

**Notice of a public meeting of
Executive**

To: Councillors Carr (Chair), Gillies, Lisle, Mercer, Orrell,
Reid, Runciman and Waller

Date: Thursday, 8 February 2018

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 Democracy Support Group by **4:00 pm on Monday 12 February 2018**.

*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 and 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 excluding the press and public from the meeting during consideration of the following:

Annex 3 to Agenda Item 9 (Disposal of Willow House, Walmgate), on the grounds that it contains information relating to the financial or business affairs of particular persons. 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. **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 7 February 2018**. Members of the public can speak on agenda items or matters within the remit of the committee.

To register to speak please contact the Democracy Officer 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 Democracy 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

- 4. Forward Plan** (Pages 1 - 6)
To receive details of those items that are currently listed on the Forward Plan for the next two Executive meetings.
- 5. Admissions Arrangements for the 2019/20 School Year** (Pages 7 - 132)
The Corporate Director, Children, Education & Communities, to present a report which seeks approval for the admissions policies for community and voluntary controlled schools, and the coordinated admissions schemes for the City of York area, for the school year beginning in September 2019.
- Note: Annexes H-X to this report have not been included in the printed agenda papers but are available to view with the published agenda on the website.*
- 6. City Transport Access Measures** (Pages 133 - 140)
The Corporate Director, Economy and Place, to present a report which sets out an approach to developing proposals to ensure safety in the city, through a review of transport access into the city centre and areas adjacent to the Minster and York Racecourse.
- 7. Proposed Long Term Lease Holgate Bowling Green and Pavillion** (Pages 141 - 148)
The Corporate Director, Economy and Place, to present a report which seeks approval to let Holgate Bowling Green to the Trustees of York Railway Institute Bowls Club.
- 8. Disposal of Willow House, Walmgate, York** (Pages 149 - 166)
The Corporate Director, Economy and Place, to present a report which seeks approval for the sale of the former Older Persons' Home at Willow House to the highest bidder.
- 9. 2017/18 Finance and Performance Monitor** (Pages 167 - 204)
3
The Deputy Chief Executive / Director of Customer & Corporate Services to present a report which details the council's overall finance and performance position for the period 1 October 2017 to 31 December 2017, together with an overview of any emerging issues.

- 10. Capital Programme - Monitor 3 2017/18** (Pages 205 - 222)
The Deputy Chief Executive / Director of Customer & Corporate Services to present a report which sets out the projected out-turn position of the council's 2017/18 capital programme, including any under or overspends and adjustments, and asks Executive to recommend the adjustments to Council.
- 11. Financial Strategy 2018/19 to 2022/23** (Pages 223 - 360)
The Deputy Chief Executive / Director of Customer & Corporate Services to present a report which sets out the financial strategy for 2018/19 to 2022/23, including detailed revenue budget proposals for 2018/19 and asks Members to recommend the proposals to Council for approval.
- 12. Capital Strategy 2018/19 to 2022/23** (Pages 361 - 398)
The Deputy Chief Executive / Director of Customer & Corporate Services to present a report which sets out the capital strategy for 2018/19 to 2022/23, and in particular new capital schemes, and asks Executive to recommend the revised programme to Council.
- 13. Treasury Management Strategy Statement and Prudential Indicators** (Pages 399 - 428)
The Deputy Chief Executive / Director of Customer & Corporate Services to present a report which asks Executive to recommend to Council the treasury management strategy and prudential indicators for the 2018/19 financial year.
- 14. Urgent Business**
Any other business which the Chair considers urgent under the Local Government Act 1972.

Democracy Officer:

Name: Fiona Young

Contact details:

- Telephone – (01904) 552030
- E-mail – fiona.young@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 własnym języku. (Polish)

Bu bilgiyi kendi dilinizde almanız mümkündür. (Turkish)

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

 (01904) 551550

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Forward Plan: Executive Meeting: 8 February 2018

Table 1: Items scheduled on the Forward Plan for the Executive Meeting on 15 March 2018

Title and Description	Author	Portfolio Holder
<p>Extending Licensing of Houses in Multiple Occupation (HMO) Purpose of Report To respond to the Council motion approved on 26th October 2017 <i>"To request that the Executive undertakes a review of the evidence supporting the case for extended licensing across a proportion of the city (where the density of HMOs is the greatest) to assess the case for the introduction of additional HMO licensing".</i></p> <p>Executive will be asked to: review the evidence case, having regard to any announcement made by central government to extend the national mandatory HMO licensing scheme.</p>	Ruth Abbott	Executive Member for Housing & Safer Neighbourhoods
<p>Adopting the Ethical Care Charter (Home Care) Purpose of Report To review the implications of the Council adopting the "Ethical Care Charter". The Charter was developed and published by UNISON after they conducted a survey of Home Care workers in 2012. The report will highlight the implications of adopting the Charter for the City of York and evidence York's strong position and approach that already exists in this area.</p> <p>Executive will be asked to:</p> <ul style="list-style-type: none"> • Agree to the Council adopting stages 1 and 2 of the Charter, noting the implications and actions required • Note the implications of adopting stage 3 and agree further work to be undertaken to clarify the impact and financial implication and to bring back a further report at a later date. 	Gary Brittain	Executive Member for Adult Social Care & Health

Title and Description	Author	Portfolio Holder
<p>Make it York Contract Purpose of Report To present the core elements of the contract and service specification between the Council and Make it York for the period 2018-21.</p> <p>Executive will be asked to: agree these elements, together with the funding for 2018/19</p>	Charlie Croft	Executive Member for Culture, Leisure & Tourism
<p>Joint Waste Management Agreement with North Yorkshire County Council Purpose of Report To update the Executive on the progress of the Allerton Waste Recovery Park (AWRP) project. This is a 25 year project in Partnership with North Yorkshire County Council (NYCC) with the objective of delivering a sustainable alternative to landfill for the treatment of residual waste. The project is entering its final stages and service will commence, on schedule, at the beginning of February 2018. A key element is the strengthening of the partnership between City of York Council (CYC) and NYCC, the waste disposal authorities.</p> <p>Executive will be asked to: note progress on the project and partnership between City of York Council and North Yorkshire County Council.</p>	Dave Atkinson	Executive Member for Environment (Interim Deputy Leader)
<p>York Central Access Delivery Purpose of Report Following the decision by the Executive in November 2017 to support the provision of a new access route into the York Central site from Water End this report sets out the proposed delivery strategy for the main access elements.</p> <p>Executive will be asked to: approve the delivery mechanism for the access arrangements for the York Central Scheme.</p>	Tony Clarke	Executive Member for Transport & Planning

Title and Description	Author	Portfolio Holder
<p>Modern Slavery Transparency Statement Purpose of Report To consider the content of the Council's Modern Slavery Transparency Statement.</p> <p>Executive will be asked to: consider and agree the statement which demonstrates the Council's commitment to ensuring that there are no victims of slavery or human trafficking employed directly by the Council in its commissioned services or supply.</p>	Debbie Mitchell	Executive Member for Housing & Safer Neighbourhoods
<p>Duncombe Barracks Purpose of Report To seek Executive approval to purchase the site from the Ministry of Defence.</p> <p>Executive will be asked to: Agree to the purchase of Duncombe Barracks, provided negotiations with the MoD are successful, with a view to developing the site for much-needed affordable housing.</p>	Paul Landais Stamp	Executive Member for Housing & Safer Neighbourhoods

Forward Plan: Executive Meeting: 8 February 2018

Table 2: Items scheduled on the Forward Plan for the Executive Meeting on 26 April 2018

None currently listed

Table 3: Items Slipped on the Forward Plan

None

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Executive

8 February 2018

Report of the Corporate Director of Children, Education and Communities

Portfolio of the Executive Member for Education, Children and Young People

Coordinated Admissions Schemes and Admission Arrangements for the 2019/2020 School Year

Summary

1. This report seeks approval of the admissions policies and published admission numbers for community and voluntary controlled schools – schools for whom the City of York Council is the admissions authority – for the school year beginning in September 2019.
2. It also seeks approval of the coordinated admissions schemes for the City of York area – for which the City of York Council is the coordinating Local Authority – for applications to start the school year beginning in September 2019.

Recommendations

3. The Executive is asked to:
 - a) Approve the coordinated schemes and admissions policies for all City of York Council schools for the 2019/20 school year, as set out in Annexes B-G and Y-AA.

Reason: to meet the statutory requirements of the School Admissions Code of Practice.

- b) Approve the proposed published admission numbers for all City of York Council schools for the school year beginning in September 2019, as set out in Annex A

Reason: to meet the statutory requirements of the School Admissions Code of Practice.

Background

4. A similar report, with identical recommendations, was originally considered by the Executive Member for Education, Children and Young People at a Decision Session held on Tuesday, 16 January 2018. The Executive Member resolved that this item be referred to the Executive meeting taking place on 8 February 2018, in order to account for the fact that minor changes to the admission arrangements have been made in recent years and that, therefore, it is important that the Executive are made aware of the current policies and the changes proposed for the next admissions round.
5. It is the duty of the admissions authority to carry out a consultation each year on admission arrangements where these have changed, or at least once every seven years. Admission arrangements include the admissions policy and the published admission number (PAN) for each school.
6. In the case of maintained schools, the admission authority is the local authority (LA), whilst for voluntary aided or academy schools it is the governing body or academy trust of the school.
7. As academies have come together in multi-academy trusts (MATs), the admission arrangements have been increasingly set by the trust boards of these MATs as the admissions authority for all schools within the MAT. However, in some cases the matter for setting an individual school's admission arrangements may be delegated to the Local Governing Committee of an individual academy.
8. Admissions Policies detail what information should be provided by applicants and how preferences will be ordered according to the oversubscription criteria should schools be oversubscribed – that is have more applications for places than there are places available.
9. PANs are important because they relate to the maximum number of children it is intended to admit in the year of entry (reception in primary and infant schools, year 3 in junior schools, and year 7 in secondary schools). For year 12 entry in secondary schools, this number is the intended number of external applicants to be admitted, that is excluding those that attended Year 11 at that school.

10. It is also the duty of the LA to have in place coordinated admissions schemes for each coordinated year of entry. These schemes detail how and when applications can be made and coordination between admissions authorities and local authorities will take place.

Consultation

11. After an invitation from the LA, all admissions authorities in the LA area agreed to take part in a joint consultation to provide parents, schools and other interested parties with all admissions arrangements for 2019/20 in one place.
12. LA officers continue to work with school leadership of those schools that have either recently converted to academy status, or those that are due to convert shortly, in preparation for when the LA ceases to be the admissions authority for these schools.
13. LA officers have continued to support MATs and existing academies with the formulation of their admission arrangements, many of which now have arrangements that are operationally identical to the LA's own arrangements for community and voluntary controlled schools.
14. A further piece of work was jointly undertaken throughout 2017 with the York Diocesan Board of Education to align the draft admissions policies of those Church of England voluntary aided and academy schools both with one another and with the LA's own draft policies. Through joint communication with many admissions authorities, this work has resulted in the development of common definitions and practices between the policies of these schools, the LA, and the four existing MATs that the LA supports with the formation of their admission arrangements.
15. This work has further developed these relationships with academies and not only ensures that newly converted academies have valid admission arrangements and supports schools with their new responsibilities, but also ensures that the admissions policies of all non-faith schools and all Church of England academies are further aligned from 2019. Ultimately, as evident in some examples set out in the annexes to this report, this work has increased the consistency of admissions practices and equality of opportunity for residents. Further work has also been identified for potential future revisions to the policies of some schools and academies.

16. Although coordinated by the LA, the responsibility for the formulation, determination and consultation of admission arrangements for schools for which the LA is not the admissions authority remain the responsibility of the respective governing body/academy trust.
17. The School Admissions Code of Practice 2014 requires that where consultation takes place it must be for a minimum of 6 weeks between 01 October and 31 January. Determination of these admission arrangements by admissions authorities must be complete by 28 February 2018 for the school year beginning in September 2019. This timeframe means that consultation on arrangements takes place some 23 months before children would be due to start school.
18. Neighbouring LAs, school head teachers, governing bodies, dioceses, and those that had previously expressed a continued interest in school admissions including the Ministry of Defence Welfare Team and YREN (York Racial Equality Network) were sent details of the consultation. The views of residents and parent/carers were also sought, although as is common, only a small number of residents responded via online survey or in writing.
19. The consultation ran from 16 October 2017 until 1 December 2017 and included all admission arrangements for schools in the LA area for the 2019/20 school year.
20. This year the consultation did not contain related policies such as the City of York In Year Admissions Policy and Coordinated Scheme, or the all-admission authority policy on the Delayed and Deferred Admission to Primary School that applies to summer born children. These three documents were all consulted on and approved in 2015/16 and no changes are legally necessary at this time. Should a decision be made to approve the admission arrangements that are present in Annexes E-G, officers will seek to update these related standing policies with new definitions and practice in the coming months.

