Object to project due to history of bridge, but would endorse a new stand-alone bridge	1	Bootham 1	A new stand alone bridge would be prohibitively expensive and may be considered by some as more visually intrusive
Existing bridge has historic and engineering interest. Changes to the structure would have harmful effects to the historic fabric	1	Bootham 1	Noted
Balustrade design incongruous and unrelated to historic bridge. Loss of upper parts of masonry piers is destructive and unwelcome	1	Bootham 1	See section of report re: stone pilasters

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Executive

31 August 2017

Report of the Assistant Director Communities and Equalities

Portfolio of the Executive Member for Transport & Planning and the Executive Member for Culture, Leisure and Tourism.

Proposed Temporary Use of Part of Castle Car Park**Summary**

1. This paper seeks approval for the temporary use of part of Castle Car Park between May and September 2018 for Shakespeare's Rose Theatre, a "pop-up" restoration theatre.

Recommendations

2. The Executive is asked to:
 - Agree the proposed use of part of the car park subject to planning permission and other relevant statutory approvals.
 - Note the alternative parking arrangements proposed.
 - Delegate to the Assistant Director Legal and Governance the drawing up of a lease.

Background

3. The Council has been approached by Lunchbox Theatrical Productions Limited (LTP), a major producer of top quality international entertainment, with a proposal to site the pop-up theatre on part of the Castle Car Park, from 21 May to 23 September 2018 (with the theatre operational from 18 June to 2 September).

Proposal

4. Shakespeare's Rose Theatre will be Europe's first full-scale working replica of a traditional Shakespearean Theatre which is modelled loosely on a combination of the Rose Theatre and the Globe Theatre which were built in 1587 and 1599 respectively. It will aim to attract 100,000 people over the ten week season, including up to 20,000 students.

5. The twelve-sided, three storey building will create a remarkable theatre experience for approximately 950 people including a standing audience of 300 who will enjoy a high level of involvement in the show. With a 100+m² stage most of the audience are within 15m of the action. Around the theatre there will be a “Taste Village”, show casing local food and beverage as well as an area for free wagon performances.
6. Four plays: Romeo & Juliet, Macbeth, Richard III and A Midsummer Nights Dream, will be produced by esteemed UK directors, including potentially a production by York Theatre Royal. Approximately 140 shows are anticipated over a ten-week season.
7. Shakespeare’s Rose Theatre will be a significant addition to York’s visitor attractions helping to further the imperative in York’s Economic Strategy of *Making a fresh, loud statement of cultural and visual identity*. It has the potential to create a lasting legacy in terms of national and international publicity and cultural recognition, as well as opportunities for schools to benefit educationally. LTP are building partnerships across the city, for example with the Theatre Royal who will be heavily involved, to ensure that the attractions complements existing product in the city and benefits its wider economy.
8. This major cultural attraction will benefit residents and visitors alike. It will be affordable with ticket prices for adults starting at £12.50. The theatre will create an additional spend in York’s economy, estimated to be close to £7m, as well as additional employment.
9. There will be opportunities for the Business Improvement District (BID) to get involved in and support the project and the Council will be discussing this with them.
10. The pop-up theatre will provide an excellent offer for schools and students. An experienced drama teacher has been engaged to lead work with schools in liaison with the city’s Cultural Education Partnership. All schools will be contacted and they will be offered curriculum material as well as pre-show talks with cast and creatives. Morning workshops will be offered for younger children. There will also be an offer for university students. The offer to schools will be priced in order to make it accessible for all. The project will also be seeking national sponsorship to facilitate a subsidy of the student ticket price.
11. The theatre proposal complements the council’s high-level vision for the regeneration of the Castle Gateway which was approved by the

Executive in January 2017. This aims to improve the economic, cultural and social vibrancy of the area and to drive increased footfall into it, all aims to which the Shakespeare's Rose Theatre can make a significant contribution. The proposal also follows the strategy of allowing temporary, "meanwhile" uses of council sites in order to animate the area whilst the long term master plan is developed. This strategy has previously seen a three year tenancy offered to a community interest company called Spark:York to provide start-up space for local business on Piccadilly, which will open in late summer 2017.

12. The council have appointed consultants BDP to articulate the Castle Gateway vision into a master plan for the area. This is currently being developed and is being informed by the *My Castle Gateway* public engagement project. This will allow high level master plan options to be taken to the Executive with a subsequent consultation early in 2018. One of the key aims of the high level vision, and the working assumption for the master planners, is that the Castle Car Park is to be closed and replaced with alternative uses. This is vital to unlock the potential of the area and improve the setting of the city's international heritage and cultural assets.
13. The use of Castle Car Park for Shakespeare's Rose Theatre would help to facilitate this aim, and act as a catalyst and important step to the redevelopment of the site. The temporary part-closure of the car park for the theatre would allow officers to understand the impact of the displacement of car parking on the highway network over a significant period of time without incurring the associated loss of revenue. Furthermore, it would also start to break the public perception of this area as a car park and encourage further public debate about its future.
14. The proposed timescales correspond with the timeline for the regeneration. Once a preferred master plan and delivery model is approved for the Castle Gateway in early 2018 there will be a process of implementing the delivery model and the preparation, submission and determination of the necessary planning applications for the redevelopment of the Castle Car Park site. This process will extend beyond the period proposed for the theatre so has no impact on the council's capacity to implement the master plan, and as above would assist in refining the preferred master plan options by giving real data on the impact of the temporary part closure of Castle Car Park.

15. Shakespeare's Rose Theatre would help drive temporary vibrancy to the Castle Gateway, raise the profile of the area, allow the council to understand the impact of the displacement of car journeys without an impact on revenue, and potentially pave the way for the long-term redevelopment of Castle car park as the key to unlocking the regeneration of this part of the city.
16. The proposal is subject to planning permission being granted and LTP are taking the necessary steps in this regard.

Options

17. The Executive may agree or refuse this proposed use of part of the Castle Car Park.

Analysis

18. 135 car parking spaces will be needed for the pop-up theatre (out of the 318 available).
19. Lunchbox will reimburse the Council a total of £197,308:
 - £1,616 per day for the period 28 May to 19 June
 - £1,679 per day for the period 20 June to 4 September
 - £1,616 per day for the period 5 September to 16 September
20. In putting forward their reimbursement proposal LTP have used figures provided by the council for lost revenue over the relevant period. Officers are satisfied that this value represents the amount of lost income from 135 spaces using 2016 as a guideline for usage.
21. It is possible that the Council may need to remove a small number of additional spaces in order to operate the remodelled car park safely. Although this would result in a reduction in income it is reasonable to assume that potential users of Castle Car Park will be dispersed to other car parks. If only 20% of those displaced vehicles move to council car parks this would cover the maximum potential loss of income from these spaces. Displacement levels above this would result in additional income to the parking account. It can of course be expected that the theatre will bring additional visitors to York.
22. There is currently more capacity than demand for parking in this area of the city and the temporary loss of capacity in Castle Car Park can therefore be accommodated.
23. To further assist with parking it is proposed to keep the upper floor of Piccadilly car park open beyond its normal 6:00 pm closing time in

order to offer guaranteed event parking for customers attending performances. Tickets for this would be sold by LTP and income passported to the Council. Officers are working with Lunchbox to explore this option further and how it will be staffed.

24. With regard to business rates it is anticipated that the theatre will be assessed separately for business rates. LTP will pay any additional rates over and above those that CYC would otherwise have been assessed to pay for the normal use as a car park.
25. It is therefore recommended that the proposal is accepted.

Implications

Financial:

26. The reimbursement of £197k reflects the anticipated lost income from the car park over the time period. There is a small risk that the council will lose £40k of revenue, which is less than 1% of overall parking revenues, and it is highly likely that this will be offset from car park users relocating to other council car parks.
27. A small sum may need to be expended from existing highways capital funding in order to ensure that the car park surface is in a suitable condition for the additional foot traffic that will be attracted by the theatre.
28. It is estimated that the economic benefit of the theatre to the city's economy in terms of additional visitor spend will be in the region of £7m.
29. **Property:** The council will enter into a lease with LTP. This will provide for LTP restoring the site after the event.
30. There are no other implications.

Council Plan 2015-19

31. The proposals in this paper support the Council Plan aim of *A Prosperous City for All* where:
 - Local businesses can thrive
 - Efficient and affordable transport links enable residents and businesses to access key services and opportunities
 - Everyone who lives in the city can enjoy its unique heritage and range of activities.
 - Visitors, businesses and residents are impressed with the quality of our city

Risk Management

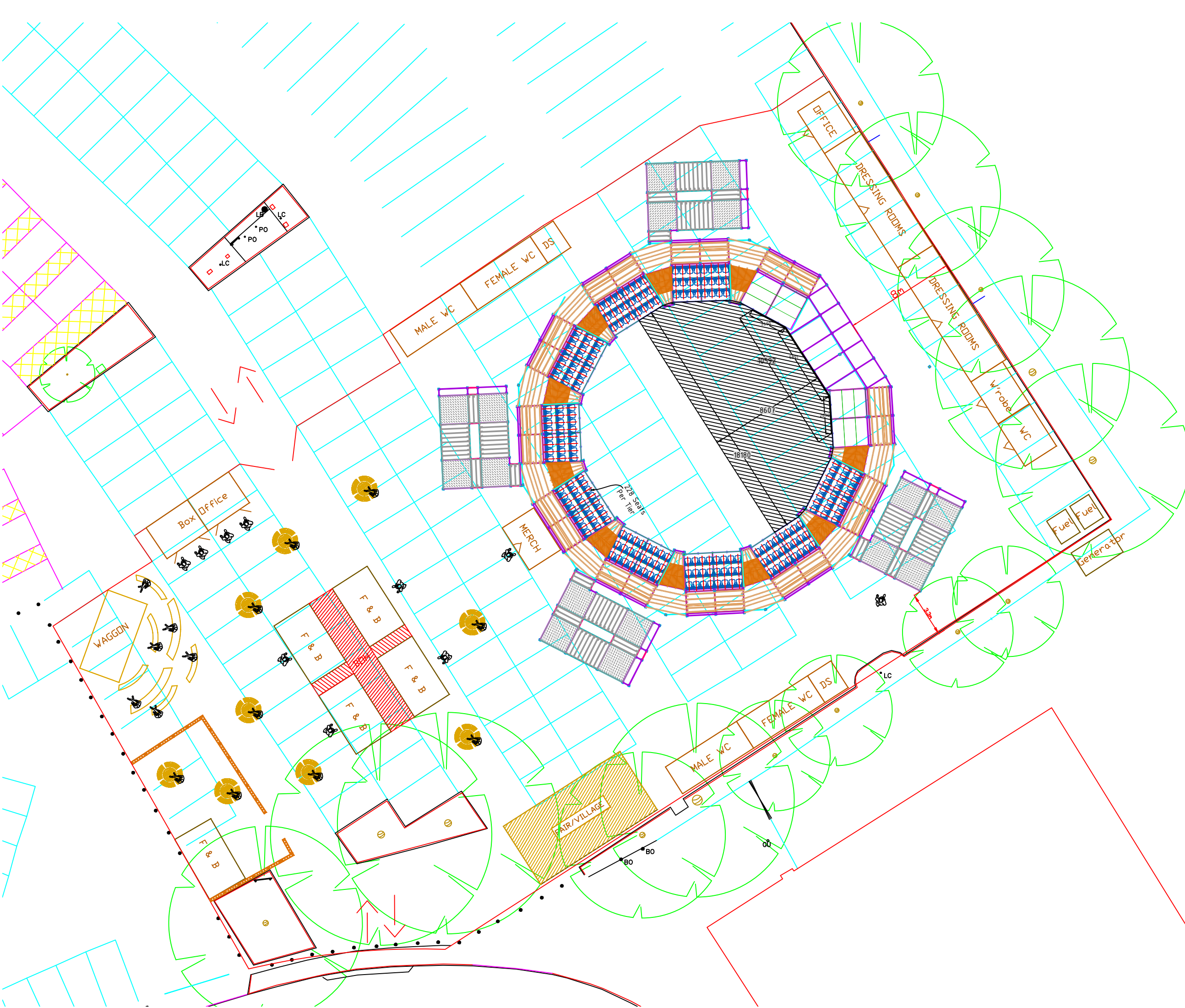
32. In compliance with the Council's risk management strategy the main risks that have been identified in this report are those which could lead to the inability to meet business objectives and failure to meet stakeholders' expectations, which could in turn damage the Council's image and reputation. Measured in terms of impact and likelihood, the risk score has been assessed at less than 16. This means that the risks need only to be monitored as they do not provide a substantive threat to the achievement of the objectives of this report.