Options

21. The recommendations in this report have been prepared following consultation with schools and others. The Executive can approve, reject or modify the proposals relating to community and voluntary controlled schools contained in this report and attached annexes. The Executive may also choose to raise a statutory objection to voluntary aided and academy schools admission arrangements.

Analysis

Admissions Policies

22. The LA has consulted with relevant admissions authorities on the proposed admissions arrangements for the 2019/20 school year. The City of York's proposed coordinated schemes and admissions policies are set out in Annexes B–G. Policies for voluntary aided and academy schools are contained in annexes H–V. Year 12 admissions policies are contained in annexes W–AA.
23. The coordinated schemes are applicable to all maintained schools in York including community, voluntary controlled, voluntary aided and academy schools.
24. The City of York admissions policy for each year of entry is applicable to all schools for which the LA is the admissions authority; that is all community and voluntary controlled schools. Voluntary aided and academy schools operate their own admissions policies, though as stated above those of schools that have recently become their own admissions authorities are almost identical to the admissions policies for community and voluntary controlled schools. The LA assists in the formulation and maintenance of these other policies each year whilst these schools maintain their wish for the similarity of these policies to the LA's own policies.
25. The City of York admissions policies have had few changes from those determined last year, mostly through refining some definitions and practices alongside other admissions authorities as indicated above in paragraphs 13 and 14. These changes include:
 - clearer guidance on delayed, deferred and early entry – when children can start a school for the first time;
 - broadening the definition of sibling to include foster brothers and sisters – the definition now employed is 'brothers or sisters living in the same house, as their primary place of residence (including half-, step- and foster-brothers or sisters)';
 - clarifying what constitutes an exceptional social or medical need – the definition now employed is a need that 'makes the preferred

school the most suitable school for the child' rather than as previously a need that 'relates to' the preferred school;

- clearer guidance on how 'tie breakers' work within oversubscription criteria; and
- clearer guidance on waiting lists.

26. All maintained schools and academies in York were asked for their comments on admission arrangements. 19 schools responded by the deadline of 1 December. Overwhelming schools were supportive of the draft LA policy and the proposed PAN for their schools.
27. One school governor of a community school noted the first oversubscription criteria that makes provision for children who are currently or previously have been 'looked after' should be extended to include others so that the 'school can accommodate any protected characteristics'. Provision already exists elsewhere in the policy for children with special educational needs, and also a process for those with exceptional social and medical needs (that may include these characteristics) that would make the preferred school the most suitable school for the child. As such, it is officers' opinion that current arrangements make adequate provision.
28. 64 consultation responses were received from members of the public, including residents, parents and early years professionals. Comments on our admissions policies included:
 - that the process is "fair"
 - "keeping siblings together should perhaps be more important"
 - "it's a long process until you are informed where you have been awarded a place"
 - "too many forms to fill in when you're applying for voluntary aided school"
 - that all "children who attend the infants school should automatically get a place at the junior school. It doesn't seem fair to make another application for this"
 - that the consultation provided "useful information on the timetable and application processes" as well as "helpful information on school statistics"

29. In addition to responses from members of the public via the online survey, officers were also made aware of an online change.org petition entitled 'Fairness 4 Siblings' which has been signed approximately 2,000 times. The petition can be viewed at <https://www.change.org/p/city-of-york-council-fairness-to-siblings>

This petition was started by a local resident proposing that siblings are considered as a priority in admissions and that family ties to a school should be maintained, by adopting an 'all siblings priority'.

30. There have been a number of changes to the admissions policies of voluntary aided and academy schools, including through refining some definitions and practices alongside the LA and other admissions authorities as indicated in paragraphs 13 and 14 above. These changes include:
- changes to All Saints RC School's oversubscription criteria to refer to feeder schools as a criterion. This is employed for the main criterion of Roman Catholic children who attend a named Roman Catholic feeder school and replaces Roman Catholic children whose home address is within a set distance of the school. A feeder school criterion has also been inserted for non-Catholic pupils lower in the order which may address the failure of some children who attended Catholic primary schools in 2017 who were unexpectedly refused a place at All Saints.
 - changes to Manor CE Academy's admissions policy that now defines distance as being a measurement of those 'closest to the school using the nearest available safe walking route'. Previously the school had used a more complicated and less equitable definition of distance.

Siblings

31. The City of York and MAT admissions policies do make provision for siblings in two places; first to those resident in the catchment area (as priority two in the oversubscription criteria), and second to those resident outside the catchment area (as priority five in the oversubscription criteria).
32. To implement an 'all siblings priority' would be to lower the priority for children resident in the catchment area of a preferred school, The catchment priority is an essential component in maintaining a system

based upon the provision of sufficient local school places for local children.

33. The numbers of siblings who were refused a place at their preferred school in the last few years is low. There were 2 such refusals in 2014, 4 in 2015, 3 in 2016 and 6 in 2017. In each case refusals were made only where the school had filled all available places with children within the catchment area and in some cases, other siblings who live closer to the school. In each of these cases, should these siblings have been admitted, another child within the catchment area would have been refused a place. This would in some cases have led to those children not having reasonable offers and infant class size exceptions having to be made. In turn this would increase the size of some infant classes.
34. The School Admissions Code 2014 (Paragraph 2.1) states that admission authorities must not give any guarantees that a preference will be met, so whatever order of oversubscription is used, it would not be possible to guarantee that siblings will be placed in the same school.
35. Previous annual reports from the Office of the Schools Adjudicator have noted that the provision and high priority of such an 'all sibling' criterion would create an increased risk that first-born children within a catchment area would be unable to gain a place at their catchment school. Also these catchment residents would not have any priority access for any other school, unlike siblings who live in another catchment area and therefore have priority access for those schools.
36. In 2009, the City of York Council was referred to the Schools Adjudicator by two local parents regarding the 2010/11 admission arrangements in relation to compliance with then the School Admissions Code (that has since been updated), noting that 'by giving children living in a designated catchment area higher priority in the allocation of places than siblings of children already at the school, the City Council makes unreasonable demands on the parents of young children, requiring complex and onerous arrangements for accompanying their children to their schools.' The objection also noted that 'this has the additional adverse effect of making it more difficult for parents to play an active part in the life of their children's schools'.
37. The decision of the adjudicator was that 'whilst the Code does encourage priority for siblings in primary school admission arrangements, it also prohibits the use of a sibling criterion that unfairly disadvantages other families (paragraph 2.24). Where an over-subscribed school gives a higher priority to siblings than to children living

in the catchment area, it can quickly reach the point where it is unable to accommodate all applicants living in the catchment area, thereby undermining the benefits of a catchment area and introducing a perception of unfairness.'

38. In January 2012, the Learning and Culture Overview and Scrutiny Committee investigated the priorities and order of the oversubscription criteria used in the LA's policies. The Committee heard from two serving head teachers of outstanding schools who had in the past few years had siblings who had been refused a place. After consideration, Members agreed that 'the oversubscription criteria in use in York's community and voluntary controlled schools is made up of the right priorities and in the right order... and should therefore remain unchanged.'
39. Over the last 5 years the LA has increased the quantity and quality of advice regarding siblings in the Guide for Parents, as well as publishing admissions statistics to show how many siblings have been admitted in previous years and related admissions information on the York Open Data platform. Parent/Carers are now advised prior to and after the allocation of places that 'if the place your child is allocated is at a school for which you are not in the catchment area for, or if you move out of the catchment area you now reside in, then you may have less chance of being successful when applying for any younger siblings in future years.'
40. Officers recommend that for the reasons given in paragraphs 30-37 above, that the order of the oversubscription criteria therefore remain unchanged.

Published Admission Numbers

41. The following general principles should apply when considering increases in PANs:
 - a) The school should have enough physical space to accommodate a full complement of children in each year group, based on the proposed number (or agreement from the local authority to provide additional space). Alternatively, there must be firm capital project plans in place to provide any additional accommodation required and the required funding must be secure.
 - b) The increase should form part of the agreed place planning strategy for the area. This means that there should be sufficient demand from within the school's catchment area (if applicable), or from across the wider community, to limit the risk of drawing increased numbers of pupils away from other schools.

- c) The proposed number should enable relatively straightforward organisation of classes, bearing in mind the infant class size limit of 30 children per fully qualified teacher for reception, year 1 and year 2 pupils.
42. The following general principles should apply when considering decreases in PANs:
- a) The school must still be able to accommodate demand from within their local area (catchment area, parish or priority zone).
 - b) The requested number should enable or facilitate relatively straightforward organisation of classes, bearing in mind the infant class size limit of 30 children per fully qualified teacher for reception, year 1 and year 2 pupils.
43. In their consultation responses, several primary schools raised the issue of larger cohorts moving through the school, and/or rising numbers of pupils increasing the pressure on existing school buildings.
44. St Mary's CE Primary school raised the issue of the current numbers of pupils alongside future forecast leading 'to above 30 children within our Key Stage 2 classes and therefore threatening the high standards that we have achieved in the past. Even if there is sufficient classroom space for larger numbers, this does not address the fact that bigger numbers of pupils are harder for teachers to teach and support'. Officers are currently in discussions with the school to investigate what may be possible, both in terms of school buildings and class organisation, to address this issue including the possibility of Basic Need funding being made available for these purposes.
45. Dringhouses Primary School noted that increased numbers of pupils mean the 'school is looking to increase the number of classes from 10 to 11 from September 2018 as the smaller, older cohorts will have left by the end of this year. For the 2017-18 year, KS2 class sizes are large and will grow bigger if the number of classes remains the same. The hall and playground just about accommodates the number'. Officers will continue to work with the school to support this growth by repurposing and reorganising spaces within the school building as necessary.
46. St Paul's CE Primary School noted that the differing sizes of their classrooms presented challenges with managing pupil numbers and classroom spaces, particularly given the change in their PAN from 25 to 27 for the start of the 2017/18 school year; 'Due to the size of our

classrooms (our smallest being 29m²), the admission number for Reception is 27... we have to move classrooms and year groups depending on numbers and SEN needs. Additional adults/space have to be taken into consideration every Summer Term in preparation to accommodate increased numbers in September.' Officers have been in contact with the school with a view to examining how the LA can support the school with these challenges.

47. Based on the principles in paragraph 40, officers propose, following detailed investigation of potential implications, the following change to PANs:

School	Proposal	Recommendation	Reason
Osboldwick Primary School (Community)	Decrease PAN from 60 to 45	Approve	To aide the school with more appropriate class organisation and use of resources

Analysis – Osboldwick Primary School

48. The LA did not at the start of the consultation propose a change of PAN, but instead received a request from the governing body to lower the published admission number from 60 to 45 from September 2019. The head teacher of the school has outlined to officers how the school could plan appropriately around this lower PAN within the existing school estate whilst supporting teaching and learning at the school.
49. Since the closure of Derwent Federation Schools and the expansion of Osboldwick Primary School onto two sites, the number of children on roll at Osboldwick Primary School has consistently been below the current PAN of 60. In 2014 just 42 places were allocated, falling to 39 in 2015, 36 in 2016, and 30 in 2017. In all of these years this is significantly below the average number of children of this age resident in the Osboldwick catchment area, which averages 59 children per year over this 4 year period.
50. The school feels it no longer has the capacity to support a PAN of 60 over two sites as the 'Leyes' site is now being developed to reflect the falling number of pupils. The governing body have therefore requested

a reduction in PAN from 60 to 45 to apply for the start of the 2019/20 school year.

51. The reasons stated by the school for this request are:
- recent housing developments in the area, particularly at Derwenthorpe have not proportionately increased the size of the school roll. Instead other local schools such as St Aelred's RC Primary School have benefitted from increased pupil numbers;
 - the number of children admitted for Reception has shown a steady decline;
 - the number of pupils by year group ranges from 32 to 47. These numbers make maintaining single year classes on a single or double form entry model challenging to afford;
 - the school has lost some pupils to other local schools due to previous Ofsted judgments. The school feel that there are spaces in other local schools that is true in many year groups;
 - the levels of funding received with later admissions does not compensate for the small increase in pupils, but simply enlarges classes with high proportions of disadvantaged pupils from the catchment area.
52. The school believe that a reduction in the PAN will allow the school to plan more effectively for a more stable average intake of 40 with an expected small number of spaces available for additional in year pupils, both from the university area and from the final stages of the Derwenthorpe development. At present these 'in-year admissions' are often for pupils with additional needs including those with English as an Additional Language (EAL) which can present the school with additional challenges.
53. A PAN of 45 would help limit the potential for excessive increases in pupil numbers at one school causing in-year disruption to some classes and putting pressure on the staffing structure without bringing with it sufficient funds to create additional classes.
54. The school feel that they do not have the staffing to support a PAN larger than 45 unless a new class structure and associated staffing structure can be maintained within a larger budget.
55. Being a split-site school is not fully compensated for within the school budget as staffing and building costs to support two buildings are in excess of the associated funding that is received for this purpose. This situation then places additional pressure on the school's revenue

expenditure in maintaining two sites, which only further reduces the amount of funding available for teaching and learning.

56. The Governing Body are pursuing a Single Site Policy which they believe at present can accommodate most children based on average year group numbers of 38-43 per year group. The school wish to accommodate all Early Years provision on the Leyes site and have arranged some funding support from Ebor MAT (prior to the school joining this Trust in 2018) in order to develop the rest of the site into a Training Centre and Team Base for the Ebor MAT.
57. The school have in their consultation response committed to review this should numbers and/or demand increase again in the future; 'if numbers grow in future, we can expand back on the Leyes site and consider restoring the PAN to a higher number in consultation with local schools and the LA'.
58. Osbaldwick Primary School is located in Primary Planning Area 8, which contains 8 schools in the east of the city, 2 of which do not maintain catchment areas. There are two schools – Osbaldwick Primary School and St Lawrence's CE Primary Academy that currently have significant capacity in Reception. The forecast pupil numbers for this area show a current surplus of 21 places lowering to a small deficit of 9 places by 2022/23. This surplus and deficit is across all 8 schools. Several of these local schools have in recent years had conversations with officers regarding expanding the numbers of pupils they admit, so additional places may be available in the longer term. Equally, the commitment of Osbaldwick Primary School as in paragraph 55 to expand back to a PAN of 60 if this was necessary provides some flexibility should there be a growth in pupil numbers and/or increased preferences for this school.
59. On balance, officers recommend that the decrease be approved for all these reasons above.
60. No other increases or decreases are being proposed by officers, nor have any additional requests been received from the governing bodies of community and voluntary controlled schools during the consultation period.

VA and Academy proposals

61. The following change in PAN have been proposed by voluntary aided and academy schools, who are their own admissions authorities.

School	Proposal
Archbishop Holgate's CE School	Increase PAN from 243 to 270

Analysis – Archbishop Holgate's CE School

62. The Academy had informed the LA at the start of the consultation process of a change in PAN from 243 (within 9 forms) to 270 (within 10 forms). This will be the second year the academy have formally increased the PAN by one form.
63. This increase reflects the aspirations of the academy to grow as well as to help the academy accommodate additional demand. This demand is currently mainly from outside their catchment area, but in future years these additional places will help meet demand from within the catchment area. The academy often admits above its PAN to accommodate increasing numbers of children in Year 7. In 2016 the academy offered over 270 places with 10 forms, and in 2017 the academy offered 300 places in 11 forms. Through further conversations with the academy, officers expect a similar number of places to be offered this year.
64. The LA is not aware of any consultation responses regarding this increase, and has through sharing information with neighbouring LAs, made East Riding of Yorkshire LA aware of the increase. Many of the children admitted over the PAN each year are resident in the East Riding, though current data shows that this number has fallen in the past 12 months.

Council Plan

65. **Prosperous City for all** – the setting of appropriate published admission numbers forms an integral part of the LA's effective planning as well as providing enough high quality school places within city helping lay the foundations for the local economy.
66. **A council that listens to residents** – the comments and input sought in this consultation from residents, governing bodies and other consultees were supportive of these arrangements.

67. **A focus on frontline services** – providing sufficient school places as well as fair and clear admissions policies gives residents clarity in regard to school admissions – a key responsibility of the LA.

Implications

Financial

68. There are no direct financial implications for schools or the LA resulting from determination of published admission numbers for September 2019.

Human Resources

69. There are no HR implications.

Equalities

70. There are no implications relating to equalities.

Legal

71. Under section 88C of the School Standards and Framework Act 1998 (SSFA) and Regulation 15 of the Schools Admissions (Admission Arrangements and Co-ordination of Admission Arrangements) (England) Regulations 2012 the admission authority must before the beginning of each school year, determine the admission arrangements which are to apply for that year and must carry out consultation about the proposed arrangements, unless there has been no change in the admissions arrangements in any of the six preceding determination years.
72. Under Regulation 2 of the Schools Admissions (Admission Arrangements and Co-ordination of Admission Arrangements) (England) Regulations 2012, “determination year” in relation to the proposed admission arrangements for a school means the school year beginning two years before the school year to which the arrangements relate.
73. Section 88D of the SSFA requires an admission authority for a maintained school to include a determination of the number of pupils in each relevant age group that it is intended to admit to a school in that year.

74. Under Regulation 18 of the Schools Admissions (Admission Arrangements and Co-ordination of Admission Arrangements) (England) Regulations 2012 (as provided by Section 92 of the SSFA) a local authority must publish on or before 15 March in the determination year, the proposed admission arrangements for any school or Academy which is intended to open in their area within the determination year.
75. Regulation 28 of the Schools Admissions (Admission Arrangements and Co-ordination of Admission Arrangements) (England) Regulations 2012 requires a local authority to inform the Secretary of State on or before 28 February in the determination year whether they have secured the adoption of a qualifying scheme or not.

Crime and Disorder

76. There are no Crime and Disorder implications.

Information Technology (IT)

77. There are no IT implications.

Property

78. There are no property implications.

Other Implications

79. There are no other implications.

Risk Management

80. Admission arrangements must be agreed by 28 February 2018, in order for the Council to adhere to its statutory duties regarding the allocation of school places for community and voluntary controlled schools. Without 'determination' by this date, the lack of a set policy would mean there would be no criteria by which to judge applications for these schools and no mechanism to refuse applicants into oversubscribed schools.

Contact Details

Author:
Tom Chamberlain
School Services Manager –
Policy and Strategy
Children, Education and
Communities
01904 554239

Chief Officer Responsible for the report:
Jon Stonehouse
Corporate Director of Children, Education
and Communities

Report **Date** 24 January 2018
Approved

Specialist Implications Officer(s) List information for all

Legal
 Peter Cairns
 Employment / Education Lawyer
 01904 551095

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**Annexes**

Annex A	2019/20 Proposed Published Admission Numbers
Annex B	2019/20 Coordinated admissions scheme – applying to start infant or primary school
Annex C	2019/20 Coordinated admissions scheme – applying to start junior school
Annex D	2019/20 Coordinated admissions scheme – applying to start secondary school

Annex E	2019/20 Admissions policy – City of York Council community and voluntary controlled infant and primary schools
Annex F	2019/20 Admissions policy – City of York Council community and voluntary controlled junior schools
Annex G	2019/20 Admissions policy – City of York Council community and voluntary controlled secondary schools
Annex H	2019/20 Admissions policy – All Saints RC Aided School
Annex I	2019/20 Admissions policy – Archbishop Holgate’s CE Academy
Annex J	2019/20 Admissions policy – Ebor Academy Trust
Annex K	2019/20 Admissions policy – Heworth CE Primary Academy
Annex L	2019/20 Admissions policy – Hope Learning Trust
Annex M	2019/20 Admissions policy – Huntington Primary Academy
Annex N	2019/20 Admissions policy – Manor CE Academy
Annex O	2019/20 Admissions policy – Our Lady Queen of Martyrs RC Aided Primary School
Annex P	2019/20 Admissions policy – Pathfinder Multi Academy Trust
Annex Q	2019/20 Admissions policy – South Bank Academy Trust
Annex R	2019/20 Admissions policy – St Aelred’s RC Aided Primary School
Annex S	2019/20 Admissions policy – St George’s RC Aided Primary School
Annex T	2019/20 Admissions policy – St Lawrence’s CE Primary Academy
Annex U	2019/20 Admissions policy – St Wilfrid’s RC Aided Primary School
Annex V	2019/20 Admissions policy – Wheldrake with Thorganby CE Aided Primary School

Annex W	2019/20 Admissions policy for Year 12 entry – All Saints RC Aided School
Annex X	2019/20 Admissions policy for Year 12 entry – Archbishop Holgate’s CE Academy
Annex Y	2019/20 Admissions policy for Year 12 entry – Fulford School
Annex Z	2019/20 Admissions policy for Year 12 entry – Huntington School
Annex AA	2019/20 Admissions policy for Year 12 entry – The Joseph Rowntree School

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Reception Published Admission Number			
	Current (2017/18)	Previously Determined (2018/19)	Proposed (2019/20)
Community and Voluntary Controlled Primary and Infant Schools			
2000	45	45	45
2386	60	60	60
2003	90	90	90
2018	60	60	60
2013	60	60	60
2007	45	45	45
3151	30	30	30
3152	20	20	20
2008	45	45	45
2241	45	45	45
2028	45	45	45
2428	60	60	60
3158	30	30	30
3159	12	12	12
2176	60	60	60
2014	60	60	60
2058	50	50	50
2349	14	14	14
2169	20	20	20
3002	30	30	30
3222	15	15	15
3156	45	45	45
3003	27	27	27
2227	15	15	15
2017	90	90	90
2240	40	40	40
2015	60	60	60
Voluntary Aided and Academy Primary Schools			
2431	30	30	30
2024	30	30	30
2430	90	90	90
	<i>N/A</i>	<i>N/A</i>	60
2009	45	45	45
2001	60	60	60
3302	20	20	20
2180	60	60	60
2011	60	60	60
3901	30	30	30
3904	60	60	60
2012	40	40	40
2029	60	60	60
3212	85	85	85
2016	45	45	45
3401	30	30	30
3402	30	30	30
2020	30	30	30
3403	40	40	40
2429	30	30	30
3380	30	30	30
2027	60	60	60
Total Reception places available	2138	2138	2198

Year 3 Published Admission Number			
	Current (2017/18)	Previously Determined (2018/19)	Proposed (2019/20)
Community and Voluntary Controlled Junior Schools			
3229	60	60	60
2002	90	90	90
Total Year 3 places available	150	150	150

Year 7 Published Admission Number			
	Current (2017/18)	Previously Determined (2018/19)	Proposed (2019/20)
Community and Voluntary Controlled Secondary Schools			
4153	240	240	240
4063	239	239	239
4508	220	232	232
4703	180	180	180
Voluntary Aided and Academy Secondary Schools			
4702	178	178	178
4500	216	243	270
4602	220	220	220
4229	204	212	212
4000	190	190	190
Total Year 7 places available	1887	1934	1961

Year 12 'External' Published Admission Number			
	Current (2017/18)	Previously Determined (2018/19)	Proposed (2019/20)
Community and Voluntary Controlled Secondary Schools			
4153	35	35	35
4063	30	30	30
4508	30	30	30
Voluntary Aided and Academy Secondary Schools			
4702	35	35	35
4500	40	40	40
Total 'external' Year 12 places available	170	170	170

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Primary and Infant Schools in the City of York Local Authority area

Coordinated Admissions Scheme

Reception entry

2019 – 2020

A Introduction

- 1 This coordinated scheme provides a framework for a fair and open way of determining applications to start primary or infant school in September 2019.
- 2 This scheme complies with the requirements of the School Admissions Code 2014 and all current legislation regarding school admissions.
- 3 This scheme is reviewed each year and subject to a period of consultation amongst schools, governing bodies, admissions authorities, neighbouring local authorities, parent/carers and other interested parties. It is considered within this consultation alongside the admission arrangements of all state-funded schools within the City of York area.
- 4 This scheme applies to all state-funded primary and infant schools in the City of York area who admit children at the start of Reception as the normal year of entry. It aims to ensure that within the operation of an equal preference system:
 - a) each applicant only receives one offer of a school place;
 - b) each applicant is offered the highest ranked preference school that is available; and
 - c) a single offer is made for all applicants on the same day.
- 5 This scheme applies to applications within the primary admissions round, that is when applying for a place in Reception as the normal year of entry to start primary or infant school for the first time. It does not apply to 'in-year' applications for a place at primary or infant school. In-year admissions are those that are made either during the school year, or for admission into year groups other than the normal year of entry. More information on in-year admissions can be found in the City of York In-Year Admissions Policy.

- 6 Information regarding applying for a place at primary or infant school can be found on the City of York School Admissions website at www.york.gov.uk/schooladmissions and in the Guide for Parents at www.york.gov.uk/guideforparents

B Making Applications

- 1 The standard way of making applications will be online at www.york.gov.uk/schooladmissions where an online form ('the form') can be completed to apply for a school place. It is expected that most applications will be made online, but where applicants cannot apply online, they may request support from the LA, schools, or a paper application form known as the 'School admissions application for Primary School in September 2019'.
- 2 The form will be used for the purpose of admitting children into the first year of primary education by making one single application.
- 3 The form must be used as a means of expressing one or more preferences by applicants who are parent/carers resident in the City of York Local Authority (LA) area wishing to express a preference for their child:
- a) to be admitted to a school within the LA area (including Voluntary Aided Schools and Academies); and/or
 - b) to be admitted to a school located in another LA area (including Voluntary Aided Schools and Academies).
- 4 Applicants resident in other Local Authority areas should apply to the Local Authority in which they are resident and consult the coordinated admissions scheme for that Local Authority area.