Author:	Chief Officers responsible:		
Charlie Croft Assistant Director (Communities and Equalities) Tel: (01904) 553371	Neil Ferris Corporate Director Economy and Place Jon Stonehouse Corporate Director Children, Education and Communities		
Report Approved	✓	Date:	10.8.17.
Specialist implications officers:			
Patrick Looker Finance Manager	Andy Kerr Commercial Project Manager		
Graham Titchener Head of Parking Services			
Wards Affected: Guildhall			
For further information please contact the author of the report			

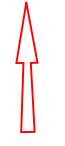
Annexes

Annex 1 - Plan showing footprint of theatre

Annex 2 - Artist's impression of the theatre



THIS DRAWING REPRESENTS VISUAL CONCEPTS AND CONSTRUCTION SUGGESTIONS ONLY.
 The Designer is unqualified to determine the structural or electrical appropriateness of this design, and will not assume responsibility for improper engineering, construction, handling, or use. All materials and construction must comply with the most stringent applicable Federal and Local Fire, Safety, Energy, and Environmental Codes.



Lunchbox Theatrical
 Presents
**Rose Theatre
 Shakespeare's**
 VENUE: Cliffords Tower

GROUND PLAN		DRAWING 1 of 1
SCALE:	1:250 (@A3)	
DATE:	13/6/17	
DRAWN:	PJM	

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Executive**31 August 2017****Report of the Deputy Chief Executive / Director of Customer & Business Support Services****2017/18 Finance and Performance Monitor 1****Purpose of the Report**

- 1 To present details of the overall finance and performance position for the period covering 1 April 2017 to 30 June 2017, together with an overview of any emerging issues. This is the first report of the financial year and assesses performance against budgets, including progress in delivering the Council's savings programme.

Summary

- 2 The financial pressures facing the council are projected at £636k. This is an improvement from previous years where the monitor 1 forecast was £1,197k at this time last year, £1,904k in 2015/16 and £2,294k in 2014/15. In each of those years the Council delivered an under-spend by the year end, demonstrating a successful track record of managing expenditure within budget over a number of years.
- 3 Whilst this report highlights a number of known pressures which will need to be carefully managed, it is expected that, as a result of ongoing monitoring and identification of mitigation, overall the Council will outturn within the approved budget. There is sufficient contingency provision available to cover the projected pressures, and it is also anticipated there will be improvement in the position during the year.
- 4 York is maintaining both sound financial management, and delivering priority services to high standards, during a period of continued challenge for local government. In particular, key statutory services continue to perform well, having seen investment in recent years. Whilst there remain challenges in future years, the overall financial and performance position is one that provides a sound platform to continue to be able to deal with the future challenges.

Recommendations

- 5 Executive is asked to note the finance and performance information

Reason: to ensure expenditure is kept within the approved budget

Financial Analysis

- 6 The Council's net budget is £119.6m. Following on from previous years, the challenge of delivering savings continues with £6m to be achieved in order to reach a balanced budget. Early forecasts indicate the Council is facing financial pressures of £636k and an overview of this forecast, on a directorate by directorate basis, is outlined in Table 1 below. The position will continue to be monitored carefully to ensure that overall, expenditure will be contained within the approved budget. The following sections provide more details of the main variations and any mitigating actions that are proposed.

2016/17 outturn		2017/18 Forecast Variation
£'000		£'000
-32	Children, Education & Communities	+344
+724	Economy & Place	+395
-259	Customer & Corporate Services	-200
+191	Health, Housing & Adult Social Care	+447
-1,166	Central budgets	-350
-542	Total	+636
-549	Contingency	-926
-1,091	Total including contingency	-290

Table 1: Finance overview

Children, Education & Communities

- 7 A net overspend of £344k is forecast primarily due to children's social care, transport and potential redundancy costs.
- 8 Children's Social Care (CSC) staffing budgets are currently projecting a net overspend of £127k, mainly due to expensive agency staff being used to cover important but hard to fill social worker posts. In light of this, and as reported to Staffing & Urgency Committee in July, additional costs of £59k will be incurred this year paying 'golden hello' and 'golden handcuff' payments to new and existing staff in the referral and assessment team, along with a major social work recruitment advertising campaign

estimated at £30k. This should result in a reduction in costs going forward.

- 9 Based on the current numbers of Looked After Children (LAC) being maintained throughout the rest of the year there is a net projected overspend on placement costs of £207k, including £98k on local fostering and £105k on out of city placements. This is offset by a net projected underspend on inter-agency adoption fees of £124k.
- 10 Within the Dedicated Schools Grant (DSG) funded Special Educational Needs budgets there is a net projected underspend of £453k. This is mainly due to savings on out of city education placements in light of the on-going efforts to support as many young people as possible in York.
- 11 Local Area Teams budgets are projecting a net £333k underspend, mainly due to the early delivery of the full £1.4m saving in advance of the final £300k budget being removed from 2018/19. There is a net projected underspend of £101k within School Improvement due to a number of staffing vacancies, particularly within the Skills Team, offset by some additional costs including for the LAC virtual school head teacher.
- 12 Home to School Transport budgets are currently projected to overspend by a net £287k. There are significant pressures within SEN taxi budgets where inflation has been higher than expected and additional costs may be being incurred as more high needs pupils return to the city as a result of the Make York Home project, resulting in not all of the savings planned for 2017/18 being delivered. This is partly offset by some small contractual savings on mainstream school bus contracts.
- 13 Following the early delivery of some budget savings, there is additional pressure on the directorate's £100k budget for early retirement and redundancy costs. Although the majority of costs will be offset by the savings achieved, a one off over spend of £200k is forecast for 2017/18. A number of other more minor variations make up the overall directorate position.

Economy & Place

- 14 A net overspend of £395k is forecast primarily due to shortfalls in income from planning and Automatic Number Plate Recognition (ANPR) enforcement.
- 15 Parking income for the first three months is 8.4% higher than 2016/17, but this is primarily due to the timing of Easter, and early forecasting suggests a £50k overachievement of income. This is offset by a forecast shortfall in

Penalty Charge Notice (PCN) income (£29k), backdated car park electricity costs of £21k and other additional operational costs (£23k).

- 16 There is a forecast underspend across waste services of £103k. This is primarily due to savings in waste disposal from the Teckal arrangement and waste PPP costs and increased income from the recycling rebate. This is offset by additional costs within waste collection whilst awaiting the delivery of new recycling vehicles and expected reduction in repair and hire costs once the vehicles no longer traverse the landfill site at Harewood Whin.
- 17 There are overspends of £266k on ANPR enforcement due to lower than anticipated net income from the scheme. The Coppergate ANPR Scheme implementation has had lower revenues than those seen previously and operational costs are not realising any economies of scale. There are also forecast overspends on CCTV as budgeted income to support the service has not yet been identified. These overspends are in part offset by mitigating savings from the West Yorkshire Transport Fund (WYTF) (£100k), additional income from Leeds City Region (£54k) and mitigating savings across road safety activities (£32k).
- 18 There is a forecast overspend on public realm operations of £174k due to various operational overspends including staffing (£36k), transport (£44k), repairs (£38k) and supplies (£40k).
- 19 A £240k shortfall in planning fee income is forecast due to a lower number of large planning fees. It is expected that as progress is made on the local plan then income from developers will increase. A number of other minor variations make up the directorate position.
- 20 A range of actions are being undertaken within the directorate to try to bring expenditure within the approved budget and reduce the projected overspend as far as possible by the year end. Actions being progressed or considered include:
 - Review of external funding streams to seek opportunities to maximise the impact on the revenue position
 - Reviewing working patterns and the use of agency staff.
 - Consideration of in year savings and revenue opportunities.

Customer & Corporate Services

- 21 A net underspend of £200k is forecast and this is predominately due to additional income within bereavement services of £115k and staffing vacancies across a range of services including finance and democratic services. Agreed budget savings are being delivered in line with the

original plans across a number of areas, including those within customer services. A range of other minor variations make up the directorate position. Work will continue to try and identify additional savings to help the overall position.

Health, Housing & Adult Social Care

- 22 A net over spend of £447k is forecast for the directorate, mainly due to pressures within Adult Social Care.
- 23 There is a £274k underspend within the direct payment budget. Spend has gone up by £101k but this has been offset by increased customer contributions (£254k) and increased Continuing Health Care (CHC) income (£122k). The new operating model will increase the spend in this area as the year progresses but this will be more than offset by savings in other areas, predominantly the community support budgets, as local communities can offer individuals a greater choice in how their needs are met.
- 24 The Better Care Fund (BCF) for 2017/18 and 2018/19 is close to being agreed and recommendations made to the Health and Wellbeing Board. There is unlikely to be a significant change in the overall investment in 2017/18 as the improved Better Care fund is largely needed to support stabilise existing commitments which would otherwise cease due to the NHS financial position and have a negative impact on the broader system, but there is greater scope for investment in 2018/19 and the council and the Vale of York Clinical Commissioning Group (VoY CCG) are evaluating the options.
- 25 The Older Persons' community support budget is forecast to overspend by £184k due to an increase in the cost and volume of the tiered contracts and non delivery of the agreed budget savings (£241k).
- 26 The community support for Learning Disability (LD) customers is forecast to underspend by £320k. Continuing Health Care (CHC) income is forecast to be above expectations by £214k whilst there are fewer customers than budgeted (£106k).
- 27 There is a continuation of the 2016/17 overspend forecast for LD external residential placements of £714k as some high cost customers did not move into supported living schemes as expected. There is also an overspend forecast on Supported Living schemes (£370k). Whilst this increase in expenditure was expected, it was intended it would be mitigated by reviewing the level of support required in the schemes. This review is now being progressed.

- 28 The Older Persons' Home budget is forecast to overspend by £437k due to the reduction in customer income as the service is modernised and services reduce capacity pending the outcome of formal consultations regarding future use, but also due to staffing overspends.
- 29 The pressure from the Mental Health working age residential care customer group increase continues into 2017/18 (£204k). Work is being taken forward with Tees Esk and Weir Valley NHS provider to develop the service model to reduce dependence on a bed based approach.
- 30 There is a saving of £295k expected from the implementation of a new operating model. This was initially based on reducing staffing levels but has since been wrapped up in a larger challenge to deliver £1.8m of savings across the external care budgets and care management function. The assumption is that these savings will not be achieved in year due to a delay in starting the programme of work and the implementation phase not now expected to start before Autumn.
- 31 The Department has identified areas to mitigate the overspend to bring it back to a balanced position. These include:
- Review the level of support in the Supported Living Schemes with a view to reduce/restructure the schemes to create a saving (£150k)
 - Use the underspend on the base Care Act budget (£454k) to offset pressures
- 32 There are pressures of £140k within Public Health. However this can be funded within the overall Public Health grant. The main variation relates to the substance misuse contract (£121k) as the provider went into administration earlier in the year.
- 33 A projected over spend of £75k across Housing and Community Safety is due to a number of small variations. A range of other minor variations make up the overall directorate position.

Housing Revenue Account

- 34 The Housing Revenue Account is budgeted to make an in year surplus of £3.1m. A review of the budgets in the area shows that, overall, a surplus of just under £3m is now forecast.
- 35 Repairs and maintenance is forecast to overspend by £300k. New processes have been implemented to ensure internal skilled workers pick up work previously allocated to subcontractors in order to reduce

expenditure. It is expected that reductions will be made but it is again unlikely that the full savings will be achieved in this financial year

- 36 Fire risk assessments are currently being undertaken in all of the 420 communal areas of our properties following the Grenfell Tower fire. The value of such work is not yet known until the assessments are complete but will most likely have a further pressure on the repairs and maintenance budget.
- 37 A range of smaller underspends make up the overall variation.
- 38 The working balance position at 31 March 2017 was £22.64m. This is higher than forecast in the latest business plan (£20.2m) due to under spends achieved in previous years.
- 39 The projected outturn position outlined in paragraph 34 means the working balance will increase to £25.6m at 31 March 2017. This compares to the balance forecast within the latest business plan of £25.8m.
- 40 The working balance is increasing in order to start repaying the £121.5m debt that the HRA incurred as part of self financing in 2012. The current business plan assumes that reserves are set aside to enable to the debt to be repaid over the period 2023/24 to 2042/43. An update of the business plan is due to be presented to members later in the year. This will consider opportunities to create a new capital investment reserve to support further council house building initiatives and the impact that has on debt repayment.
- 41 Detailed information and regulations are still awaited regarding forthcoming changes to HRA legislation including the sale of high value properties. While the full extent of the impact of these changes is not yet known, the HRA will be required to make significant efficiencies in order to mitigate the reduction in income without reducing the HRA balance below prudent and sustainable levels.

Corporate Budgets

- 42 These budgets include Treasury Management and other corporately held funds. It is anticipated that a £350k underspend will be achieved, predominantly as a result of reviewing some assumptions on the cash flow position following a review of the profile of planned capital expenditure which will mean less interest being paid than previously anticipated.

Contingency

- 43 As outlined in the 2017/18 budget report presented to Executive on 9th February a contingency of £500k was approved. In the 2016/17 outturn report presented to Executive on 29th June the remaining balance of £549k from the 2016/17 general contingency was added to the balance available for 2017/18. A further report to the same Executive agreed to allocate £122.4k of contingency to community flood resilience resulting in a total balance available of £926.6k. Members are asked to note that this may be required to deal with some of pressures outlined in this report. Any decisions regarding the allocation of this sum will be brought to a future meeting.

Loans

- 44 Further to a scrutiny review, it was agreed that these quarterly monitoring reports would include a review of any outstanding loans over £100k. There are 2 loans in this category. Both loans are for £1m and made to Yorwaste, a company part owned by the Council. The first was made in June 2012 with a further loan made in June 2017 as agreed by Executive in November 2016. Interest is charged on both loans at 4% plus base rate meaning currently interest of 4.25% is being charged. All repayments are up to date.

Performance – Service Delivery

- 45 The Performance Framework surrounding the Council Plan for 2015-19 launched in July 2016 and is built around three priorities that put residents and businesses at the heart of all Council services.
- 46 The Council Management Team and Executive have agreed a core set of thirty indicators to help monitor the council priorities and these provide the structure for performance updates in the following sections. Some indicators are not measured on a quarterly basis but the DoT (Direction of Travel) is calculated on the latest three results whether they are annual, quarterly or monthly.
- 47 Of these 30 strategic indicators, 24 have stayed the same, 1 is still under development and there have been improvements, since the last period, in the following 5 strategic indicators:
- % of Talk-about panel confident that they could find information on support available to help people live independently (Paragraph 63)
 - % of Talk-about panel who agree that they can influence decisions in their local area (Paragraph 81)
 - % of Talk-about panel satisfied with their local area as a place to live (Paragraph 84)
 - Median earnings of residents – Gross Weekly Pay (Paragraph 93)
 - % of Talk-about panel who give unpaid help to any group, club or organisation (Paragraph 105)

One indicator, Delayed Transfers of Care from Hospital attributable to Adult Social Care, is no longer collected in 2017/18 but the measure is due to be re-defined by the Department of Health. Further details on these changes can be found in paragraph 57.

- 48 Council performance is continuing in the right direction and despite increasingly complex customer needs and/or demand for services, we continue to see good progress.
- 49 Within recently received data, feedback from residents on their council services has been widely positive, on their interactions with service, and opportunities to influence and define future services. We continue to use this information, comment and feedback to help prioritise interventions to improve performance levels.

Performance – Overview

		2014/15	2015/16	2016/17	Q1	Benchmark	DoT	
Service Delivery	A Focus on Frontline Services	Number of Looked After Children (Snapshot)	55	53	55	54.32	Below National and Regional Average	➡
		Number of Incidents of ASB within the city centre ARZ	2,576	2,305	2,175	487	NC	➡
		Household waste recycled / composted - (YTD)	42.50%	42.80%	44.00%	(Avail Sep 17)	Same Regionally	➡
		Delayed transfers of care from hospital which are attributable to adult social care, per 100,000 population (YTD Average)	6.3	6.9	7.49	NC	Above National and Regional Average	➡
		% of panel confident they could find information on support available to help people live independently	NC	NC	65.46%	70.51%	NC	⬆
		Proportion of adults in contact with secondary mental health services living independently, with or without support	55.10%	28.50%	39.21%	49.35%	Below National and Regional Average	➡
		% of physically active and inactive adults - active adults	62.18%	67.90%	(Avail Feb 18)	NC	Above National and Regional Average	➡
		Average Progress 8 score from KS2 to KS4	NC	0.04	(Avail Oct 17)	NC	Above National Average	➡
		Number of days taken to process Housing Benefit new claims and change events (DWP measure)	5.91	5.87	5.58	4	Above National Average	➡
	A Council That Listens to Residents	% of panel who agree that they can influence decisions in their local area	NC	NC	25.65%	28.41%	Above National Average	⬆
		% of panel satisfied with their local area as a place to live	NC	NC	89.84%	91.23%	Above National Average	⬆
		% of panel satisfied with the way the Council runs things	NC	NC	65.54%	64.76%	Above National Average	➡
		Overall Customer Centre Satisfaction (%) - CYC	58.15%	91.54%	92.48%	93.23%	NC	➡
	A Prosperous City for All	%pt gap between FSM and non-FSM pupils at 15, who attain a Level 3 qualification by the age of 19 - (Snapshot)	41.70%	32.00%	(Avail Apr 2018)	NC	Above National and Regional Average	➡
			(2012-13)	(2013-14)	(2014-15)	(2015-16)		
		Median earnings of residents – Gross Weekly Pay (£)	476.9	496	509.6	NC	Below National Average	⬆
		Net Additional Homes Provided - (YTD)	507	1,121	977	NC	NC	➡
		Business Rates - Rateable Value	NC	NC	£247,348,791	£255,784,571	NC	➡
		One Planet Council - All Resources - Total CO2 (t) (triennial measure)	15,204	NC	-	-	NC	➡
	% of panel who give unpaid help to any group, club or organisation	NC	NC	64.30%	66.44%	Above National Average	⬆	
Organisational Health Check	Performance	Red rated Major Projects - CYC	NC	0	1	1	NC	➡
		Amber rated Major Projects - CYC	NC	5	5	6	NC	➡
		Overall Council Forecast Budget Outturn (£000's Overspent / -Underspent)	£-688	£-876	£-542	£636	NC	⬆
	Employees	PDR Completion (%) - CYC - (YTD)	58.00%	59.00%	75.90%	41%	NC	➡
		Staff FTE - CYC Total (Excluding Schools) - (Snapshot)	2,194	2,104	2,071.6	2,043.2	NC	➡
		Average sickness days lost per FTE - CYC (Excluding Schools) - (Rolling 12 Month)	11.4	10.1	10.2	10.2	Above National Average	➡
		Voluntary Turnover (%) - CYC Total (Excluding Schools) - (Rolling 12 Month)	7.00%	7.00%	7.60%	8.30%	NC	➡
		% of external calls answered within 20 seconds - CYC	91.27%	88.15%	89.01%	87.57%	Above National Average	➡
	Customers	% of complaints responded to within 5 days	NC	NC	75.40%	73.20%	NC	➡
		FOI & EIR - % In time - (YTD)	94.00%	95.60%	93.14%	92.50%	NC	➡
Digital Services Transactions / Channel Shift					Measure under development	NC	➡	

NC = Not due to be collected during that period,

A Focus on Frontline Services

Number of Children Looked After - this measure gives an understanding of the efficiency and effectiveness of a key front-line service which has impacts on vulnerability and the life chances of children

50 There were 201 children and young people in care at the end of June 2017. Against a backdrop of a significant number of national and local agencies struggling with meeting rising demand and costs, we are pleased to see that the number is within the safe and expected range.

51 The council is committed to placing as many looked after children in its care as possible within York placements and is therefore seeking to increase the number of foster carers by up to 25 households. This will enable more flexibly to match children and young people with the right foster carers and continue to bring young people back to York, when this is the right plan for them. To help achieve this, the council has signed up to the 'You Can Foster' regional initiative, helping with wider advertising campaigns such as television adverts to be screened in June 2017, September 2017 and January 2018. The campaign was launched during "Fostering Fortnight" in May 2017, an event which involved foster carers and children in care, and ran alongside York-led adverts on local radio and in the local press.

52 The Local Area Teams (LATs) were launched in January 2017 and are the centrepiece of York's early help arrangements for children, young people and families from pregnancy through to adulthood. The teams are now operating in our areas of highest need, based in Hob Moor, Tang Hall and Clifton but have responsibility for the local offer of the wider reach areas. The city centre young person's offer is delivered through resources drawn from the LATs rather than a distinct central resource. The purpose of a LAT is to; prevent the escalation of needs which may require, if not addressed, complex and costly interventions at a later point; work to reduce inequality of outcomes for our communities; multi-agency and bring together all partners in a local area that exist in the lives of children, young people and families; establish and understand what families or communities need and bring together partners to find a solution.

Number of Incidents of Anti-Social Behaviour within the city centre - this measure gives an understanding of the impacts of Anti-Social Behaviour on Leisure and Culture and therefore the "attractiveness" of the city

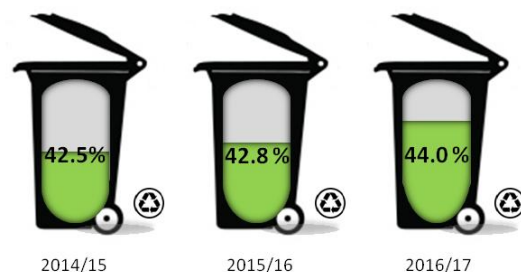
53 There have been 2,178 North Yorkshire Police Recorded ASB Calls for Service during Q1 of 2017/18; this is a 12% decrease on the total number recorded during Q1 of 2016/17 (2,486). During Q1 of 2017/18, there have been 412 alcohol related ASB incidents which is a 9% increase on the 379 incidents reported during Q1 of 2016/17.

- 54 A new Taxi Marshalls pilot is currently being trialled, and is fully supported by the Dean Court Hotel, the Hackney Carriage Taxi Association and the Guildhall residents committee. Two marshals are stationed at Duncombe Place taxi queue on Friday and Saturday nights between 10pm and 4am to manage the queue, report anti-social activity and deliver an efficient and orderly service. The trial is designed to address concerns from businesses, residents and tourists regarding the late night anti-social behaviour at this location. The marshals are Security Industry Authority (SIA) trained and have radio communication with the Police and local partners. Their work has already led to reports of reduced noise, violent and anti-social behaviour levels.

Household waste recycled / composted - this measure gives an understanding of a key outcome of the Council plan

- 55 In 2016/17 there were over 5 million refuse and recycling collections with the recycling rate within the city increasing to 44% (43% 2015/16). Residual waste per household reduced to 553kg per household (565kg in 2015/16). 52% of respondents to the latest Talkabout survey thought that the Council and partners are doing well helping to reduce amount of household waste.

Household waste recycled / composted



- 56 Q1 in 2017/18 saw the successful roll out of Phase 1 of the Waste Services Review which saw the green waste and recycling service extended to include approximately 800 rural properties who didn't previously receive these collections.

Delayed transfers of care from hospital which are attributable to adult social care - this measure gives an understanding of how well our health and social care services are integrated

- 57 A delayed transfer of care occurs when a hospital patient is deemed medically fit to be discharged, but cannot be released from hospital because they are awaiting a package of care from either the NHS and/or a local authority. The number of days that hospital patients are delayed in these circumstances are aggregated and measured to show how well NHS and local authority adult social care services are working together. Patients are recorded as having entered hospital via an "acute" (Accident and Emergency) pathway or via a "non-acute" (other method, for example by entry to a provider of mental health services) pathway.
- 58 Patient snapshot data is no longer being collected by NHS England in 2017/18. This affects the two DToC national indicators ASCOF2C1 and

2C2 which use patient counts in their calculations. Revised DToC indicators for 2017/18 are under development by the Department of Health and details will be released in due course, but they are likely to use bed days as their source.

- 59 There continues to be a downward trend in the number of days that patients are delayed leaving hospital that are attributable to adult social care. In 2016/17, on average, patients were delayed for 3.73 days in hospital due to adult social care; in the year to May 2017 (the latest period for which figures are available), this average had reduced to 3.28 days. Focusing on how patients entered hospital, the total number of days delayed for patients in the “acute” pathway continues to decrease over time (in the three months to May 2017 compared with 275 in the previous three months), and, similarly, there is a decrease for patients in the “non-acute” pathway (a total of 371 delay days in the three months to May 2017 compared with 513 delay days in the previous three months).
- 60 The Better Care Fund (BCF) provided CYC and the Vale of York Clinical Commission Group (VoY CCG) with finances to work together on a range of measures, including delayed transfer of care, aimed at improving outcomes for NHS and adult social care users in the City of York area. The total number of days that patients have been delayed during the year to May 2017 was 10,436 which equates to, on average, 28.6 beds each day being occupied because of DToC, although during the most recent three-month period this figure was 24.5. The proportion of delays attributable to adult social care during the most recent three month period to May 2017 (35%) was less than in the previous three month period (36%).
- 61 NHS England have recently set extremely challenging targets aimed at ensuring that no more than 3.5% of beds are occupied by patients subject to DToC in the Vale of York CCG area by November 2017. CYC and the VoY CCG will continue to work together to try and ensure further reductions in the amount of DToC by this time.
- 62 On the basis of previous data, York has been selected for a review by the Care Quality Commission (CQC) in relation to the health and social care system and delayed transfers of care. The review will highlight what is working well and where there are opportunities for improving how the system works. Adult Social Care is already showing improved performance in these areas, which presents the opportunity to share our improvement journey.