- 5 The form will invite applicants to –
- a) express in rank order up to five preferences, including Voluntary Aided schools, Academies and schools outside the City of York area;
 - b) give their reasons for their preference(s); and
 - c) provide details of their child's home address which should be the address at which the child is ordinarily resident. Further information on the address can be found in the [Guide for Parents](#).
- 6 Applicants are advised to –
- a) consider their 'catchment' school when expressing their preferences. Catchment areas are designated by the Local Authority and are made available to applicants in the [Guide to School Catchment Areas](#), online at www.york.gov.uk, and upon request from the School Services team;
 - b) consider the implications of home to school transport when expressing their preferences. The City of York Home to School Transport Policy is made available to applicants online at www.york.gov.uk/schooltransport and upon request from the School Services team. Applicants from outside the City of York area are advised to contact the Local Authority in which they are resident regarding transport;
 - c) inform the LA if they wish to home educate their child from Reception; and
 - d) inform the LA if they intend to enrol their child in an independent school from Reception.
- 7 All preferences expressed on the form are valid applications. Voluntary Aided Schools and Academies can require applicants who nominate their school to complete a supplementary information form (SIF) or provide additional information where this is required for the admissions authority to apply their oversubscription criteria to the applicant. The SIF, if required, must be returned directly to the school.

- 8 Where a Voluntary Aided School or Academy receives a SIF from a City of York resident it will not be regarded as a valid application unless the applicant has also completed the (LA) form and the school is listed as a preference on it.
- 9 If the LA receives more than one application, for example both an online and paper application, and they differ, the LA will query this with the applicant. If the LA receives an application from more than one person claiming parental responsibility for the same child, and the content of these applications differ, the LA will inform both applicants. The LA will then not process any preference(s) that differ until the applicants are either in agreement, or until one applicant can show the legal right to have their preference(s) considered over the preference(s) of the other applicant.
- 10 The closing date for applications is 15 January 2019. Completed forms must be returned to the LA including those applicants who indicate a school outside the City of York area. Completed forms can be returned to the LA via City of York infant or primary schools. Online applications must be submitted on or before the closing date for applications.

C Late Applications

- 1 Applications received after the closing date may be treated as 'late' applications by the coordinating LA and/or the admissions authority.
- 2 Admission Authorities may decide to accept late applications and treat them as 'on-time' applications if this is accompanied by a satisfactory reason provided at the time of application.

After 15 March 2019, the LA will not accept any late applications or changes of preference or changes of circumstances and treat them as 'on-time' applications or preferences, as to do so later would

jeopardise the process of timely LA coordination.

- 3 Late applications received between the closing date for applications and the date places are offered may be applied a lower priority when determining to whom places can be offered.
- 4 Late applications received after the offer day, but before the start of the school year will be coordinated using the same arrangements and criteria as 'on-time' applications, although the availability of places will depend on where places are still available as well as the preferences of applicants.
- 5 Late applications received after the first day of the school year may be considered as 'in-year' applications, although these preferences, if unsuccessful, will be held on a waiting list until the end of the first term in line with 'on-time' applications as set out in Section G of this scheme.

D Coordinating Applications

- 1 The LA will act as a clearing house for the allocation of places by the relevant admission authorities in response to preferences received via either an online application or the form.
- 2 Each admissions authority operating within the scheme will have published and determined their own admissions policy for their school(s). All preferences expressed for a school will be determined in line with the relevant admissions policy.
- 3 The LA will provide information about applicants resident in the City of York area expressing preferences for schools outside the City of York area to other Local Authorities for their consideration.
- 4 The LA will receive information about applicants resident outside the City of York area expressing preferences for schools within the City of

York area from other Local Authorities. These preferences will be processed alongside preferences from applicants from the City of York.

- 5 The LA will provide details of all preferences expressed for Voluntary Aided and Academy schools within the City of York area to those schools for their consideration.
- 6 The LA will receive completed ranked lists of all preferences from Voluntary Aided and Academy schools within the City of York area.
- 7 The LA will provide information on all preferences, including to whom offers can be made, to other coordinating Local Authorities for applicants resident outside the City of York area.
- 8 The LA will receive information on all preferences, including to whom offers can be made, from other coordinating Local Authorities for applicants resident in the City of York area.

E Decisions on Applications

- 1 The decision on which applicants are offered places at a school named as a preference on an application is the responsibility for the admissions authority for that school.
- 2 The LA will only make a decision with respect to the offer or refusal of a place in response to any preference expressed on an application where:
 - a) it is acting in its separate capacity as an admission authority, or
 - b) an applicant is eligible for a place at more than one school, or
 - c) an applicant is not eligible for a place at any school that the applicant has named as a preference.
- 3 Those schools that are their own admissions authority will rank all applicants according to the oversubscription criteria contained within their own admissions policies. These ranked lists will be made available

to the LA for the purposes of determining where a place will be offered, and be provided in accordance with the timetable laid out in this scheme.

- 4 The LA will, for those schools for which the LA is also the admissions authority, rank all applicants according to the oversubscription criteria for those schools.

F Allocations

- 1 The LA will compare the ranked lists of all schools that are named as a preference by the applicant. Where the child is eligible for a place at only one of the nominated schools, that school will be allocated to the child.

Where the child is eligible for a place at two or more of the nominated schools, they will be allocated a place at whichever of these schools is the highest ranked preference.

- 2 Each applicant will receive no more than one allocation of a school place. A place will be allocated at the highest ranking school named as a preference for which they are eligible for a place.
- 3 The LA, as the coordinating Local Authority for all applicants resident in the City of York area, will allocate school places on behalf of all admission authorities operating within the coordinated scheme.
- 4 The LA will provide all City of York primary and infant schools with a provisional list of the children to be allocated a place at their schools before the date on which allocations are made. This list may be amended by the LA at a later date. Schools should not contact parent/carers until after allocations have been made by the LA.

- 5 Allocations will be made on the National Offer Day, 16 April 2019.
- 6 If a place cannot be allocated at a school named as a preference, a place will be allocated at an alternative school where places are still available. This will be after all those preferencing a school have first been allocated a place. This may be a school some distance from the home address of the applicant.
- 7 No places will be held in reserve for any school.

G Waiting Lists

- 1 A waiting list will be compiled for all oversubscribed schools and kept until at least 31 December 2019.
- 2 Each waiting list will contain all the unsuccessful preferences, whether from 'on-time' or 'late' applications, and ranked in accordance with the relevant oversubscription criteria for that school according to the applicants current circumstances.
- 3 Applicants may request to be added to a waiting list for a school, even if they did not originally express a preference for that school. Requests should be provided in writing from the original applicant to the LA, who will communicate this to admissions authority for the school.
- 4 Each additional applicant, or change in circumstances of an applicant, will require the waiting list to be reordered in accordance with the relevant oversubscription criteria for that school.
- 5 The admissions authority for each school shall, should a place become available whilst the waiting list is in operation, make available a place to the applicant on the top of the waiting list on the day the place became available.

- 6 The LA shall, as the coordinating Local Authority, oversee these waiting lists in partnership with schools that are their own admissions authority and other Local Authorities. The LA requires other admission authorities to inform the LA when places may become available, so that a coordinated allocation may be made by the LA on behalf of all schools within this coordinated scheme, and to ensure that each child is only allocated one school place.

H Appeals

- 1 Where an applicant has been refused a place at a school of their preference, the applicant will be offered the statutory right of appeal against the decision of the admissions authority for the preference school.
- 2 Applicants may appeal for a school, even if they did not originally express a preference for that school.
- 3 The refusal letter will contain the reason why the preference was refused by the admissions authority for the preference school and what steps the applicant needs to take in order to appeal against this decision.
- 4 Where there is more than one applicant appealing for a school these will be 'grouped appeals' for the first stage wherever possible.
- 5 Where the appeal is for a school in another Local Authority area, where local appeal arrangements may differ from the above, the applicant will be advised to contact that Local Authority to further discuss the appeals process.
- 6 The outcome of the appeals process may mean there are further

variations to the allocation of places at all schools. All changes will be communicated between the various admissions authorities operating within this scheme, including the LA, schools that are their own admissions authority, and other Local Authorities.

I Timetable

by 12 September 2018	Guide for Parents published online at www.york.gov.uk/guideforparents
by 12 September 2018	Opening date for applications. 'School admissions application for Primary School in September 2019' form made available and online applications start to be accepted at www.york.gov.uk/schooladmissions
by 16 November 2018	Letters sent to the home addresses of children who attend a nursery or early years provider in the City of York area and who are due to start Reception in September 2019, informing parent/carers that applications should be made online by 15 January 2019. Parent/carers without access to the internet will be informed they should contact School Services for a paper copy of the 'School admissions application for Primary School in September 2019' form.
15 January 2019	Closing date for 'on-time' applications (both online and by paper 'School admissions application for Primary School in September 2019' form)
from 16 January 2019	Applications received may be treated as 'late'
by 22 January 2019	Communicate the total number of first preferences expressed to each City of York primary and infant school

by 25 January 2019	Receive information about applicants resident outside the City of York area expressing preferences for schools within the City of York area from other Local Authorities
by 25 January 2019	Provide information about applicants resident in the City of York area expressing preferences for schools outside the City of York area to other Local Authorities for their consideration.
by 01 February 2019	Provide details of all preferences expressed for Voluntary Aided and Academy schools within the City of York area to those schools for their consideration
by 22 February 2019	Receive completed ranked lists of all preferences from Voluntary Aided and Academy schools within the City of York area
by 22 February 2019	Last date by which Voluntary Aided and Academy schools can notify the Local Authority of an increase in the number of places to be allocated on National Offer Day. This is to allow the Local Authority good time to deliver its co-ordination responsibilities effectively. The number of places cannot be decreased below the PAN.
by 15 March 2019	First exchange of information, including to whom allocations can be made, to other coordinating Local Authorities for applicants resident outside the City of York area
by 15 March 2019	First exchange of information, including to whom allocations can be made, from other coordinating Local Authorities for applicants resident in the City of York area
by 29 March 2019	Final exchange of information, including to whom allocations can be made, to other coordinating Local Authorities for applicants resident outside the City of York area
by 29 March 2019	Final exchange of information, including to whom allocations can be made, from other coordinating

	Local Authorities for applicants resident in the City of York area
by 12 April 2019	Provide all City of York primary and infant schools with a provisional list of the children to be allocated a place at their schools.
16 April 2019	Allocations communicated to City of York resident applicants by email and/or by letter
29 April 2019 – 31 August 2019	Communicate adjustments to allocations to schools and other admission authorities
04 June 2019	Deadline for return of appeal papers for 'on-time' applicants
19 June 2019 – 19 July 2019	Admission appeals for 'on-time' applicants
September 2019	Start of the school year
31 December 2019	Earliest date waiting lists may close – the exact date for each admission authority may vary according to their admission arrangements.

J Contact details for correspondence

City of York Council School Services
 West Offices,
 Station Rise,
 York YO1 6GA
 01904 551554
education@york.gov.uk

K City of York Primary and Infant Schools

Acomb Primary (Community, 5-11)
Badger Hill Primary (Academy, 5-11)
Bishopthorpe Infant (Community, 5-7)
Burton Green Primary (Academy, 5-11)
Carr Infant (Community, 5-7)
Clifton Green Primary (Community, 5-11)
Clifton with Rawcliffe Primary (Academy, 5-11)
Copmanthorpe Primary (Community, 5-11)
Dringhouses Primary (Community, 5-11)
Dunnington CE Primary (Voluntary Controlled, 5-11)
Elvington CE Primary (Voluntary Controlled, 5-11)
Fishergate Primary (Community, 5-11)
Haxby Road Primary (Academy, 5-11)
Headlands Primary (Community, 5-11)
Hempland Primary (Academy, 5-11)
Heworth CE Primary (Academy, 5-11)
Hob Moor Community Primary (Community, 5-11)
Huntington Primary (Academy, 5-11)
Knavesmire Primary (Academy, 5-11)
Lakeside Primary (Community, 5-11)
Lord Deramore's CE Primary (Voluntary Controlled, 5-11)
Naburn CE Primary (Voluntary Controlled, 5-11)
New Earswick Primary (Academy, 5-11)
Osbalwick Primary (Community, 5-11)
Our Lady Queen of Martyrs RC Primary (Voluntary Aided, 5-11)
Park Grove Primary (Academy, 5-11)
Poppleton Ousebank (Academy, 5-11)
Poppleton Road Primary (Community, 5-11)
Ralph Butterfield Primary (Community, 5-11)
Robert Wilkinson Primary (Academy, 5-11)
Rufforth Primary (Community, 5-11)
Scarcroft Primary (Academy, 5-11)
Skelton Primary (Community, 5-11)

St Aelred's RC Primary (Voluntary Aided, 5-11)
St Barnabas' CE Primary (Voluntary Controlled, 5-11)
St George's RC Primary (Voluntary Aided, 5-11)
St Lawrence's CE Primary (Academy, 5-11)
St Mary's CE Primary (Voluntary Controlled, 5-11)
St Oswald's CE Primary (Voluntary Controlled, 5-11)
St Paul's CE Primary (Voluntary Controlled, 5-11)
St Wilfrid's RC Primary (Voluntary Aided, 5-11)
Stockton on the Forest Primary (Community, 5-11)
Tang Hall Primary (Academy, 5-11)
Westfield Primary Community (Community, 5-11)
Wheldrake with Thorganby CE Primary (Voluntary Aided, 5-11)
Wigginton Primary (Community, 5-11)
Woodthorpe Primary (Academy, 5-11)
Yearsley Grove Primary (Community, 5-11)

[View school contact details](#)

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Junior Schools in the City of York Local Authority area

Coordinated Admissions Scheme

Year 3 entry

2019 – 2020



CITY OF
YORK
COUNCIL

A Introduction

- 1 This coordinated scheme provides a framework for a fair and open way of determining applications to start junior school in September 2019.
- 2 This scheme complies with the requirements of the School Admissions Code 2014 and all current legislation regarding school admissions.
- 3 This scheme is reviewed each year and subject to a period of consultation amongst schools, governing bodies, admissions authorities, neighbouring local authorities, parent/carers and other interested parties. It is considered within this consultation alongside the admission arrangements of all state-funded schools within the City of York area.
- 4 This scheme applies to all state-funded junior schools in the City of York area who admit pupils at the start of Year 3 as the normal year of entry. It aims to ensure that within the operation of an equal preference system:
 - a) each applicant only receives one offer of a school place;
 - b) each applicant is offered the highest ranked preference school that is available; and
 - c) a single offer is made for all applicants on the same day.
- 5 This scheme applies to applications within the junior admissions round, that is when applying for a place in Year 3 as the normal year of entry to start junior school for the first time. It does not apply to 'in-year' applications for a place at junior or primary school. In-year admissions are those that are made either during the school year, or for admission into year groups other than the normal year of entry. More information on in-year admissions can be found in the City of York In-Year Admissions Policy.