% of residents confident they could find information on support available to help people live independently - this measure gives an understanding of residents' ability to support themselves in line with new adult social care operating model

- 63 71% of the respondents to the latest Talkabout survey (an increase from 64% in Q1 2016/17), are confident they could find information on support available to help people live independently with 60% saying that they could find this information on the CYC website and 51% by contacting their GP.
- 64 Avoiding permanent placements in residential and nursing care homes is a good measure of how effective packages of care have been in ensuring that people regain control of their lives. Research suggests that, where possible, people prefer to stay in their own home rather than move into residential care. The rate at the end of Q1 2017-18 for younger adults (aged 18-64) requiring permanent residential and nursing care is lower than a year earlier, with 1.49 younger adults per 100,000 population being placed into these homes compared with 2.25 per 100,000 population during Q1 2016-17. For older people the rates of those assessed as needing to go into residential care during Q1 2017-18 was lower than the corresponding period a year earlier (120 per 100,000 population in 2017-18 compared with 189 per 100,000 population in 2016-17).
- 65 A Residential Care Panel sits weekly and scrutinises new requests for Residential Care. The key is to ensure that this is the most appropriate option for the individual.
- 66 Our Sheltered Housing with Extra Care facilities are being extended, with provision for overnight care, which is not planned care. This should mean that fewer customers have to go into residential care. We are working closely with our health colleagues in the community response team and with the Priory Medical Group GP practices to help reduce deterioration in physical and social functioning.
- 67 Glen Lodge Housing with Extra Care Scheme is seeing £4 million of investment to increase and further improve care services for older people. Designed specifically for the needs of those with dementia, 25 new flats and 2 new bungalows are being built with the aim of residents moving in later in the summer. The help and support available to residents will be available 24 hours a day, 7 days a week to enable more people with higher care and support need to live there.
- 68 We are working increasingly towards using a strength-based approach involving communities and their assets, which we hope will delay progression of a citizen's journey towards needing 24-hour care provision and maintain them in their own home within their community. This is a longer-term view but we hope this will reap longer-term rewards and mean a reduction in admissions to residential care.

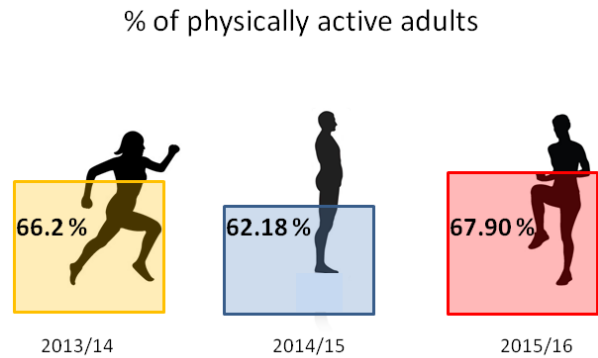
Proportion of adults in contact with secondary mental health or learning difficulties services that are living independently - this measure gives an understanding of adults' social care users perception of their ability to support themselves

- 69 Improving employment and accommodation outcomes for adults with mental health and learning difficulties are linked to reducing risk of social exclusion and discrimination. Supporting someone to become and remain employed is a key part of the recovery process, while stable and appropriate accommodation is closely linked to improving people's safety and reducing their risk of social exclusion. The data provided at 2017-18 Q1 shows that the percentage of those with learning disabilities in employment increased to 8.45%, compared with 7.62% at the end of 2016-17 Q4. The data provided also showed, at the end of 2017-18 Q1, that 81% of those with learning disabilities were living in their own home or with family and friends which is a slight increase from the 80% reported at the end of 2016-17 Q4.
- 70 At the end of 2017-18 Q1 10.45% of all clients in contact with secondary mental health services were in employment, which represents a marginal increase compared with that reported at the end of 2016-17 Q4 (10.39%) and represents good progress in ensuring that employment is obtained for this group (this rate has more than doubled in the last 12 months). There has also been considerable progress during the last 12 months in obtaining suitable accommodation for this group: although the 2017-18 Q1 rate that 49% were living independently represents a slight fall from the 2016-17 Q4 rate (52%), this is more than double the rate reported at the end of 2016-17 Q1 (21%).
- 71 CYC is currently developing an Adult Learning Disabilities strategy and continues to engage and consult on a draft Mental Health strategy. The Transforming Care Plan will continue to review and develop services for those with Learning Disabilities and those in contact with secondary Mental Health services.

% of Physically Active Adults (to be replaced by people engaging with Wellbeing service after launch) - this measure gives an understanding of the overall health of the cities residents

- 72 A new wellbeing service for York residents has launched, led by City of York Council's public health team, which seeks to streamline all the healthy living services giving residents access to advice and support. Residents are encouraged to have a free health check online which aims to tell people about their risk of preventable health conditions.
- 73 Data on physical activity for York residents is now being obtained from the health checks conducted by the Yorwellbeing Team. From the first 50 workplace health checks carried out, over 75% of people reported doing at least 150 minutes moderate intensity physical activity per week.

74 An Active Lives Survey carried out by Sport England showed that in 2015/16 York had a lower % of people (19.7%) who are physically inactive compared with the national (22%) and regional (24%) averages; a higher % of people who are physically active (67.9%) compared with the national (65.4%) and regional (64%) averages and a higher % of people who had taken part in sport and physical activity at least twice in the last 28 days (82.7%) compared with the national (77.2%) and regional (75%) averages.



75 Residents who responded to the Talkabout survey in April 2017 were asked for one thing they could do to improve their health in the next year and the responses were very similar to the answers given in previous surveys. Exercise was mentioned most frequently along with comments related to access to health related services and GP waiting times.

Average Progress 8 score from Key Stage 2 to Key Stage 4 - this measure gives an understanding of educational attainment levels within the city

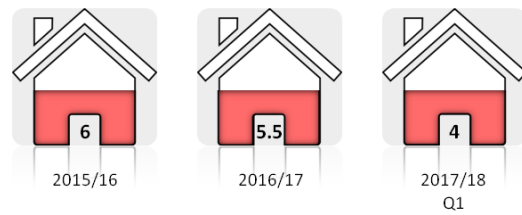
76 Progress 8 is a measure of the progress made by pupils between Key Stage 2 and selected subjects at GCSE. It is calculated for every pupil and progress in English and Maths is double weighted. A positive score represents progress above the average for all pupils and a negative score progress below the average for all pupils. The city wide average of Year 11 pupils Progress 8 score shows York is slightly above the national average and inside the top third of LAs nationally. The council commitment for school improvement and the facilitation of driving up standards has included the expansion of two primary schools with new school buildings at Lord Deramores and Carr Infants school sites.

77 2017 un-validated data for Early Years shows that York remains above both regional and national averages for the percentage of children achieving a good level of development. Attainment and progress outcomes in KS1 and KS2 have both shown improvement in 2017, with a marked improvement in the percentage of children achieving the expected standard in writing across both key stages. This has previously been a key priority for improvement and led to the initiation of the writing project in 2016/17.

Number of days taken to process Housing Benefit new claims and change events - this measure gives an understanding of the efficiency and effectiveness of a key front-line service

- 78 There has been significant improvement in performance over the past 3 years and, in October 2016, new on-line benefit claim forms were introduced to speed assessment times. This has continued to reduce the average number of days taken to process a new Housing Benefit claim or a change in circumstance to 4 days at the end of Q1 2017/18, which is the best performance on record for the Council.

Number of days taken to process Housing Benefit new claims and change events (DWP measure)



- 79 Regionally our performance is positive and for the first time we are the highest performer (4 days compared to a regional average of 7.7 days). Introducing performance incentives and streamlining our working practices has contributed to seeing the work outstanding fall and continue to remain at a record low.

A Council That Listens to Residents

- 80 Talkabout, our citizens' panel, is comprised of a representative sample of around 1,000 York residents who are invited to complete a bi-annual survey to capture a variety of resident satisfaction measures across all areas of council business.

% of residents who agree that they can influence decisions in their local area - this measure gives an understanding of residents' recognition about how we are listening and reacting to residents views

- 81 The latest national figure of 27% (Community Life Survey 2016/17) is consistent with the 26% of respondents to the latest Talkabout survey in York who agreed that they could influence decisions in their local area. The York figure is a slight increase from the result in Q1 2016/17.

% of residents who have been actively involved in redesigning and delivering services - this measure gives an understanding of residents' recognition about how they are involved in service redesign

- 82 Community forums for a number of the major planning projects have been setup in order to discuss, listen and communicate with residents the plans and progress of these schemes.

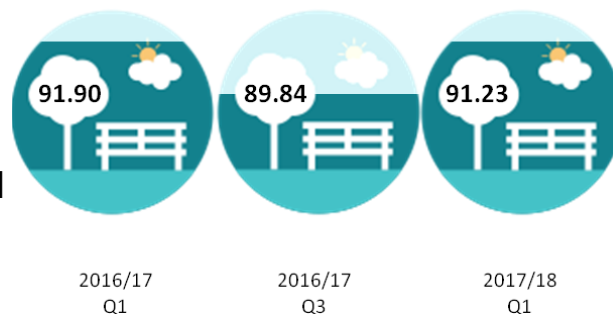
- 83 A draft Poppleton Neighbourhood Plan has been developed by a team of local volunteers, with the support of the two parish councils of Nether and Upper Poppleton. Residents, businesses, landowners and developers have all been consulted over the last three years and statutory bodies such as Historic England, Natural England and the Environment Agency have been consulted. A questionnaire has been sent out to almost 2,000 homes in the villages asking for input with 700 responses received. A vote

will take place on August 23rd to decide whether the plan should be adopted.

% of residents satisfied with their local area as a place to live - this measure gives an understanding of residents' views about the area and the quality of their ward / neighbourhood

84 The latest national figure is 78% (Community Life Survey 2016/17) and in York, 93% of respondents to the latest Talkabout survey are satisfied with York as a place to live and 91% with their local area. In another national survey (Department for Communities and Local Government, English Housing Survey) 88% of respondents were either very or fairly satisfied with their local area.

% of panel satisfied with their local area as a place to live



85 90% of respondents to the latest Talkabout survey agreed that it is important to feel they belong to their local area and 78% (up from 75%) agreed that they did belong. This score is favourable compared to the National benchmark scores of 62% in the Community Life Survey 2016/17 and 69% from LG Inform. There were 79% of respondents, a decrease from 81%, who agreed that York is a good place for children and young people to grow up. 75%, an increase from 70%, agreed that York is a place where people from different backgrounds get on well together.

86 During December and February, City of York Council facilitated the BID to dress the historic Bar Wall entrances to the City with sparkling lights. This proved to be a major success, with at least 10,000 related interactions on social media and positive press coverage. The BID has appointed a new contractor for the Winter 2017 campaign with the intention of capitalising on the success of this year with plans for displays on a much larger scale.

% of residents satisfied with the way the Council runs things - this measure gives an understanding of residents' satisfaction with frontline service delivery and the Council's responsiveness to residents' views

87 65% of the respondents to the Talkabout survey in Q1 2017/18 are satisfied with the way the Council runs things (66% in the same period in 2016/17) which is higher than the LG Inform benchmark figure of 50% for 2016/17, however only 49% agree that the Council provides value for money (although an increase from 45%).

% of residents who think that the Council and partners are doing well at improving the quality of streets/public spaces - this measure gives an understanding of residents' satisfaction with frontline service delivery and the Council's responsiveness to residents' views

- 88 43% of the respondents to the Talkabout survey (which represents a decrease from 45% in the same period in 2016/17) think that the Council and partners are doing well at improving the quality of streets/public spaces. More panellists were positive about how well the council was doing at improving green spaces and helping to reduce household waste.
- 89 In February approval was given to invest £2 million council capital funding into a 4 year programme of works to install 2,000 concrete and steel columns and fund structural maintenance checks for 12,000 light columns. All replacement columns with old sodium lights will be replaced with new white light LEDs. The rollout of LED lights is expected to save around 100k per annum in electricity usage and will help to further reduce environmental impacts.

Overall Customer Centre Satisfaction (%) - CYC - (being replaced with Digital service satisfaction 2017) - this measure gives an understanding of the quality of our face to face, phone and front office customer services (and in future our digital services through the CYC website)

- 90 Customer Satisfaction remains high in Q1 and has increased slightly from 2016/17 with 93% of people rating the service as either good or very good.

A Prosperous City for All

%pt gap between FSM and non-FSM pupils at 15, who attain a Level 3 qualification by the age of 19 - this measure gives an understanding of the inequality gap

- 91 Attainment at age 19 remains generally positive however there have been concerns about the outcome gap between both disadvantaged young people and young people with Special Educational Needs (SEN) and their peers. Latest figures from April 2017 show the attainment gap is closing in some areas and, to address remaining challenges, Further Education providers will be worked with and strategically supported by the council to sustain focus on these groups.
- 92 In addition, Learning and Work Advisers from the council's Local Area Teams will provide specialist information, advice and guidance to young people who are in the care of the local authority, those in alternative education provision, those in the youth justice system, and those aged 16-18 who are Not in Employment, Education or Training (NEET). Appointments and group work will be available at locations across the city based on local need and will complement the careers guidance and support provided through schools and other education providers under their statutory duties.

Median earnings of residents – Gross Weekly Pay (£) - this measure gives an understanding if wage levels have risen within the city, a key corner-stone in the cities economic strategy

- 93 In 2016 the median gross weekly earnings for residents of York were

£509.60 which was an increase of 2.82% from £496.00 in 2015. The median earnings are higher than the Yorkshire & the Humber average of £498.30 but lower than the Great Britain average of £541.00. York is currently ranked 7/22 in the region (up from 8/22 in 2015) with Selby ranked the highest with the median gross weekly pay of £549.40 and Craven ranked the lowest with a gross weekly pay of £413.10. Figures for 2017 will be available in November.



- 94 Figures from the Office for National Statistics showed there were 560 JSA claimants in York in June 2017 which is a decrease of 55 from the previous month but an increase of 15 from June 2016. The claimant count for York represents 0.4% of the working population, which is lower than both the regional and national figures of 1.5% and 1.2% respectively in June 2017. The recent figures also highlight a rise of 5 in the youth unemployment count since June 2016. The youth unemployment figure of 0.2% is lower than both the regional and national figures of 1.2% and 0.9% respectively.
- 95 Data released by the Department of Work and Pensions is published 6 months in arrears and the latest data relates to November 2016. The total number of working age Benefit Claimants continues to fall (a reduction of 160 to 8,750 from 8,910 in August 2016). This represents 6.4% of the working age population and is lower than both the regional and national figures of 12.6% and 11.1% respectively. The reduction is predominantly due to a decrease in the number of Out of Work Benefit Claimants (a 1.16% reduction to 6,790 from 6,870 in August 2016).
- 96 According to the ONS, the amount that families have to spend after tax and benefits are taken into account fell by 2% in the first quarter of 2017 compared to 2016 which was the biggest decline for more than five years. This was due to the rise in inflation, which hit 2.3% in the year to March. The real household disposable income measure is adjusted for inflation, meaning that rises in the cost of living result in lower disposable income. Over the same period, wages rose by just 2.1%. Real household income per head has now fallen for three months in a row, the first time that has happened since 2013.

Net Additional Homes Provided - this measure gives an understanding of how many new homes have been built in the city

- 97 The latest data (Q4 2016/17) shows that there were 977 additional homes provided up to the end of the financial year which is a reduction from the 1,121 provided for the same period in 2015/16. Of these additional

homes, 16% were for off campus privately managed student schemes and 26% were from sites benefitting from relaxed permitted development rights to allow conversion to residential use. Some 451 net housing consents were granted (39% for sites benefitting from the relaxation of permitted development rights). Figures for the six months up to the end of Q2 will be available in October.

- 98 The build of eight new two-bedroomed apartments has recently been completed by contractor ESH Property Services. The build allows tenants the opportunity to downsize, freeing up larger council houses for growing families. The apartments are easily adaptable to tenants' changing needs and all achieve high levels of fuel efficiency through insulation and highly efficient heating systems.

Business Rates - Rateable Value - this measure gives an understanding of how much money the Council is likely to receive to spend on public services

- 99 The rateable value is the legal term for the notional annual rental value of a rateable property, assessed by the valuation officers of the VOA (Valuation Office Agency). The revaluation from 1st April 2017 resulted in a 4.14% percentage change increase in the rateable value for York with Yorkshire, whilst England increased by 9.1%. Currently English authorities keep hold of 50% of locally-collected business rates with the other half going into a central government pool and redistributed back to the local authorities according to need.
- 100 The introduction of new online forms including direct debit forms promote low cost swift billing and collection, and has increased the collection rates for both Business Rates and Council Tax. The use of "Analyse" software has been used to identify increases in rateable values which has been maximising the collection rates. The collection rate for Council Tax at the end of Q1 was 29.55% compared with 29.70% in the corresponding period in 2016/17. This slight reduction can be attributed to more customers moving from 10 monthly payments to 12 months. The collection rate for Business Rates at the end of Q1 was 32.02% compared with 29.50% in the corresponding period of 2016/17. Last year was York's highest Business Rates collection rate on record achieving 99.04% for the full year.
- 101 The York BID has looked to change the appearance of the city centre's vacant spaces by installing window dressing options to shop fronts. Applied vinyl that projects a 3-D appearance is enhancing the atmosphere for neighbouring businesses and improving the look of the city centre for visitors and residents. An alternative way of marketing empty properties, the dressing of vacant shops is aiming to inspire and attract prospective businesses to open their doors in York. At the end of

June there were 58 vacant shops (9.21% of all shops) which is a slight decrease on the 61 vacant shops at the end of March.

One Planet Council - All Resources - Total CO2 (t) - this measure gives an understanding of how many resources the Council is consuming, potential impact on the environment, and progress towards reducing

102 On 16 March 2017, the Executive approved the use of the One Planet Council framework, which set out the Council’s ambition to put social, economic and environmental sustainability and resilience at the heart of its decision-making processes. Executive also agreed to the use of the ‘Better Decision Making’ tool which will embed the One Planet principles into the decision-making processes across the Council.

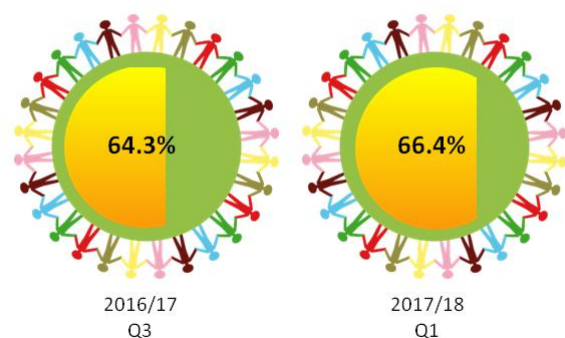
103 The Council and First York have extended their partnership delivering York’s Park & Ride service with a new seven year contract commencing in early 2018. The new agreement will see fully electric buses operating on three of the six routes. A new electric double decker bus will be trialled to support the council in its aim to improve air quality by reducing emissions and encouraging car users to switch to bus travel.

104 The City of York’s Sightseeing Bus fleet, operated by Transdev, is currently being converted from diesel to electric operation. Two of the buses will be in operation from the end of July with all six set to be converted this year.

% of residents who give unpaid help to any group, club or organisation - this measure gives an understanding of how much volunteering is currently being undertaken within the city

105 66% of the respondents, who responded to the Talkabout survey (April 2017), give unpaid help to a group, club or organisation which still compares favourably with the government’s Community Life Survey 2016/17 which found that 63% of respondents reported any volunteering in the past 12 months.

% of panel who give unpaid help to any group, club or organisation



106 In April, the thirteenth makeover of older people’s accommodation by young people who have experienced homelessness was undertaken at City Mills, a City of York Council sheltered accommodation scheme on the banks of the River Ouse. This latest project helped to transform City Mills’ tenants’ outdoor space into a brighter, more appealing area.

107 The Enable project has been running for two years and brings together young people from Safe and Sound Homes (SASH) and older people who need a helping hand. The younger people are challenged to complete

tasks such as decorating and gardening and are helped with the work by council and SASH staff. The young volunteers learn skills which will be useful for when they have a place of their own, while the older people get to pass on their knowledge and make new friends.

Performance

Major Projects - this measure gives an understanding of the performance of the large projects the Council is currently working to deliver

108 There are currently 10 major projects in progress (the same as Q4). Each project is given a status to give an overview of significant risks and provide assurance as to how individual projects are being managed. 6 are rated Amber (5 in Q4) and there is 1 red rated project (Digital Services - CRM). In terms of the Major Projects, Local Area Teams has been removed from the list as the project is complete and work has transitioned to business as usual. In Q1 a new project has been added to the list (Housing Development) which is a programme of council-led housing delivery in partnership with the HCA. The programme encompasses many sites including Lowfield Green, Burnholme, Askham Bar, the former Clifton Without school site and the former Manor school site.

Performance – Other

109 The Voice and Involvement Group has completed work to develop a new Voice and Involvement Strategy. The new strategy will be presented to the YorOK Board and the LSCB to be adopted by the wider partnership. Following the development of the new strategy a 2017 Review of Voice will be undertaken to capture key messages from children and young people and provide clear actions on the development of children and young people's involvement.

110 On the 26th June a Primary Voice event was held at West Offices. John Hattam, Community Liaison Officer from Clifton Green Primary School, led on the development of the event which was jointly hosted by the Communities and Equalities team and the Local Area Teams.

111 Over 70 children with staff from 18 primary schools in York attended the event at West Offices. They took part in workshops giving them the opportunity to speak directly to local councillors from each of the main parties, explore how ward funding is spent and how campaigns are run. The event focused on listening to the views of the children whilst giving them an insight into the way in which the local authority works. The children were supported at the event by York's Member of Youth Parliament, Dominic Bielby and Chair of Youth Council, Joseph Johnson-Tod.

112 The children recorded their thoughts and views throughout the course of the event. There are some fantastic ideas covering a range of issues, important to all residents in York. These have now been collated into a single document summarising messages from the day so that decision makers can give them their consideration. Our promise to the children was that their views would be listened to and shared with those that can influence change. The intention is that a follow up event is organised to feedback to the children and young people about what difference their views have made.

Performance – Employees

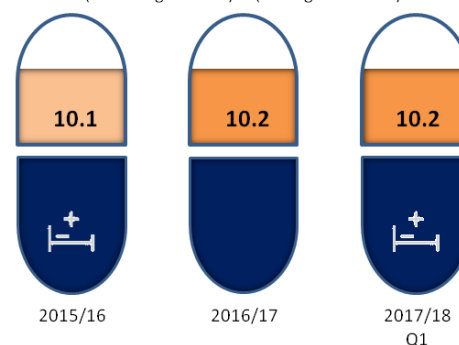
Staff Total - this measure gives an understanding of total numbers of staff, and our staffing delivery structure

113 The number of people employed by the Council (excluding schools) has decreased to 2,559 (2,043 FTEs) at the end of June, from 2,610 (2,071 FTEs) at the end of March. This decrease is expected in line with the council’s changing service delivery models.

Average sickness days lost per FTE (12 Month rolling) - this measure gives an understanding of the productivity of the organisations employees

114 The 12 month rolling average of sickness days per FTE (excluding schools) has remained constant at 10.2 days but still remains higher than the CIPD Public Sector average of 8.7 days. The 12 month rolling average for Stress related absence averaged 2.2 days per FTE in March, but has increased slightly in June to 2.4 days. The organisation is continuing to effectively manage and monitor sickness absence by ensuring that the impacts and costs are understood and discussed throughout the Council’s management structure.

Average sickness days lost per FTE - CYC
(Excluding Schools) - (Rolling 12 Month)



115 To complement our existing services, and offer permanent and fixed term contract employees around the clock access to confidential, independent, professional information and emotional support, the council has appointed Workplace Wellness to replace the independent employee support service, the Employee Assistance Programme (EAP). Workplace Wellness offers self referral to specialists and counsellors through telephone conversations and up to six sessions of face to face counselling. It is available 24/7 every day of the year and is a confidential service totally independent of the council. We hope that this service will continue to help reduce the overall sickness levels.

Staffing Turnover - this measure gives an understanding of the number of staff entering and leaving the organisation

- 116 The percentage of employees voluntarily leaving the organisation over the past rolling 12 months has increased to 8.3% (7.6% in March). This level of staffing turnover is expected and in line with the council's changing service delivery models.

Staffing PDR Completion Rates - this measure gives an understanding of how we making sure that the organisations strategic aims, goals and values are being passed to all employees

- 117 City of York Council is committed to developing confident, capable people, working positively for York. As part of that commitment, all colleagues are entitled and encouraged to reflect on their performance and discuss future aspirations and work goals through regular one to ones and an annual Performance and Development Review (PDR) appraisal.

- 118 The PDR completion rate so far in this year's performance review cycle is 41%. This is significantly higher than at the end of Q1 in the previous years, and with the majority of the remaining PDR's that are to be completed, either already started or awaiting approval, this is going to mean that final year-end levels will be significantly higher this year.

Staff Satisfaction - this measure gives an understanding of employee health and their satisfaction with the Council and a place to work and its leadership, management and practices

- 119 A staff survey will be undertaken to understand the levels of satisfaction and engagement within the Council and the validation of the People Plan implementation.

Performance – Customers

External Calls answered within 20 seconds - this measure gives an understanding of speed of reaction to customer contact

- 120 In Q1 the percentage of all external calls answered within 20 seconds was 88% which was a small decrease from 89% in 2016/17 however this is still well above the industry benchmark of 80%.

- 121 The council's Customer Centre is the main point of contact for residents and business visitors. During Q1 2017/18, the number of calls received increased considerably by 11% to 61,163 from 55,124 in the previous quarter. This increase was due to a combination of council tax annual billing and the unexpected general election. Of these calls 95% were answered, with 72% within 20 seconds which, despite a decrease from last quarter (75.7%), due to this significant increase in demand, demonstrates a consistently good performance.

- 122 The number of residents who came to West Offices decreased slightly to 14,621 (15,987 in the previous quarter) with an average wait of less than

7 minutes. 78% of residents were seen within the target wait time of 10 minutes.

123 14,354 business visitors came to West Offices during Q1 2017/18 (17,801 in the previous quarter). The reduction in demand across our face to face channel shows the changing behaviour of our residents; 4,158 payments were made using the auto payments system and 16,349 customers used the telephone auto operator.