- 6 Information regarding applying for a place at junior school can be found on the City of York School Admissions website at www.york.gov.uk/schooladmissions and in the Guide for Parents at www.york.gov.uk/guideforparents

B Making Applications

- 1 The standard way of making applications will be online at www.york.gov.uk/schooladmissions where an online form ('the form') can be completed to apply for a school place. It is expected that most applications will be made online, but where applicants cannot apply online, they may request support from the LA, schools, or a paper application form known as the 'School admissions application for Junior School in September 2019'.
- 2 The form will be used for the purpose of admitting pupils into the first year of junior education by making one single application.
- 3 The form must be used as a means of expressing one or more preferences by applicants who are parent/carers resident in the City of York Local Authority (LA) area wishing to express a preference for their child:
- a) to be admitted to a school within the LA area (including Voluntary Aided Schools and Academies); and/or
 - b) to be admitted to a school located in another LA area (including Voluntary Aided Schools and Academies).
- 4 Applicants resident in other Local Authority areas should apply to the Local Authority in which they are resident and consult the coordinated admissions scheme for that Local Authority area.

- 5 The form will invite applicants to –
- a) express in rank order up to five preferences, including Voluntary Aided schools, Academies and schools outside the City of York area;
 - b) give their reasons for their preference(s); and
 - c) provide details of their child's home address which should be the address at which the child is ordinarily resident. Further information on the address can be found in the [Guide for Parents](#).
- 6 Applicants are advised to –
- a) consider their 'catchment' school when expressing their preferences. Catchment areas are designated by the Local Authority and are made available to applicants in the [Guide to School Catchment Areas](#), online at www.york.gov.uk and upon request from the School Services team;
 - b) consider the implications of home to school transport when expressing their preferences. The City of York Home to School Transport Policy is made available to applicants online at www.york.gov.uk/schooltransport and upon request from the School Services team. Applicants from outside the City of York area are advised to contact the Local Authority in which they are resident regarding transport;
 - c) inform the LA if they wish to start or to continue to home educate their child from Year 3; and
 - d) inform the LA if they intend to enrol their child in an independent school from Year 3.
- 7 All preferences expressed on the form are valid applications. Voluntary Aided Schools and Academies can require applicants who nominate their school to complete a supplementary information form (SIF) or provide additional information where this is required for the admissions authority to apply their oversubscription criteria to the applicant. The SIF, if required, must be returned directly to the school.

- 8 Where a Voluntary Aided School or Academy receives a SIF from a City of York resident it will not be regarded as a valid application unless the applicant has also completed the (LA) form and the school is listed as a preference on it.
- 9 If the LA receives more than one application, for example both an online and paper application, and they differ, the LA will query this with the applicant. If the LA receives an application from more than one person claiming parental responsibility for the same child, and the content of these applications differ, the LA will inform both applicants. The LA will then not process any preference(s) that differ until the applicants are either in agreement, or until one applicant can show the legal right to have their preference(s) considered over the preference(s) of the other applicant.
- 10 The closing date for applications is 15 January 2019. Completed forms must be returned to the LA including those applicants who indicate a school outside the City of York area. Completed forms can be returned to the LA via City of York infant or primary schools. Online applications must be submitted on or before the closing date for applications.

C Late Applications

- 1 Applications received after the closing date may be treated as 'late' applications by the coordinating LA and/or the admissions authority.
- 2 Admission Authorities may decide to accept late applications and treat them as 'on-time' applications if this is accompanied by a satisfactory reason provided at the time of application.

After 15 March 2019, the LA will not accept any late applications or

changes of preference or changes of circumstances and treat them as 'on-time' applications or preferences, as to do so later would jeopardise the process of timely LA coordination.

- 3 Late applications received between the closing date for applications and the date places are offered may be applied a lower priority when determining to whom places can be offered.
- 4 Late applications received after the offer day, but before the start of the school year will be coordinated using the same arrangements and criteria as 'on-time' applications, although the availability of places will depend on where places are still available as well as the preferences of applicants.
- 5 Late applications received after the first day of the school year may be considered as 'in-year' applications, although these preferences, if unsuccessful, will be held on a waiting list until the end of the first term in line with 'on-time' applications as set out in Section G of this scheme.

D Coordinating Applications

- 1 The LA will act as a clearing house for the allocation of places by the relevant admission authorities in response to preferences received via either an online application or the form.
- 2 Each admissions authority operating within the scheme will have published and determined their own admissions policy for their school(s). All preferences expressed for a school will be determined in line with the relevant admissions policy.
- 3 The LA will provide information about applicants resident in the City of York area expressing preferences for schools outside the City of York area to other Local Authorities for their consideration.

- 4 The LA will receive information about applicants resident outside the City of York area expressing preferences for schools within the City of York area from other Local Authorities. These preferences will be processed alongside preferences from applicants from the City of York.
- 5 The LA will provide details of all preferences expressed for Voluntary Aided and Academy schools within the City of York area to those schools for their consideration.
- 6 The LA will receive completed ranked lists of all preferences from Voluntary Aided and Academy schools within the City of York area.
- 7 The LA will provide information on all preferences, including to whom offers can be made, to other coordinating Local Authorities for applicants resident outside the City of York area.
- 8 The LA will receive information on all preferences, including to whom offers can be made, from other coordinating Local Authorities for applicants resident in the City of York area.

E Decisions on Applications

- 1 The decision on which applicants are offered places at a school named as a preference on an application is the responsibility for the admissions authority for that school.
- 2 The LA will only make a decision with respect to the offer or refusal of a place in response to any preference expressed on an application where:
 - a) it is acting in its separate capacity as an admission authority, or
 - b) an applicant is eligible for a place at more than one school, or
 - c) an applicant is not eligible for a place at any school that the applicant has named as a preference.
- 3 Those schools that are their own admissions authority will rank all

applicants according to the oversubscription criteria contained within their own admissions policies. These ranked lists will be made available to the LA for the purposes of determining where a place will be offered, and be provided in accordance with the timetable laid out in this scheme.

- 4 The LA will, for those schools for which the LA is also the admissions authority, rank all applicants according to the oversubscription criteria for those schools.

F Allocations

- 1 The LA will compare the ranked lists of all schools that are named as a preference by the applicant. Where the pupil is eligible for a place at only one of the nominated schools, that school will be allocated to the pupil.

Where the pupil is eligible for a place at two or more of the nominated schools, they will be allocated a place at whichever of these schools is the highest ranked preference.
- 2 Each applicant will receive no more than one allocation of a school place. A place will be allocated at the highest ranking school named as a preference for which they are eligible for a place.
- 3 The LA, as the coordinating Local Authority for all applicants resident in the City of York area, will allocate school places on behalf of all admission authorities operating within the coordinated scheme.
- 4 The LA will provide all City of York junior schools with a provisional list of the pupils to be allocated a place at their schools before the date on which allocations are made. This list may be amended by the LA at a later date. Schools should not contact parent/carers until after allocations have been made by the LA.

- 5 Allocations will be made on the National Offer Day, 16 April 2019.
- 6 If a place cannot be allocated at a school named as a preference, a place will be allocated at an alternative school where places are still available. This will be after all those preferencing a school have first been allocated a place. This may be a school some distance from the home address of the applicant.
- 7 No places will be held in reserve for any school.
- 8 Allocations will be made to all City of York pupils even if parent/carers have not applied for a school place as the LA has a responsibility to ensure a school place is available for every pupil. Allocations will not be made where a parent/carer has informed the LA that they intend to either continue or start to –
- a) educate their child at home; or
 - b) educate their child at an independent school.

G Waiting Lists

- 1 A waiting list will be compiled for all oversubscribed schools and kept until at least 31 December 2019.
- 2 Each waiting list will contain all the unsuccessful preferences, whether from 'on-time' or 'late' applications, and ranked in accordance with the relevant oversubscription criteria for that school according to the applicants current circumstances.
- 3 Applicants may request to be added to a waiting list for a school, even if they did not originally express a preference for that school. Requests should be provided in writing from the original applicant to the LA, who will communicate this to admissions authority for the school.
- 4 Each additional applicant, or change in circumstances of an applicant,

will require the waiting list to be reordered in accordance with the relevant oversubscription criteria for that school.

- 5 The admissions authority for each school shall, should a place become available whilst the waiting list is in operation, make available a place to the applicant on the top of the waiting list on the day the place became available.
- 6 The LA shall, as the coordinating Local Authority, oversee these waiting lists in partnership with schools that are their own admissions authority and other Local Authorities. The LA requires other admission authorities to inform the LA when places may become available, so that a coordinated allocation may be made by the LA on behalf of all schools within this coordinated scheme, and to ensure that each pupil is only allocated one school place.

H Appeals

- 1 Where an applicant has been refused a place at a school of their preference, the applicant will be offered the statutory right of appeal against the decision of the admissions authority for the preference school.
- 2 Applicants may appeal for a school, even if they did not originally express a preference for that school.
- 3 The refusal letter will contain the reason why the preference was refused by the admissions authority for the preference school and what steps the applicant needs to take in order to appeal against this decision.
- 4 Where there is more than one applicant appealing for a school these will be 'grouped appeals' for the first stage wherever possible.

- 5 Where the appeal is for a school in another Local Authority area, where local appeal arrangements may differ from the above, the applicant will be advised to contact that Local Authority to further discuss the appeals process.
- 6 The outcome of the appeals process may mean there are further variations to the allocation of places at all schools. All changes will be communicated between the various admissions authorities operating within this scheme, including the LA, schools that are their own admissions authority, and other Local Authorities.

I

Timetable

by 12 September 2018	Guide for Parents published online at www.york.gov.uk/guideforparents
by 12 September 2018	Opening date for applications. 'School admissions application for Junior School in September 2019' form made available and online applications start to be accepted at www.york.gov.uk/schooladmissions
by 16 November 2018	Letter to parent/carers of Year 2 pupils in City of York infant schools informing parent/carers that applications should be made online by 15 January 2019. Parent/carers without access to the internet will be informed they should contact the School Services team for a paper copy of the 'School admissions application for Junior School in September 2019' form.