124 Residents are now encouraged to complete certain transactions online. In Q1 2017/18, 46% (406) of all street lighting and street cleansing issues were reported by customers on-line.

% of complaints responded to within 5 days

125 In Q1 2017/18 the council received 467 stage 1 complaints, which is an increase of 18.5% on the number received in the previous quarter. The council responded to 73.2% within the 5 day timescale. Where timescales were not met, the cause was resource pressures in some service areas. Work is ongoing to ensure complaints performance is monitored and there is cross council learning from complaints in a systematic manner.

FOI & EIR - % In time - this measure gives an understanding of our speed of reaction to FOI's

126 In Q1 2017/18 the council received 414 FOIs, EIRs and SARs. In-time compliance of 90.8% has been achieved for FOIs (Freedom of Information requests) and 96.1% for EIRs (Environmental Information Regulations requests). There continues to be performance improvement for in-time compliance with Data Protection Act Subject Access to Records requests (SARs) with an increase this quarter to 84.6% which is an increase of 4% on the previous quarter.

Annexes

127 All performance data (and approximately 880 further datasets) within this document is made available in machine-readable format through the Council's open data platform at www.yorkopendata.org under the "performance scorecards" section.

Consultation

128 Not applicable.

Options

129 Not applicable.

Council Plan

130 The information and issues included in this report demonstrate progress on achieving the priorities set out in the Council Plan.

Implications

131 The implications are:

- **Financial** are contained throughout the main body of the report.
- **Human Resources (HR)** There are no HR implications.
- **One Planet Council / Equalities** There are no One Planet Council or equalities implications.
- **Legal** There are no legal implications.
- **Crime and Disorder** There are no crime and disorder implications.
- **Information Technology (IT)** There are no IT implications.
- **Property** There are no property implications.
- **Other** There are no other implications.

Risk Management

132 An assessment of risks is completed as part of the annual budget setting exercise. These risks are managed effectively through regular reporting and corrective action being taken where necessary and appropriate.

Contact Details

Authors:	Chief Officer Responsible for the report:			
Debbie Mitchell Corporate Finance & Commercial Procurement Manager <i>Ext 4161</i>	Ian Floyd Director of Customer & Corporate Services (Deputy Chief Executive)			
Ian Cunningham Group Manager – Shared Intelligence Bureau Ext 5749	Report Approved	✓	Date	18/08/17
Wards Affected: All				✓
For further information please contact the authors of the report				

Background Papers:

None

Glossary of Abbreviations used in the report:

ANPR	Automatic Number Plate Recognition	HCA	Homes and Communities Agency
ARZ	Alcohol Restriction Zone	HRA	Housing Revenue Account
ASB	Anti-Social Behaviour	JSA	Jobseeker's Allowance
AWRP	Allerton Waste Recovery Park	LAC	Looked After Children
BCF	Better Care Fund	LAT	Local Area Team
BID	Business Improvement District	LED	Light Emitting Diode
BMI	Body Mass Index	LSCB	Local Safeguarding Children Board
CCG	Clinical Commissioning Group	NEET	Not in Employment, Education or Training
CCTV	Closed-circuit television	NHS	National Health Service
CHC	Continuing Health Care	NYCC	North Yorkshire County Council
CIPD	Chartered Institute of Personnel and Development	NYP	North Yorkshire Police
CQC	Care Quality Commission	ONS	Office for National Statistics
CRM	Customer relationship management	PCN	Penalty Charge Notice
CSC	Children's Social Care	PDR	Performance and Development Review
CYC	City of York Council	PPP	Public-Private Partnership
DSG	Dedicated Schools Grant	SASH	Safe and Sound Homes
EAP	Employee Assistance Programme	SEN	Special Educational Needs
EIR	Environmental Information Regulations	SHMA	Strategic Housing Market Assessment
FOI	Freedom of Information	SIA	Security Industry Authority
FSM	Free School Meals	VOA	Valuation Office Agency
FTE	Full Time Equivalent	WYTF	West Yorkshire Transport Fund
GCSE	General Certificate of Secondary Education		



Agenda Item

Executive**31 August 2017****Report of the Director of Customer and Corporate Services
(Deputy Chief Executive)****CAPITAL PROGRAMME – MONITOR 1 2017/18****Summary**

- 1 The purpose of this report is to set out the projected outturn position for 2017/18 including any under/over spends and adjustments, along with requests to re-profile budgets to/from current and future years.
- 2 The 2017/18 capital programme approved by Council on 23 February 2017, updated for amendments reported to Executive and Council in the July Outturn Report resulted in an approved capital budget of £125.703m.

Recommendations

- 3 Executive is asked to:
 - Recommend to Full Council the adjustments resulting in a decrease in the 2017/18 budget of £14.065m as detailed in the report and contained in Annex A.
 - Note the 2017/18 revised budget of £111.638 as set out in paragraph 6 and Table 1.
 - Note the restated capital programme for 2017/18 – 2021/22 as set out in paragraph 17, Table 2 and detailed in Annex A.

Reason: to enable the effective management and monitoring of the Council's capital programme.

Consultation

- 4 The capital programme was developed under the Capital Budget Process and agreed by Council on 23 February 2017. Whilst the capital programme as a whole is not consulted on, the individual scheme

proposals and associated capital receipt sales do follow a consultation process with local Councillors and residents in the locality of the individual schemes.

Summary of Key Issues

- 5 An decrease of £14.065m is detailed in this monitor resulting in a revised capital programme of £111.638m. There is an increase of £13.741m in 2017/18 attributable to new schemes added to the programme agreed by members set out in the paragraphs below, funded by an increase in government grants available and departmental prudential borrowing. This is offset by a £27.806m decrease in 2017/18 due to re-profiling of budgets to future years.
- 6 Table 1 outlines the variances reported against each portfolio area.

Department	Current Approved Budget £m	Projected Outturn £m	Variance £m	Paragraph Ref
Children, Education & Communities	28.463	9.618	(18.845)	8-10
Health, Housing & Adult Social Care – Adult Social Care	5.825	5.922	(0.097)	
Health, Housing & Adult Social Care – Housing & Community Safety	33.399	25.718	(7.681)	11-18
Economy & Place – Transport, Highways & Environment	21.558	20.607	(0.951)	19-27
Economy & Place – Regeneration & Asset Management	15.023	30.023	15.000	28
Community Stadium	15.926	14.241	(1.685)	29
Customer & Corporate services	2.184	2.184	0.000	
IT Development Plan	3.325	3.325	0.000	
Total	125.703	111.638	(14.065)	

Table 1 Capital Programme Forecast Outturn 2017/18

Analysis

- 7 A summary of the key exceptions and implications on the capital programme are highlighted below.

Children, Education & Communities

- 8 There have been a number of amendments as part of this report, including an overall increase to the programme of £3.5m (£655k 17/18, £2.8m 18/19) and a transferring of £19.5m of funds from 2017/18 into 2018/19. Key variances are summarised in the table below, referenced to further narrative.

Scheme	Amendment	Amount 17/18 £m	Amount 18/19 £m	Further Details – Paragraph ref
Basic Need	Re-profile	(19.500)	19.500	9
Basic Need	Adjustment	2.250	2.800	9
South Bank Expansion	Adjustment	(1.250)	-	10

- 9 The Basic Need scheme requires funds of £19.5m to be transferred from 2017/18 into 2018/19. Pupil number projections and pressures continue to be monitored across the city and, when appropriate, additional schemes will be proposed which might require further changes to the profile in the later years of the programme. In 2018/19, the effect of the remainder of the DSG budget set aside for funding the revenue cost of capital expenditure on reorganisation of the school estate has been added to the programme.
- 10 The budget for the South Bank Expansion scheme was originally set at £2.5m. As reported to and approved by Executive on 17th March, following two consultations and subsequent changes it is now projected the funding required will be £1.25m. The budget for this scheme has therefore been reduced by the same amount in 2017/18.

Housing & Community Safety

- 11 A number of amendments have been made as part of this report resulting in a net decrease to the capital programme of £7.7m in 2017/18. Key variances are summarised in the table below, referenced to further narrative.

Scheme	Amendment	Amount 17/18 £m	Amount 18/19 £m	Further Details – Paragraph ref
Modernisation of Local Authority Homes	Re-profile	(0.840)	0.840	12
Local Authority Homes Phase 1	Adjustment	(5.778)	-	13
Local Authority Homes Phase 1	Re-profile	(1.342)	1.342	14
Shared Ownership	Adjustment	1.500	4.020	15
Water Mains Upgrade	Re-profile	(0.721)	0.721	17
IT Infrastructure	Re-profile	(0.500)	0.500	18

- 12 The Modernisation of Local Authority Homes scheme requires funds of £840k to be transferred from 17/18 into 18/19. A scheme is planned to remove a number of asbestos constructed bathroom 'pods' in the Bell Farm area, however the housing development team are looking at further options for the site which has delayed work starting. It is therefore expected the expenditure will now be incurred during 2018/19.
- 13 The Local Authority Homes Phase 1 scheme budget is to be reduced by £5.778m following the decision not to continue with the redevelopment of Ordnance Lane Hostel and associated housing development. A new budget has been created to fund the alternative hostel development at James House.
- 14 The residual budget of £3.070m is committed to fund the completion of schemes at Fenwick Street, Hewley Avenue, Pottery Lane and Pack of Cards. The budget is also committed to fund developments at Newbury Avenue and Chaloners Road. It is proposed to slip £1.342m of this budget into 2018/19.

- 15 Following the withdrawal of the contractor at Chaloners Road consideration is now being given to amending the current scheme from predominantly flats to a development of two bedroom houses of modular construction and planning application will be submitted October/November 2017.
- 16 Members approved a budget totalling £5.52m (Executive 18th May 2017) for investment in a shared ownership scheme funded equally by the Homes and Communities Agency and CYC. The scheme anticipates that 15 homes will be delivered in 2017/18 and 50 homes in 2018/19 and therefore the budget is proposed to be £1.5m in 2017/18 and £4.02m in 2018/19.
- 17 The Water Mains upgrade scheme requires £721k of funds to be transferred from 17/18 into 18/19 to reflect the scheme remaining at feasibility stage and the view that it is no work is expected to begin on site during 2017/18.
- 18 The IT Infrastructure scheme requires funds of £500k to be transferred from 17/18 into 18/19 to reflect the fact that work is currently being scoped for a feasibility study, therefore it is unlikely that full budget will be spent in 2017/18.

Transport, Highways & Environment

- 19 There have been a number of amendments to this area as part of this report resulting in a net decrease to the capital programme in 17/18 of £951k. Key variances are summarised in the table below, referenced to further narrative.

Scheme	Amendment	Amount 17/18 £m	Amount 18/19 £m	Amount 19/20- 21/22	Further Details – Paragraph ref
Built Environment Fund	Re-profile	(0.450)	0.450	-	20
Harewood Whin Transfer station	Adjustment	(0.109)	-	-	21
Better Bus Area Fund	Adjustment	0.236	-	-	22
Local Transport Plan	Re-profile	(0.600)	0.600	-	23
Scarborough Bridge	Adjustment	(0.192)	-	-	24

Scarborough Bridge	Re-profile	(2.168)	2.168	-	24
WYTF - YORR	Adjustment	1.100	9.200	23.900	25-26
WYTF – York Central Access	Adjustment	1.200	11.900	24.300	25-27

- 20 Within the Built Environment fund scheme, funds of £500k were allocated for an improvement scheme at Fossgate. This allocation has been reduced to £50k in 2017/18 with the remaining £450k to be transferred into 2018/19. This is to enable the experimental traffic order to reverse the traffic flow to be in place for at least 6 months prior to a decision being taken whether to make the change permanent and in advance of undertaking any physical changes to the streetscape.
- 21 The budget for the Harewood Whin scheme has been reduced by £109k as the loan facility to Yorwaste has been drawn down and the final amount required by Yorwaste was lower than originally estimated.
- 22 Additional Better Bus area grant has been identified and added to the existing programme of works, increasing the budget for this scheme by £236k.
- 23 Within the Local Transport Plan scheme, work has been carried out to develop the programme for the installation of Rapid Charger Hubs (funded by a grant from the government's Office of Low Emission Vehicles). £600k of this grant is to be transferred into 2018/19 to allow a prototype hub to be developed and implemented.
- 24 The budget allocation for the replacement of the Scarborough Bridge footbridge has been reduced in 2017/18 with the remainder slipped into 2018/19 for delivery. This is due to the extended period of project development and to allow time for the additional design work needed to take account of the consultation responses received from the public.
- 25 Following approval by Full Council on 20th July, two new schemes have been added to the capital programme in relation to the West Yorkshire Transport Fund as set out below.
- 26 Total Funds of £34.2m across 5 years from 2017/18 – 2021/22 has been added to the programme for the delivery of the York Outer Ring Road improvements funded from the West Yorkshire Plus Transport Fund grant as set out in the report to Executive and Full Council.

27 Total Funds of £37.4m across 5 years from 2017/18 – 2021/22 has been added to the Capital programme for York Central Transport improvements funded by the West Yorkshire Plus Transport Fund grant as detailed in the report to Executive and Full Council.

Regeneration & Asset Management

28 Following Full Council's approval on 20th July, a new Capital scheme has been added to the programme with a budget of £15m. This is to make a strategic acquisition of a mixed commercial portfolio in York City centre, including the freehold interest in a portfolio of properties in Swinegate Court

Community Stadium

29 Following the latest report to Executive on 27th July, the budget for this scheme has been updated to reflect the latest anticipated profile of expenditure. Funds of £1.685m have been transferred from 2016/17 to 2018/19, along with £1.760m from 2017/18.

Summary

30 As a result of the changes highlighted above the revised 5 year capital programme is summarised in Table 2.

Gross Capital Programme	2017/18	2018/19	2019/20	2020/21	2021/22	Total
	£m	£m	£m	£m	£m	£m
Children, Education & Communities	9.618	28.401	2.391	4.845	0	45.255
Health, Housing & Adult Social Care – Adult Social Care	5.922	3.781	0.565	0.565	0.565	11.398
Health, Housing & Adult Social Care – Housing & Community Safety	25.718	20.494	10.108	9.689	9.812	70.301
Economy & Place – Transport, Highways & Environment	20.607	31.908	29.614	22.363	17.015	121.507

Economy & Place – Regeneration & Asset Management	30.023	7.692	0.860	0.220	0.220	39.015
Community Stadium	14.241	18.266	3.445	0	0	35.952
Customer & Corporate Services	2.184	0.419	0.250	0.250	0.250	3.353
IT Development Plan	3.325	2.025	1.970	1.085	1.770	10.175
Revised Programme	111.638	112.986	49.203	39.017	29.632	342.476

Table 2 Revised 5 Year Capital Programme

Funding the 2017/18 – 2021/22 Capital Programme

31 The revised 2017/18 capital programme of £110.092m is funded from £44.457m of external funding and £66.525m of internal funding. Table 3 shows the projected call on resources going forward.

	2017/18	2018/19	2019/20	2020/21	2021/22	Total
	£m	£m	£m	£m	£m	£m
Gross Capital Programme	111.638	112.986	49.203	39.017	29.632	342.476
Funded by:						
External Funding	45.207	74.999	35.544	31.152	21.223	208.125
Council Controlled Resources	66.431	37.987	13.895	7.865	8.409	134.351
Total Funding	111.638	112.986	49.439	39.017	29.632	342.476

Table 3 – 2017/18 –2021/22 Capital Programme Financing

32 The Council controlled figure is comprised of a number of resources that the Council has ultimate control over. These include Right to Buy receipts, revenue contributions, supported (government awarded) borrowing, prudential (Council funded) borrowing, reserves (including Venture Fund) and capital receipts

33 It was reported to Members in the 2016/17 Capital Outturn report, that the capital programme had achieved all the assumed capital receipts. Therefore it was outlined that any new capital receipts received (other than those earmarked receipts for the older person programme) would be additional resource for the council and will continue to be paid into the Capital Receipts reserve. It was also noted however that there was already an assumption within the revenue budget savings plans for some of these potential additional receipts to be used to generate future revenue savings. In July Executive/Council approved the purchase of

property in Swinegate, and agreed that this should ultimately be financed from additional capital receipts, thereby delivering significant revenue savings. As such all new capital receipts (other than those already earmarked) will be allocated towards the Swinegate property purchase until such time as that property is fully funded. Further updates on this will be provided in reports to the Executive

- 34 The sales of Stonebow House (£750,000), 29 Castlegate (£431,250) and 10/11 Redeness St (£256,500) are all well advanced and the capital receipts will be received in 2017/8 and 2018/9 as will the receipt from the sale of Ashbank. Further overage payments from residential sales on Hungate will also be received during this period

Council Plan

- 35 The information contained in this report demonstrates progress in achieving the priorities set out in the Council Plan.

Implications

- 36 This report has the following implications:

- **Financial** - are contained throughout the main body of the report
- **Human Resources (HR)** – There are no HR implications as a result of this report
- **One Planet Council/ Equalities** – The capital programme seeks to address key equalities issues that affect the Council and the public. Schemes that address equalities include the Disabilities Support Grant, the Schools Access Initiative, the Community Equipment Loans Store (CELS) and the Disabilities Discrimination Act (DDA) Access Improvements. All individual schemes will be subject to Equalities Impact Assessments
- **Legal Implications** - There are no Legal implications as a result of this report.
- **Crime and Disorder** - There are no crime and disorder implications as a result of this report.
- **Information Technology** – The information technology implications are contained within the main body of the report,

- **Property** - The property implications of this paper are included in the main body of the report which covers the funding of the capital programme from capital receipts.
- **Other** – There are no other implications

Risk Management

37 There are a number of risks inherent in the delivery of a large scale capital programme. To mitigate against these risks the capital programme is regularly monitored as part of the corporate monitoring process, and the project management framework. This is supplemented by internal and external audit reviews of major projects. In addition, the Capital Asset Board meet monthly to plan, monitor and review major capital schemes to ensure that all capital risks to the Council are monitored and where possible minimised

Contact Details

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Debbie Mitchell Corporate Finance Manager 01904 554161	Report Approved	x	Date 16 th August 2017
Wards Affected: All			

For further information please contact the author of the report

Specialist Implications:

Legal – Not Applicable

Property – Not Applicable

Information Technology – Not Applicable

Annexes

Annex A – Capital Programme 2017/18 to 2021/22

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	2017/18 Mon 1	2017/18 Reprofile Mon 1	2017/18 Revised Budget Mon 1	2017/18 Adj Mon 1	2017/18 Reprofile Mon 1	2018/19 Revised Budget Mon 1	2017/18 Adj Mon 1	2017/18 Reprofile Mon 1	2019/20 Revised Budget Mon 1	2017/18 Adj Mon 1	2017/18 Reprofile Mon 1	2020/21 Revised Budget Mon 1	2017/18 Adj Mon 1	2017/18 Reprofile Mon 1	2021/22 Revised Budget Mon 1	Gross Capital Programme To be Funded 17/18 - 21/22 £000
-Internal Funding			0			0			0			0			0	0
Little Knavesmire Pavilion			8			0			0			0			0	8
- External Funding			8			0			0			0			0	8
- Internal Funding			0			0			0			0			0	0
TOTAL GROSS EXPENDITURE	97	0	5,922	0	0	3,781	0	0	565	0	0	565	0	0	565	11,398
TOTAL EXTERNAL FUNDING	0	0	285	0	0	0	0	0	0	0	0	0	0	0	0	285
TOTAL INTERNAL FUNDING	97	0	5,637	0	0	3,781	0	0	565	0	0	565	0	0	565	11,113
HH&ASC - Housing & Community Safety																
Modernisation of Local Authority Homes		-840	2,078		840	2,469			1,116			1,113			1,355	8,131
- External Funding			494			0			0			0			0	494
- Internal Funding		-840	1,584		840	2,469			1,116			1,113			1,355	7,637
Assistance to Older & Disabled People			400			412			424			437			450	2,123
Major Repairs Allowance			0			0			0			0			0	0
- External Funding			0			0			0			0			0	0
- Internal Funding			400			412			424			437			450	2,123
MRA Schemes			6,669			6,247			6,379			6,209			6,223	31,727
- External Funding			6,669			6,247			6,379			6,209			6,223	31,727
- Internal Funding			0			0			0			0			0	0
Local Authority Homes - Phase 1	-5,778	-1,342	1,728		1,342	1,342			0			0			0	3,070
- External Funding			0			0			0			0			0	0
- Internal Funding	-5,778	-1,342	1,728		1,342	1,342			0			0			0	3,070
Water Mains Upgrade			10		721	721			231			132			136	1,230
- External Funding			0			0			0			0			0	0
- Internal Funding			10		721	721			231			132			136	1,230
Building Insulation Programme			31			0			160			0			0	191
- External Funding			31			0			0			0			0	31
- Internal Funding			0			0			160			0			0	160
Disabled Facilities Grant (Gfund)			1,995			1,478			1,478			1,478			1,478	7,907
- External Funding			1,103			1,003			1,003			1,003			1,003	5,115
- Internal Funding			892			475			475			475			475	2,792
IT Infrastructure		-500	773		500	650			150			150			0	1,723
- External Funding			0			0			0			0			0	0
- Internal Funding		-500	773		500	650			150			150			0	1,723
Empty Homes (Gfund)			100			0			0			0			0	100
- External Funding			0			0			0			0			0	0
- Internal Funding			100			0			0			0			0	100
Housing Environmental Improvement Programme			170			170			170			170			170	850
- External Funding			0			0			0			0			0	0
- Internal Funding			170			170			170			170			170	850
James House			7,588			2,900			0			0			0	10,488
- External Funding	1,365		2,765			0			0			0			0	2,765
- Internal Funding		-1,365	4,823			2,900			0			0			0	7,723
Shared Ownership Scheme		1,500	1,500		4,020	1,500			0			0			0	5,520
- External Funding	750		750		2,010	2,010			0			0			0	2,760
- Internal Funding	750		750		2,010	2,010			0			0			0	2,760
Extension to Glen Lodge			2,676			85			0			0			0	2,761
- External Funding			198			0			0			0			0	198
- Internal Funding			2,478			85			0			0			0	2,563
TOTAL GROSS EXPENDITURE	-4,278	-3,403	25,718		4,020	3,403			10,108			9,689			9,812	75,821
TOTAL EXTERNAL FUNDING	2,115	0	12,010		2,010	0			7,382			7,212			7,226	43,090
TOTAL INTERNAL FUNDING	-6,393	-3,403	13,708		2,010	3,403			2,726			2,477			2,586	32,731
Economy & Place - Transport, Highways & Environment																
Highway Resurfacing & Reconstruction (Struct Maint)			2,970			2,843			2,767			2,691			2,577	13,848
- External Funding			2,188			2,093			2,017			1,941			1,827	10,066
- Internal Funding			782			750			750			750			750	3,782
Targeted Investment for Highways Improvement			100			100			100			100			100	500
- External Funding			0			0			0			0			0	0
- Internal Funding			100			100			100			100			100	500
Highway, Footway & Cycleway Improvement Acceleration			1,000			1,000			1,000			1,000			1,000	5,000
- External Funding			0			0			0			0			0	0
- Internal Funding			1,000			1,000			1,000			1,000			1,000	5,000
Special Bridge Maintenance (Struct maint)			642			200			200			200			0	1,242
- External Funding			0			0			0			0			0	0
- Internal Funding			642			200			200			200			0	1,242
Replacement of Unsound Lighting Columns			578			578			578			578			578	2,890
- External Funding			0			0			0			0			0	0
- Internal Funding			578			578			578			578			578	2,890
LED Lighting Replacement Programme			228			0			0			0			0	228
- External Funding			0			0			0			0			0	0
- Internal Funding			228			0			0			0			0	228
Watercourse Restoration			44			0			0			0			0	44
- External Funding			0			0			0			0			0	0
- Internal Funding			44			0			0			0			0	44
Highways Drainage Works			270			200			200			200			200	1,070
- External Funding			0			0			0			0			0	0
- Internal Funding			270			200			200			200			200	1,070
Drainage Investigation & Renewal			200			200			200			0			0	600
- External Funding			0			0			0			0			0	0
- Internal Funding			200			200			200			0			0	600
Highways, Road Adoption and Drainage Fund			125			0			0			0			0	125
- External Funding			0			0			0			0			0	0
- Internal Funding			125			0			0			0			0	125
Pothole Spotter Trial			250			0			0			0			0	250
- External Funding			0			0			0			0			0	0
- Internal Funding			250			0			0			0			0	250
Wheeled Bins in Back Lane and Terraced Areas			78			0			0			0			0	78
- External Funding			0			0			0			0			0	0
- Internal Funding			78			0			0			0			0	78
Built Environment Fund			1,622		450	450			0			0			0	2,072
- External Funding			0		450	450			0			0			0	0
- Internal Funding			1,622		450	450			0			0			0	2,072
Harewood Whin Transfer Station		-109	1,002			0			0			0			0	1,002
- External Funding			0			0			0			0			0	0
- Internal Funding		-109	1,002			0			0			0			0	1,002
Parks and Open Spaces Development			53			0			0			0			0	53
- External Funding			0			0			0			0			0	0
- Internal Funding			53			0			0			0			0	53
War Memorial			51			0			0			0			0	51
- External Funding			0			0			0			0			0	0