15 January 2019	Closing date for 'on-time' applications (both online and by paper 'School admissions application for Junior School in September 2019' form)
from 16 January 2019	Applications received may be treated as 'late'
by 22 January 2019	Communicate the total number of first preferences expressed to each City of York junior school
by 25 January 2019	Receive information about applicants resident outside the City of York area expressing preferences for schools within the City of York area from other Local Authorities
by 25 January 2019	Provide information about applicants resident in the City of York area expressing preferences for schools outside the City of York area to other Local Authorities for their consideration.
by 01 February 2019	Provide details of all preferences expressed for Voluntary Aided and Academy schools within the City of York area to those schools for their consideration
by 22 February 2019	Receive completed ranked lists of all preferences from Voluntary Aided and Academy schools within the City of York area
by 22 February 2019	Last date by which Voluntary Aided and Academy schools can notify the Local Authority of an increase in the number of places to be allocated on National Offer Day. This is to allow the Local Authority good time to deliver its co-ordination responsibilities effectively. The number of places cannot be decreased below the PAN.
by 15 March 2019	First exchange of information, including to whom allocations can be made, to other coordinating Local Authorities for applicants resident outside the City of York area
by 15 March 2019	First exchange of information, including to whom allocations can be made, from other coordinating

	Local Authorities for applicants resident in the City of York area
by 29 March 2019	Final exchange of information, including to whom allocations can be made, to other coordinating Local Authorities for applicants resident outside the City of York area
by 29 March 2019	Final exchange of information, including to whom allocations can be made, from other coordinating Local Authorities for applicants resident in the City of York area
by 12 April 2019	Provide all City of York junior schools with a provisional list of the pupils to be allocated a place at their schools.
16 April 2019	Allocations communicated to City of York resident applicants by email and/or by letter
29 April 2019 – 31 August 2019	Communicate adjustments to allocations to schools and other admission authorities
04 June 2019	Deadline for return of appeal papers for 'on-time' applicants
11 June 2018 – 20 July 2018	Admission appeals for 'on-time' applicants
September 2019	Start of the school year
31 December 2019	Earliest date waiting lists may close – the exact date for each admission authority may vary according to their admission arrangements.

J Contact details for correspondence

City of York Council School Services
 West Offices,
 Station Rise,
 York YO1 6GA
 01904 551554

education@york.gov.uk

K City of York Junior Schools

Archbishop of York's CE Junior (Voluntary Controlled, 7-11)
Carr Junior (Community, 7-11)

[View school contact details](#)

DRAFT

Secondary Schools in the City of York Local Authority area

Coordinated Admissions Scheme

Year 7 entry

2019 – 2020



CITY OF
YORK
COUNCIL

A Introduction

- 1 This coordinated scheme provides a framework for a fair and open way of determining applications to start secondary school in September 2019.
- 2 This scheme complies with the requirements of the School Admissions Code 2014 and all current legislation regarding school admissions.
- 3 This scheme is reviewed each year and subject to a period of consultation amongst schools, governing bodies, admissions authorities, neighbouring local authorities, parent/carers and other interested parties. It is considered within this consultation alongside the admission arrangements of all state-funded schools within the City of York area.
- 4 This scheme applies to all state-funded secondary schools in the City of York area who admit pupils at the start of Year 7 as the normal year of entry. It aims to ensure that within the operation of an equal preference system:
 - a) each applicant only receives one offer of a school place;
 - b) each applicant is offered the highest ranked preference school that is available; and
 - c) a single offer is made for all applicants on the same day.
- 5 This scheme applies to applications within the secondary admissions round, that is when applying for a place in Year 7 as the normal year of entry to start secondary school for the first time. It does not apply to 'in-year' applications for a place at secondary school. In-year admissions are those that are made either during the school year, or for admission into year groups other than the normal year of entry. More information on in-year admissions can be found in the City of York In-Year Admissions Policy.

- 6 Information regarding applying for a place at secondary school can be found on the City of York School Admissions website at www.york.gov.uk/schooladmissions and in the Guide for Parents at www.york.gov.uk/guideforparents

B Making Applications

- 1 The standard way of making applications will be online at www.york.gov.uk/schooladmissions where an online form ('the form') can be completed to apply for a school place. It is expected that most applications will be made online, but where applicants cannot apply online, they may request support from the LA, schools, or a paper application form known as the 'School admissions application for Secondary School in September 2019'.
- 2 The form will be used for the purpose of admitting pupils into the first year of secondary education by making one single application.
- 3 The form must be used as a means of expressing one or more preferences by applicants who are parent/carers resident in the City of York Local Authority (LA) area wishing to express a preference for their child:
- a) to be admitted to a school within the LA area (including Voluntary Aided Schools and Academies); and/or
 - b) to be admitted to a school located in another LA area (including Voluntary Aided Schools and Academies).
- 4 Applicants resident in other Local Authority areas should apply to the Local Authority in which they are resident and consult the coordinated admissions scheme for that Local Authority area.
- 5 The form will invite applicants to –
- a) express in rank order up to five preferences, including Voluntary Aided schools, Academies and schools outside the City of York

area;

- b) give their reasons for their preference(s); and
- c) provide details of their child's home address which should be the

address at which the child is ordinarily resident. Further information on the address can be found in the [Guide for Parents](#).

- 6 Applicants are advised to –
- a) consider their 'catchment' school when expressing their preferences. Catchment areas are designated by the Local Authority and are made available to applicants in the [Guide to School Catchment Areas](#), online at www.york.gov.uk, and upon request from the School Services team;
 - b) consider the implications of home to school transport when expressing their preferences. The City of York Home to School Transport Policy is made available to applicants online at www.york.gov.uk/schooltransport and upon request from the School Services team. Applicants from outside the City of York area are advised to contact the Local Authority in which they are resident regarding transport;
 - c) inform the LA if they wish to start or to continue to home educate their child from Year 7; and
 - d) inform the LA if they intend to enrol their child in an independent school from Year 7.
- 7 All preferences expressed on the form are valid applications. Voluntary Aided Schools and Academies can require applicants who nominate their school to complete a supplementary information form (SIF) or provide additional information where this is required for the admissions authority to apply their oversubscription criteria to the applicant. The SIF, if required, must be returned directly to the school.
- 8 Where a Voluntary Aided School or Academy receives a SIF from a City of York resident it will not be regarded as a valid application unless the applicant has also completed the (LA) form and the school is listed as a preference on it.

- 9 If the LA receives more than one application, for example both an online and paper application, and they differ, the LA will query this with the applicant. If the LA receives an application from more than one person claiming parental responsibility for the same child, and the content of these applications differ, the LA will inform both applicants. The LA will then not process any preference(s) that differ until the applicants are either in agreement, or until one applicant can show the legal right to have their preference(s) considered over the preference(s) of the other applicant.
- 10 The closing date for applications is 31 October 2018. Completed forms must be returned to the LA including those applicants who indicate a school outside the City of York area. Completed forms can be returned to the LA via City of York primary or junior schools. Online applications must be submitted on or before the closing date for applications.

C Late Applications

- 1 Applications received after the closing date may be treated as 'late' applications by the coordinating LA and/or the admissions authority.
- 2 Admission Authorities may decide to accept late applications and treat them as 'on-time' applications if this is accompanied by a satisfactory reason provided at the time of application.

After 31 January 2019, the LA will not accept any late applications or changes of preference or changes of circumstances and treat them as 'on-time' applications or preferences, as to do so later would jeopardise the process of timely LA coordination.

- 3 Late applications received between the closing date for applications and the date places are offered may be applied a lower priority when determining to whom places can be offered.
- 4 Late applications received after the offer day, but before the start of the school year will be coordinated using the same arrangements and criteria as 'on-time' applications, although the availability of places will depend on where places are still available as well as the preferences of applicants.
- 5 Late applications received after the first day of the school year may be considered as 'in-year' applications, although these preferences, if unsuccessful, will be held on a waiting list until the end of the first term in line with 'on-time' applications as set out in Section G of this scheme.

D Coordinating Applications

- 1 The LA will act as a clearing house for the allocation of places by the relevant admission authorities in response to preferences received via either an online application or the form.
- 2 Each admissions authority operating within the scheme will have published and determined their own admissions policy for their school(s). All preferences expressed for a school will be determined in line with the relevant admissions policy.
- 3 The LA will provide information about applicants resident in the City of York area expressing preferences for schools outside the City of York area to other Local Authorities for their consideration.
- 4 The LA will receive information about applicants resident outside the City of York area expressing preferences for schools within the City of

York area from other Local Authorities. These preferences will be processed alongside preferences from applicants from the City of York.

- 5 The LA will provide details of all preferences expressed for Voluntary Aided and Academy schools within the City of York area to those schools for their consideration.
- 6 The LA will receive completed ranked lists of all preferences from Voluntary Aided and Academy schools within the City of York area.
- 7 The LA will provide information on all preferences, including to whom offers can be made, to other coordinating Local Authorities for applicants resident outside the City of York area.
- 8 The LA will receive information on all preferences, including to whom offers can be made, from other coordinating Local Authorities for applicants resident in the City of York area.

E Decisions on Applications

- 1 The decision on which applicants are offered places at a school named as a preference on an application is the responsibility for the admissions authority for that school.
- 2 The LA will only make a decision with respect to the offer or refusal of a place in response to any preference expressed on an application where:
 - a) it is acting in its separate capacity as an admission authority, or
 - b) an applicant is eligible for a place at more than one school, or
 - c) an applicant is not eligible for a place at any school that the applicant has named as a preference.
- 3 Those schools that are their own admissions authority will rank all

applicants according to the oversubscription criteria contained within their own admissions policies. These ranked lists will be made available to the LA for the purposes of determining where a place will be offered, and be provided in accordance with the timetable laid out in this scheme.

- 4 The LA will, for those schools for which the LA is also the admissions authority, rank all applicants according to the oversubscription criteria for those schools.

F Allocations

- 1 The LA will compare the ranked lists of all schools that are named as a preference by the applicant. Where the pupil is eligible for a place at only one of the nominated schools, that school will be allocated to the pupil.

Where the pupil is eligible for a place at two or more of the nominated schools, they will be allocated a place at whichever of these schools is the highest ranked preference.

- 2 Each applicant will receive no more than one allocation of a school place. A place will be allocated at the highest ranking school named as a preference for which they are eligible for a place.
- 3 The LA, as the coordinating Local Authority for all applicants resident in the City of York area, will allocate school places on behalf of all admission authorities operating within the coordinated scheme.
- 4 The LA will provide all City of York secondary schools with a provisional list of the pupils to be allocated a place at their schools before the date on which allocations are made. This list may be amended by the LA at a later date. Schools should not contact parent/carers until after allocations have been made by the LA.

- 5 Allocations will be made on the National Offer Day, 01 March 2019.
- 6 If a place cannot be allocated at a school named as a preference, a place will be allocated at an alternative school where places are still available. This will be after all those preferencing a school have first been allocated a place. This may be a school some distance from the home address of the applicant.
- 7 No places will be held in reserve for any school.
- 8 Allocations will be made to all City of York pupils even if parent/carers have not applied for a school place as the LA has a responsibility to ensure a school place is available for every pupil. Allocations will not be made where a parent/carer has informed the LA that they intend to either continue or start to –
- a) educate their child at home; or
 - b) educate their child at an independent school.

G Waiting Lists

- 1 A waiting list will be compiled for all oversubscribed schools and kept until at least 31 December 2019.
- 2 Each waiting list will contain all the unsuccessful preferences, whether from 'on-time' or 'late' applications, and ranked in accordance with the relevant oversubscription criteria for that school according to the applicants current circumstances.
- 3 Applicants may request to be added to a waiting list for a school, even if they did not originally express a preference for that school. Requests should be provided in writing from the original applicant to the LA, who will communicate this to admissions authority for the school.
- 4 Each additional applicant, or change in circumstances of an applicant,

will require the waiting list to be reordered in accordance with the relevant oversubscription criteria for that school.

- 5 The admissions authority for each school shall, should a place become available whilst the waiting list is in operation, make available a place to the applicant on the top of the waiting list on the day the place became available.
- 6 The LA shall, as the coordinating Local Authority, oversee these waiting lists in partnership with schools that are their own admissions authority and other Local Authorities. The LA requires other admission authorities to inform the LA when places may become available, so that a coordinated allocation may be made by the LA on behalf of all schools within this coordinated scheme, and to ensure that each pupil is only allocated one school place.

H Appeals

- 1 Where an applicant has been refused a place at a school of their preference, the applicant will be offered the statutory right of appeal against the decision of the admissions authority for the preference school.
- 2 Applicants may appeal for a school, even if they did not originally express a preference for that school.
- 3 The refusal letter will contain the reason why the preference was refused by the admissions authority for the preference school and what steps the applicant needs to take in order to appeal against this decision.
- 4 Where there is more than one applicant appealing for a school these will be 'grouped appeals' for the first stage wherever possible.

- 5 Where the appeal is for a school in another Local Authority area, where local appeal arrangements may differ from the above, the applicant will be advised to contact that Local Authority to further discuss the appeals process.
- 6 The outcome of the appeals process may mean there are further variations to the allocation of places at all schools. All changes will be communicated between the various admissions authorities operating within this scheme, including the LA, schools that are their own admissions authority, and other Local Authorities.