	2017/18	2017/18	2017/18	2017/18	2017/18	2018/19	2017/18	2017/18	2019/20	2017/18	2017/18	2020/21	2017/18	2017/18	2021/22	Gross Capital	
	Mon 1	Mon 1	Revised	Mon 1	Mon 1	Revised	Mon 1	Mon 1	Revised	Mon 1	Mon 1	Revised	Mon 1	Mon 1	Revised	Programme	
	Adj	Reprofile	Budget	Adj	Reprofile	Budget	Adj	Reprofile	Budget	Adj	Reprofile	Budget	Adj	Reprofile	Budget	To be Funded	
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	17/18 - 21/22	
																£000	
-Internal Funding			197			0			0			0			0		197
Public Convenienc Facilities			11			0			0			0			0		11
- External Funding			0			0			0			0			0		0
-Internal Funding			11			0			0			0			0		11
River Safety			9			0			0			0			0		9
- External Funding			0			0			0			0			0		0
-Internal Funding			9			0			0			0			0		9
Litter Bin Replacement Programme			199			175			175			0			0		549
- External Funding			0			0			0			0			0		0
-Internal Funding			199			175			175			0			0		549
Knavesmire Culverts			266			0			0			0			0		266
- External Funding			0			0			0			0			0		0
-Internal Funding			266			0			0			0			0		266
Better Bus Area Fund	236		1,311			0			0			0			0		1,311
- External Funding	273		876			0			0			0			0		876
-Internal Funding	-37		435			0			0			0			0		435
Local Transport Plan (LTP)	32	-600	3,880		600	2,170			1,570			1,570			1,570		10,760
- External Funding	32	-600	2,873		600	2,170			1,570			1,570			1,570		9,753
-Internal Funding			1,007			0			0			0			0		1,007
York City Walls - Repairs & Renewals (City Walls)			393			90			90			90			90		753
- External Funding			0			0			0			0			0		0
-Internal Funding			393			90			90			90			90		753
York City Walls Restoration Programme			300			400			300			300			300		1,600
- External Funding			0			0			0			0			0		0
-Internal Funding			300			400			300			300			300		1,600
Access York			124			0			0			0			0		124
- External Funding			124			0			0			0			0		124
-Internal Funding			0			0			0			0			0		0
Flood Defences			317			0			0			0			0		317
- External Funding			0			0			0			0			0		0
-Internal Funding			317			0			0			0			0		317
Highways Improvements			157			0			0			0			0		157
- External Funding			0			0			0			0			0		0
-Internal Funding			157			0			0			0			0		157
Scarborough Bridge	-192	-2,168	650		2,168	2,168			0			0			0		2,818
- External Funding	-192	-1,445	400		1,445	1,445			0			0			0		1,845
-Internal Funding		-723	250		723	723			0			0			0		973
Hungate and Peasholme Public Realm			175			0			0			0			0		175
- External Funding			0			0			0			0			0		0
-Internal Funding			175			0			0			0			0		175
WYTF - YORR	1,100		1,100	9,200		9,200	11,400		11,400	8,100		8,100	4,400		4,400		34,200
- External Funding	1,100		1,100	9,200		9,200	11,400		11,400	8,100		8,100	4,400		4,400		34,200
-Internal Funding			0			0			0			0			0		0
WYTF - York Central Access	1,200		1,200	11,900		11,900	10,800		10,800	7,300		7,300	6,200		6,200		37,400
- External Funding	1,200		1,200	11,900		11,900	10,800		10,800	7,300		7,300	6,200		6,200		37,400
-Internal Funding			0			0			0			0			0		0
National Productivity Improvement Fund			626			0			0			0			0		626
- External Funding			626			0			0			0			0		626
-Internal Funding			0			0			0			0			0		0
Potholes			184			184			184			184			0		736
- External Funding			184			184			184			184			0		736
-Internal Funding			0			0			0			0			0		0
Silver Street & Coppergate Toilets			70			0			0			0			0		70
- External Funding			0			0			0			0			0		0
-Internal Funding			70			0			0			0			0		70
Osbalwick Beck Maintenance			60			0			0			0			0		60
- External Funding			0			0			0			0			0		0
-Internal Funding			60			0			0			0			0		60
City Fibre Network			70			50			50			50			0		220
- External Funding			0			0			0			0			0		0
-Internal Funding			70			50			50			50			0		220
TOTAL GROSS EXPENDITURE	2,267	-3,218	20,607	21,100	3,218	31,908	22,200	0	29,614	15,400	0	22,363	10,600	0	17,015		121,507
TOTAL EXTERNAL FUNDING	2,413	-2,045	10,019	21,100	2,045	26,992	22,200	0	25,971	15,400	0	19,095	10,600	0	13,997		96,074
TOTAL INTERNAL FUNDING	-146	-1,173	10,588	0	1,173	4,916	0	0	3,643	0	0	3,268	0	0	3,018		25,433
Economy & Place - Regeneration & Asset Management																	0
LCR Revolving Investment Fund			961			0			0			0			0		961
- External Funding			0			0			0			0			0		0
-Internal Funding			961			0			0			0			0		961
York Central			7,986			0			0			0			0		7,986
- External Funding	1,534		1,534			0			0			0			0		1,534
-Internal Funding	-1,534		6,452			0			0			0			0		6,452
Low Carbon and Solar Panels Investment			50			0			0			0			0		50
- External Funding			0			0			0			0			0		0
-Internal Funding			50			0			0			0			0		50
Photovoltaic Energy Programme			346			0			0			0			0		346
- External Funding			0			0			0			0			0		0
-Internal Funding			346			0			0			0			0		346
29 Castlegate Repairs			33			0			0			0			0		33
- External Funding			0			0			0			0			0		0
-Internal Funding			33			0			0			0			0		33
Decent Home Standards Works			9			0			0			0			0		9
- External Funding			0			0			0			0			0		0
-Internal Funding			9			0			0			0			0		9
Fishergate Postern			18			0			0			0			0		18
- External Funding			0			0			0			0			0		0
-Internal Funding			18			0			0			0			0		18
Holgate Park Land - York Central Land and Clearance			397			0			0			0			0		397
- External Funding			0			0			0			0			0		0
-Internal Funding			397			0			0			0			0		397
Asset Maintenance + Critical H&S Repairs			404			220			220			220			220		1,284
- External Funding			0			0			0			0			0		0
-Internal Funding			404			220			220			220			220		1,284
Community Asset Transfer			175			0			0			0			0		175
- External Funding																	

	2017/18	2017/18	2017/18	2017/18	2017/18	2018/19	2017/18	2017/18	2019/20	2017/18	2017/18	2020/21	2017/18	2017/18	2021/22	Gross Capital Programme To be Funded
	Mon 1	Mon 1	Revised Mon 1	Mon 1	Mon 1	Revised Mon 1	Mon 1	Mon 1	Revised Mon 1	Mon 1	Mon 1	Revised Mon 1	Mon 1	Mon 1	Revised Mon 1	17/18 - 21/22
	Adj	Reprofile	Budget	Adj	Reprofile	Budget	Adj	Reprofile	Budget	Adj	Reprofile	Budget	Adj	Reprofile	Budget	£000
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
-Internal Funding			47			0			0			0			0	47
Picadilly Regeneration			218			0			0			0			0	218
- External Funding			0			0			0			0			0	0
-Internal Funding			218			0			0			0			0	218
Guildhall			3,526			7,472			640			0			0	11,638
- External Funding			2,347			0			0			0			0	2,347
-Internal Funding			1,179			7,472			640			0			0	9,291
Critical Repairs and Contingency			274			0			0			0			0	274
- External Funding			0			0			0			0			0	0
23 & 36 Hospital Fields Road			283			0			0			0			0	283
- External Funding			0			0			0			0			0	0
-Internal Funding			283			0			0			0			0	283
Commercial Property Acquisition incl Swinegate	15,000		15,000			0			0			0			0	15,000
- External Funding			0			0			0			0			0	0
-Internal Funding	15,000		15,000			0			0			0			0	15,000
Air Quality Monitoring (Gfund)			110			0			0			0			0	110
- External Funding			110			0			0			0			0	110
-Internal Funding			0			0			0			0			0	0
TOTAL GROSS EXPENDITURE	15,000	0	30,023	0	0	7,692	0	0	860	0	0	220	0	0	220	39,015
TOTAL EXTERNAL FUNDING	1,534	0	3,991	0	0	0	0	0	0	0	0	0	0	0	0	3,991
TOTAL INTERNAL FUNDING	13,466	0	25,758	0	3,403	7,692	0	0	860	0	0	220	0	0	220	34,750
Customer & Corporate Services - Community Stadium																0
Community Stadium		-1,685	14,241		-1,760	18,266		3,445	3,445			0			0	35,952
- External Funding			25,839			13,250			0			0			0	39,089
-Internal Funding		-1,685	2,652		-1,760	5,016		3,445	3,445			0			0	11,113
TOTAL GROSS EXPENDITURE	0	-1,685	14,241	0	-1,760	18,266	0	3,445	3,445	0	0	0	0	0	0	35,952
TOTAL EXTERNAL FUNDING	0	0	25,839	0	0	13,250	0	0	0	0	0	0	0	0	0	39,089
TOTAL INTERNAL FUNDING	0	-1,685	2,652	0	-1,760	5,016	0	3,445	3,445	0	0	0	0	0	0	11,113
Customer & Corporate Services																0
Fire Safety Regulations - Adaptations			102			0			0			0			0	102
- External Funding			0			0			0			0			0	0
-Internal Funding			102			0			0			0			0	102
Removal of Asbestos			98			50			50			50			50	298
- External Funding			0			0			0			0			0	0
-Internal Funding			98			50			50			50			50	298
Hazel Court - Office of the Future Improvements			1			0			0			0			0	1
- External Funding			0			0			0			0			0	0
-Internal Funding			1			0			0			0			0	1
Mansion House Restoration			922			169			0			0			0	1,091
- External Funding			574			96			0			0			0	670
-Internal Funding			348			73			0			0			0	421
Project Support Fund			294			200			200			200			200	1,094
- External Funding			0			0			0			0			0	0
-Internal Funding			294			200			200			200			200	1,094
West Offices - Admin Accom			267			0			0			0			0	267
- External Funding			0			0			0			0			0	0
-Internal Funding			267			0			0			0			0	267
Capital Contingency																0
Capital Contingency			385			0			0			0			0	385
- External Funding			0			0			0			0			0	0
-Internal Funding			385			0			0			0			0	385
TOTAL GROSS EXPENDITURE	0	0	2,184	0	0	419	0	0	250	0	0	250	0	0	250	3,353
TOTAL EXTERNAL FUNDING	0	0	574	0	0	96	0	0	0	0	0	0	0	0	0	670
TOTAL INTERNAL FUNDING	0	0	1,884	0	0	323	0	0	250	0	0	250	0	0	250	2,957
Customer & Corporate Services - IT																0
IT Development plan			3,205			2,025			1,970			1,085			1,770	10,055
- External Funding			0			0			0			0			0	0
-Internal Funding			3,205			2,025			1,970			1,085			1,770	10,055
IT Superconnected Cities			120			0			0			0			0	120
- External Funding			0			0			0			0			0	0
-Internal Funding			120			0			0			0			0	120
TOTAL GROSS EXPENDITURE	0	0	3,325	0	0	2,025	0	0	1,970	0	0	1,085	0	0	1,770	10,175
TOTAL EXTERNAL FUNDING	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL INTERNAL FUNDING	0	0	3,325	0	0	2,025	0	0	1,970	0	0	1,085	0	0	1,770	10,175
Gross Expenditure by Department																
CEC - Children, Education & Communities	655	-19,500	9,618	2,800	19,500	28,401	0	0	2,391	0	0	4,845	0	0	0	45,255
HH&ASC - Adult Social Care & Adult Services Commissioning	97	0	5,922	0	0	3,781	0	0	565	0	0	565	0	0	565	11,398
HH&ASC - Housing & Community Safety	-4,278	-3,403	25,718	4,020	3,403	20,494	0	0	10,108	0	0	9,689	0	0	9,812	75,821
Economy & Place - Transport, Highways & Environment	2,267	-3,218	20,607	21,100	3,218	31,908	22,200	0	29,614	15,400	0	22,363	10,600	0	17,015	121,507
Economy & Place - Regeneration & Asset Management	15,000	0	30,023	0	0	7,692	0	0	860	0	0	220	0	0	220	39,015
Customer & Corporate Services - Community Stadium	0	-1,685	14,241	0	-1,760	18,266	0	3,445	3,445	0	0	0	0	0	0	35,952
Customer & Corporate Services	0	0	2,184	0	0	419	0	0	250	0	0	250	0	0	250	3,353
Customer & Corporate Services - IT	0	0	3,325	0	0	2,025	0	0	1,970	0	0	1,085	0	0	1,770	10,175
Total by Department	13,741	-27,806	111,638	27,920	24,361	112,986	22,200	3,445	49,203	15,400	0	39,017	10,600	0	29,632	342,476
TOTAL GROSS EXPENDITURE	13,741	-27,806	111,638	27,920	24,361	112,986	22,200	3,445	49,203	15,400	0	39,017	10,600	0	29,632	342,476
TOTAL EXTERNAL FUNDING	5,765	-21,545	45,207	23,110	21,545	74,999	22,200	0	35,544	15,400	0	31,152	10,600	0	21,223	208,125
TOTAL INTERNAL FUNDING	7,976	-6,261	66,431	4,810	2,816	37,987	0	3,445	13,659	0	0	7,865	0	0	8,409	134,351