I Timetable

by 12 September 2018	Guide for Parents published online at www.york.gov.uk/guideforparents
by 12 September 2018	Opening date for applications. 'School admissions application for Secondary School in September 2019' form made available and online applications start to be accepted at www.york.gov.uk/schooladmissions
by 14 September 2018	Letter to parent/carers of Year 6 pupils in City of York primary schools informing parent/carers of dates of secondary school open evenings and that applications should be made online by 31 October 2018. Parent/carers without access to the internet will be informed they should contact the School Services team for a paper copy of the 'School admissions application for Secondary School in September 2019' form.
September 2018 – October 2018	Secondary school open evenings
October 2018	Follow-up letter to parent/carers of Year 6 pupils in City of York primary schools following secondary school open evenings
31 October 2018	Closing date for 'on-time' applications (both online and by paper 'School admissions

	application for Secondary School in September 2019' form)
from 01 November 2018	Applications received may be treated as 'late'
by 16 November 2018	Communicate the total number of first preferences expressed to each City of York secondary school
by 16 November 2018	Receive information about applicants resident outside the City of York area expressing preferences for schools within the City of York area from other Local Authorities
by 16 November 2018	Provide information about applicants resident in the City of York area expressing preferences for schools outside the City of York area to other Local Authorities for their consideration.
by 7 December 2018	Provide details of all preferences expressed for Voluntary Aided and Academy schools within the City of York area to those schools for their consideration
by 11 January 2019	Receive completed ranked lists of all preferences from Voluntary Aided and Academy schools within the City of York area
by 11 January 2019	Last date by which Voluntary Aided and Academy schools can notify the Local Authority of an increase in the number of places to be allocated on National Offer Day. This is to allow the Local Authority good time to deliver its co-ordination responsibilities effectively. The number of places cannot be decreased below the PAN.
by 18 January 2019	First exchange of information, including to whom allocations can be made, to other coordinating Local Authorities for applicants resident outside the City of York area
by 18 January 2019	First exchange of information, including to whom allocations can be made, from other coordinating Local Authorities for applicants resident in the City of York area

by 15 February 2019	Final exchange of information, including to whom allocations can be made, to other coordinating Local Authorities for applicants resident outside the City of York area
by 15 February 2019	Final exchange of information, including to whom allocations can be made, from other coordinating Local Authorities for applicants resident in the City of York area
by 27 February 2019	Provide all City of York secondary schools with a provisional list of the pupils to be allocated a place at their schools.
01 March 2019	Allocations communicated to City of York resident applicants by email and/or by letter
11 March 2019 – 31 August 2019	Communicate adjustments to allocations to schools and other admission authorities
29 March 2019	Deadline for return of appeal papers for 'on-time' applicants
29 April 2019 – 27 June 2019	Admission appeals for 'on-time' applicants
September 2019	Start of the school year
31 December 2019	Earliest date waiting lists may close – the exact date for each admission authority may vary according to their admission arrangements.

J Contact details for correspondence

City of York Council School Services
 West Offices,
 Station Rise,
 York YO1 6GA
 01904 551554
 education@york.gov.uk

K City of York Secondary Schools

All Saints' RC School (Voluntary Aided, 11-18)
Archbishop Holgate's CE School (Academy, 11-18)
Fulford School (Community, 11-18)
Huntington School (Community, 11-18)
Joseph Rowntree School (Voluntary Controlled, 11-18)
Manor CE Academy (Academy, 11-16)
Millthorpe School (Academy, 11-16)
Vale of York Academy (Academy, 11-16)
York High School (Community, 11-16)

[View school contact details](#)

Community and Voluntary Controlled Primary and Infant Schools

Admissions Policy – Reception entry
2019 – 2020

Introduction

- 1 This policy applies to those schools where the Local Authority (LA), City of York Council, is the admissions authority – that is all community and voluntary controlled primary and infant schools within the City of York area. The LA is responsible for determining the school's admissions arrangements (including this policy) and deciding who can be allocated a place in accordance with it.
- 2 This policy applies only to applications within the primary admissions round, that is when applying for a place in Reception as the normal year of entry to start primary or infant school for the first time. It does not apply to 'in-year' applications for a place at a primary or infant school. In-year admissions are those that are made either during the school year, or for admission into year groups other than the normal year of entry. More information on in-year admissions can be found in the [City of York In-Year Admissions Policy](#).
- 3 The mechanisms and content of this policy may also be adopted by other admissions authorities wishing to reflect the aims of this policy in their own admission arrangements. The LA will offer assistance where requested to other admission authorities with schools in the City of York LA area who wish to adopt similar arrangements for the benefit of residents of the LA area.
- 4 This policy complies with and operates within the City of York Coordinated Admissions Scheme for Primary and Infant Schools in the City of York Local Authority area.
- 5 The LA policy for allocating primary and infant school places is designed to be as fair as possible while ensuring that resources are used sensibly. The LA works closely with the head teachers and governing bodies of all schools in school place planning and organisation regarding the numbers of places that can be allocated.

- 6 Under the primary and infant school admission arrangements the allocation of places is based on where the child/parent lives and the preferences of parent/carers.
- 7 The admission of children into the Reception year at an infant or primary school is a completely separate process to nursery admissions. Attendance at a particular nursery class or early years provider does not give a child any priority within the admissions policy for admission to a community or voluntary controlled infant or primary school, even if the school and nursery are located on the same premises or the nursery is run by the school itself.
- 8 Advice and information for parent/carers on school admissions, including [key information that applies to all applications](#) as well as some frequently asked questions are available in the Guide for Parents which is available at www.york.gov.uk/guideforparents or upon request from the School Services team. It is recommended that all applicants consider the information in the [Guide for Parents](#) before making an application.
- 9 The admission of children with an Education, Health and Care plan or a statement of special educational needs is covered by different admission regulations. Following negotiation, once a school has been named, a place will be allocated for these children before considering other applications.

A Admissions into Reception

- 1 Children will normally be admitted into the year group relevant to the child's age and will start full-time in the school year they turn five. All children will be offered the opportunity of a full time place from September in the year of entry.
- 2 This policy includes an option of 'delayed entry'. This means that

parent/carers may secure a place at a school under the normal admission arrangements but choose to postpone their child's admission to school, as long as their admission is not delayed beyond the point at which they reach compulsory school age. A child normally reaches compulsory school age at the start of the term following their fifth birthday. The table below sets out the position:

Date of birth	Date of compulsory school age	Latest date child may start school full-time
1 September 2014 - 31 December 2014	31 December 2019	The start of the 'Spring' term in January 2020
1 January 2015 - 31 March 2015	31 March 2020	The start of the 'Summer' term in April 2020
1 April 2015 - 31 August 2015	31 August 2020	[The start of the 'Autumn' term in September 2020

If you would like to delay your child's entry, so they do not start full-time in September 2019, you must still apply at the normal time. Once allocated a school place, you should then advise the school in writing of your child's intended start date and keep in regular contact with the school regarding any changes to this intended date. Start dates are recommended to be at the start of each half term, but these can be varied by agreement with the school.

The school will hold a place for that child and not offer it to another child during the remainder of the Reception year. You should contact the school to make arrangements for admission of your child by no later than 20 school days before the intended start date. If you do not contact the school in the 20 school days before an intended and/or previously communicated start date, the school will make all reasonable efforts to contact you by telephone and in writing at any known physical address or email address. In the event that all attempts to contact you are unsuccessful, the school place may be withdrawn.

- 3 Parent/carers will also be able to request a part-time place until the start of the term after the child turns five. It is a legal requirement that all children must enter formal full-time education at the start of the term after their fifth birthday, but if you would like to discuss part-time education for your child so they do not start full-time in September

2019, you must still apply at the normal time. Once allocated a school place, you should then ask the school in writing what part-time provision may be offered, advise them of your child's intended full-time start date and keep in regular contact with the school regarding any changes to this intended date.

- 4 Some parent/carers of 'summer born' children (those children born between 01 April and 31 August) may wish to investigate the possibility of 'deferred entry' into a lower year group. If you are considering this for your child, please contact the [School Services team](#) who can provide you with information and advice.

If you would like to defer your child's entry, so they do not start in Reception in September 2019, but instead start Reception in September 2020, you must still apply at the normal time and parallel to your application, put a formal request in writing to defer your child's admission.

For the purposes of coming to a decision on such deferrals for those children living in the City of York, the LA has developed a city-wide policy and invited all other admissions authorities to take part in joint arrangements. More information on delayed and deferred entry can be found in the [City of York Delayed and Deferred Admissions Policy](#).

- 5 If you would like to investigate accelerating your child's entry, so they do not start in the year group relevant to the child's age (the school year they turn five), but instead start at an earlier time, you should contact the LA at an early stage to discuss your intentions and what the best approach might be.

If you would like to accelerate your child's entry, you should then put a formal request in writing, together with any supporting information, by no later than 30 November 2018. The LA will then consider your request, if necessary in conjunction with other schools, early years providers and professionals.

If the request is approved, wherever possible you should submit an

application as part of the normal admissions round, for the year group it has been agreed is the most appropriate for the child. Parents/carers should make it clear in their application that an application out of the usual year group has been agreed. The application will then be considered in accordance with this admissions policy. The LA will not give the application lower priority on the basis that the child is being admitted out of their normal age group. If the request is rejected, you should apply in the usual way for your child to join their correct age group. Should parents/carers disagree with a decision to refuse their request, they should put their complaint in writing and follow the LA's complaints policy.

- 6 Applications should be made by the closing date for applications which is 15 January 2019. Applications can be made online at www.york.gov.uk/schooladmissions. It is expected that most applications will be made online, but where applicants cannot apply online, they may request support from the LA, schools, or a paper application form known as the 'School admissions application for Primary School in September 2019'.
- 7 When making an application, parent/carers are advised to supply any additional information that may be required to the admissions authority in writing, preferably by emailing education@york.gov.uk with the child's details. For example, additional information will need to be provided when applying on the basis of being 'previously looked after' or having exceptional social or medical needs which relate to the preferred school. Further guidance on additional information can be found in the [Guide for Parents](#).
- 8 Any school's resources, such as teachers and classrooms, have to be used carefully to ensure the best possible standards for education and a safe environment. If no limit were set on the number of children that can go to a school each year these standards could not be maintained. Infant Class Size legislation may also limit the number of pupils that can be admitted in reception, Year 1 and Year 2. For these reasons each school has a Published Admission Number – that is the number of places available that will be offered in the year of entry.

- 9 Applicants may be successful in obtaining a place at a school that does not serve the local 'catchment' area in which they live. If allocated a place at such a school, applicants will be responsible for travel arrangements and the costs of travel to and from school.
- 10 Applicants are advised to consider their 'catchment' school when making an application. If the place your child is allocated is at a school which you are not in the catchment area for, or if you move out of the catchment area you now reside in, then you may have less chance of being successful when applying for any younger siblings. Catchment areas are designated by the LA and are made available to applicants in the [Guide to School Catchment Areas](http://www.york.gov.uk), online at www.york.gov.uk and upon request from the School Services team.

B Oversubscription criteria

Some schools will be oversubscribed – that is where the number of applicants exceeds the Published Admission Number. Where this is the case, priority is given to certain categories of children. The oversubscription criteria set out below will be used to prioritise all applicants who have applied for a place at a school in these circumstances in the following priority order:

- 1 **Children who are either currently or have previously been 'looked after'**. This applies to all children who are currently in the care of a local authority and all children who have been adopted from local authority care (subject to an adoption, residence or special guardianship order);

It is the responsibility of parent/carers, or the child's social worker to provide the information to the admissions authority that this criterion applies.

- 2 **Children who live within the catchment area normally served by the preferred school, with a sibling at the preferred school at the time of admission.** Catchment areas are designated by the LA and are made available to parent/carers in the [Guide to School Catchment Areas](#), online at www.york.gov.uk, and upon request from the School Services team. Siblings are defined as brothers or sisters living in the same house, as their primary place of residence (including half-, step- and foster-brothers or sisters);

The LA uses the address provided in the application, and using GIS software, determines which catchment area an address, and therefore a child, resides in. This address must be the address at which the child is ordinarily resident. Further detailed advice on addresses is contained within the [Guide for Parents](#).

It is the responsibility of parent/carers to include with their application the name of any sibling(s) where this criterion applies for checking by the LA.

- 3 **Children who live within the catchment area normally served by the preferred school .** Catchment areas are designated by the LA and are made available to parent/carers in the [Guide to School Catchment Areas](#), online at www.york.gov.uk, and upon request from the School Services team;

The LA uses the address provided in the application, and using GIS software, determines which catchment area an address, and therefore a child, resides in. This address must be the address at which the child is ordinarily resident. Further detailed advice on addresses is contained within the [Guide for Parents](#).

- 4 **Children considered by the admissions authority to have exceptional social or medical needs which makes the preferred school the most suitable school for the child.** The admissions authority may consult with other medical or educational professionals for a further opinion as to whether the child should be allocated a place at the preferred school due to a particular medical condition or social need;

It is the responsibility of parent/carers to provide the additional information where they believe this criterion applies. To be given priority on this basis, the admissions authority would have to be satisfied that the child's needs were such that the preferred school would be the most suitable school for the child.

Admissions officers defer these considerations and decisions to a panel of children's services officers, in areas such as safeguarding and education social care. This 'Exceptional Social and Medical (ESM) Panel' considers any documentation provided by parent/carers and assesses whether these needs are 'exceptional' in nature. Admissions officers have no decision-making role in this process and only identify those applications to be considered by the ESM Panel and request further information from parent/carers. Those applications with supporting information that the ESM Panel determines are 'exceptional' would have to be where only the preferred school could meet the child's need.

5 **Children with a sibling at the preferred school at the time of admission.**

Siblings are defined as brothers or sisters living in the same house, as their primary place of residence (including half-, step and foster-brothers or sisters);

It is the responsibility of parent/carers to include with their application the name of any sibling(s) where this criterion applies for checking by the LA.

6 **Children who live closest to the preferred school using the nearest available safe walking route.** Distances are measured by a GIS mapping system from the child's home address to the entrance of the school.

Distances are measured using a system of walking routes rather than straight line distances to better reflect the length of the journey from home to school. Within a contiguous urban area these routes are those that are properly paved and lit alongside roads and other walkways and do not include the York outer ring road. Outside a

contiguous urban area, for example for applications from outside the City of York area, these distances continue to be measured along the road network.

Where there are fewer places than children in an oversubscription priority as above, in order to decide to whom places will be allocated, the following tie-breakers will be applied:

- first, to the child(ren) who also fulfil the next highest priority;
- second, to the child(ren) living closest to the school as defined in priority 6;
- and third, if the measurement of the distance from home to school above does not distinguish between two or more applicants with equal priority, random allocation will be used as the final tie-breaker, and independently verified.

Where the application of the above would lead to a place being made available for a child of multiple birth, but not their sibling(s), we will work within the Admissions Code in order to make a place available for the sibling(s) wherever reasonably possible.

For example, for two children who are both resident in the catchment area without a sibling on roll at the time of admission and are thus assigned the same (third) priority, the place would first be allocated to the child who also fulfils the next highest priority, for example, an exceptional social or medical need (fourth priority) over a child who lives closer to the school (sixth priority).

C Appeals

- 1 Applicants refused a place at the school have a statutory right of appeal. If a preference for a place at the school is refused, the applicant will be informed of the reasons and of their right of appeal. This right does not apply if they are allocated a place but it is not in their preferred year group.

- 2 Appeals are heard by an independent appeals panel and their decisions are legally binding in line with the School Admission Appeals Code. We will publish our appeals timetable at www.york.gov.uk/schooladmissions by 28 February 2019. Applicants who wish to appeal should contact the School Services team to request the correct appeal form. Appeal forms should be returned within 20 school days of the date the place was refused.
- 3 Applicants will only be able to appeal once in any one school year unless, in exceptional circumstances, the admissions authority has accepted a second application because of a significant and material change in the circumstances of the parent/carer, child or school.

D False Information

Where an offer of a place has been made on the basis of fraudulent or intentionally misleading information, which has effectively denied a place to a child with a stronger claim, the offer of a place will be withdrawn.

E Late Applications

- 1 Applications received after the closing date of 15 January 2019 may be treated as 'late' applications – that is processed after all 'on-time' applications.
- 2 Where possible, 'late' applications and changes of preference and/or circumstances will be treated as 'on-time' applications if:
 - a) this is accompanied by a satisfactory reason provided at the time of application; and
 - b) it can be accommodated within the timescales of the coordinated scheme and/or admissions authority's processes.

- 3 Late applications received after the offer day, but before the start of the school year will be processed using the same arrangements and criteria as 'on-time' applications, although the availability of places will depend on where places are still available as well as the preferences of applicants.
- 4 Late applications received after the first day of the school year will be considered as 'in-year' applications, and be subject to the [City of York In Year Admissions Policy](#). However, these preferences, if unsuccessful, will be held on a waiting list until the end of the first term in line with 'on-time' applications as set out in Section F of this scheme.

F Waiting List

- 1 If a school is oversubscribed, a waiting list will be held from when offers have been made until 31 December 2019. After 31 December 2019, if there is still a waiting list, an 'in-year' waiting list is then held until the end of that school year. Beyond the first school year, refused preferences do not 'roll over' into future school years. Should applicants wish to remain on a waiting list for a future school year, they should submit a new application by 1 June in the relevant year.
- 2 A child's position on the list will be determined by the oversubscription criteria set out in Section B of this policy and will reflect their current circumstances where these circumstances have been provided to the admissions authority. The list will also contain all other on-time and late preferences that have been refused or are requested. Should a place become available while the waiting list is in operation, a place will be made available to the applicant on the top of the waiting list on the day the place became available.
- 3 Applications may only be made once for each school year unless there has been a significant and material change in the circumstances of the parent/carer, child or school, which the admissions authority agrees requires a new application.

- 4 Being on a waiting list does not affect a parent's/carer's right of appeal against an unsuccessful preference.

G

Timetable

by 12 September 2018	Opening date for applications. 'School admissions application for Primary School in September 2019' form made available and online applications start to be accepted at www.york.gov.uk/schooladmissions
15 January 2019	Closing date for 'on-time' applications (both online and by paper 'School admissions application for Primary School in September 2019' form)
from 16 January 2019	Applications received may be treated as 'late'
16 April 2019	National Offer Day
04 June 2019	Deadline for return of appeal papers for 'on-time' applicants
19 June 2019 – 19 July 2019	Admission appeals for 'on-time' applicants
September 2019	Start of the school year
31 December 2019	Waiting list for all community and voluntary controlled primary and infant schools closes

H

Contact details for correspondence

City of York Council School Services
 West Offices,
 Station Rise,
 York YO1 6GA
 01904 551554
education@york.gov.uk

I

City of York Community and Voluntary Controlled Primary and Infant Schools

Acomb Primary (Community, 5-11)
 Bishopthorpe Infant (Community, 5-7)
 Carr Infant (Community, 5-7)
 Clifton Green Primary (Community, 5-11)
 Copmanthorpe Primary (Community, 5-11)
 Dringhouses Primary (Community, 5-11)
 Dunnington CE Primary (Voluntary Controlled, 5-11)
 Elvington CE Primary (Voluntary Controlled, 5-11)
 Fishergate Primary (Community, 5-11)
 Headlands Primary (Community, 5-11)
 Hob Moor Community Primary (Community, 5-11)
 Lakeside Primary (Community, 5-11)
 Lord Deramore's CE Primary (Voluntary Controlled, 5-11)
 Naburn CE Primary (Voluntary Controlled, 5-11)
 Osbaldwick Primary (Community, 5-11)
 Poppleton Road Primary (Community, 5-11)
 Ralph Butterfield Primary (Community, 5-11)
 Rufforth Primary (Community, 5-11)
 Skelton Primary (Community, 5-11)
 St Barnabas' CE Primary (Voluntary Controlled, 5-11)
 St Mary's CE Primary (Voluntary Controlled, 5-11)
 St Oswald's CE Primary (Voluntary Controlled, 5-11)
 St Paul's CE Primary (Voluntary Controlled, 5-11)
 Stockton on the Forest Primary (Community, 5-11)
 Westfield Primary Community (Community, 5-11)
 Wigginton Primary (Community, 5-11)
 Yearsley Grove Primary (Community, 5-11)

[View school contact details](#)

Community and Voluntary Controlled Junior Schools

Admissions Policy – Year 3 entry

2019 – 2020

Introduction

- 1 This policy applies to those schools where the Local Authority (LA), City of York Council, is the admissions authority – that is all community and voluntary controlled junior schools within the City of York area. The LA is responsible for determining the school's admissions arrangements (including this policy) and deciding who can be allocated a place in accordance with it.
- 2 This policy applies only to applications within the junior admissions round, that is when applying for a place in Year 3 as the normal year of entry to start junior school for the first time. It does not apply to 'in-year' applications for a place at a junior or primary school. In-year admissions are those that are made either during the school year, or for admission into year groups other than the normal year of entry. More information on in-year admissions can be found in the [City of York In-Year Admissions Policy](#).
- 3 The mechanisms and content of this policy may also be adopted by other admissions authorities wishing to reflect the aims of this policy in their own admission arrangements. The LA will offer assistance where requested to other admission authorities with schools in the City of York LA area who wish to adopt similar arrangements for the benefit of residents of the LA area.
- 4 This policy complies with and operates within the City of York Coordinated Admissions Scheme for Junior Schools in the City of York Local Authority area.
- 5 The LA policy for allocating junior school places is designed to be as fair as possible while ensuring that resources are used sensibly. The LA works closely with the head teachers and governing bodies of all schools in school place planning and organisation regarding the numbers of places that can be allocated.

- 6 Under the junior school admission arrangements the allocation of places is based on where the child/parent lives and the preferences of parent/carers.
- 7 Although attendance at a particular primary or infant school may give a child any priority for admission to a junior school, this is not guaranteed, even if both schools are community or voluntary controlled schools, located on the same premises, or run by or share the same leadership or resources.
- 8 Advice and information for parent/carers on school admissions, including **key information that applies to all applications** as well as some frequently asked questions are available in the Guide for Parents which is available at www.york.gov.uk/guideforparents or upon request from the School Services team. It is recommended that all applicants consider the information in the [Guide for Parents](#) before making an application.
- 9 The admission of pupils with an Education, Health and Care plan or a statement of special educational needs is covered by different admission regulations. Following negotiation, once a school has been named, a place will be allocated for these pupils before considering other applications.

A Admissions into Year 3

- 1 Pupils will normally be admitted into the year group relevant to the pupil's age.
- 2 If you would like to investigate accelerating your child's entry, so they do not start in the year group relevant to the child's age, but instead start at an earlier time, you should contact the LA at an early stage to discuss your intentions and what the best approach might be.

If you would like to accelerate your child's entry, you should then put a

formal request in writing, together with any supporting information, an details of whether your child has previously been educated out of their chronological age group, by no later than 30 November 2018. The LA will then consider your request, if necessary in conjunction with other schools and professionals.

If the request is approved, wherever possible you should submit an application as part of the normal admissions round, for the year group it has been agreed is the most appropriate for the child. Parents/carers should make it clear in their application that an application out of the usual year group has been agreed. The application will then be considered in accordance with this admissions policy. The LA will not give the application lower priority on the basis that the child is being admitted out of their normal age group. If the request is rejected, you should apply in the usual way for your child to join their correct age group. Should parents/carers disagree with a decision to refuse their request, they should put their complaint in writing and follow the LA's complaints policy.

- 3 Applications should be made by the closing date for applications which is 15 January 2019. Applications can be made online at www.york.gov.uk/schooladmissions. It is expected that most applications will be made online, but where applicants cannot apply online, they may request support from the LA, schools, or a paper application form known as the 'School admissions application for Junior School in September 2019'.
- 4 When making an application, parent/carers are advised to supply any additional information that may be required to the admissions authority by emailing education@york.gov.uk with the pupil's details. For example, additional information will need to be provided when applying on the basis of being 'previously looked after' or having exceptional social or medical needs which relate to the preferred school. Further guidance on additional information can be found in the [Guide for Parents](#).

- 5 Any school's resources, such as teachers and classrooms, have to be used carefully to ensure the best possible standards for education and a safe environment. If no limit were set on the number of pupils that can go to a school each year these standards could not be maintained. For this reason each school has a Published Admission Number – that is the number of places available that will be offered in the year of entry.
- 6 Applicants may be successful in obtaining a place at a school that does not serve the local 'catchment' area in which they live. If allocated a place at such a school, applicants will be responsible for travel arrangements and the costs of travel to and from school.
- 7 Applicants are advised to consider their 'catchment' school when making an application. If the place your child is allocated is at a school which you are not in the catchment area for, or if you move out of the catchment area you now reside in, then you may have less chance of being successful when applying for any younger siblings. Catchment areas are designated by the Local Authority and are made available to applicants in the [Guide to School Catchment Areas](#), online at www.york.gov.uk and upon request from the School Services team.

B Oversubscription criteria

Some schools will be oversubscribed – that is where the number of applicants exceeds the Published Admission Number. Where this is the case, priority is given to certain categories of pupil. The oversubscription criteria set out below will be used to prioritise all applicants who have applied for a place at a school in these circumstances in the following priority order:

- 1 **Pupils who are either currently or have previously been 'looked after'.** This applies to all pupils who are currently in the care of a local authority and all pupils who have been adopted from local authority care (subject to an adoption, residence or special guardianship order);

It is the responsibility of parent/carers, or the pupil's social worker to provide the information to the admissions authority that this criterion applies.

- 2 **Pupils who live within the catchment area normally served by the preferred school, with a sibling at the preferred school at the time of admission.** Catchment areas are designated by the Local Authority and are made available to parent/carers in the [Guide to School Catchment Areas](#), online at www.york.gov.uk, and upon request from the School Services team. Siblings are defined as brothers or sisters living in the same house, as their primary place of residence (including half-, step- and foster-brothers or sisters);

The LA uses the address provided in the application, and using GIS software, determines which catchment area an address, and therefore a pupil, resides in. This address must be the address at which the pupil is ordinarily resident. Further detailed advice on addresses is contained within the [Guide for Parents](#).

It is the responsibility of parent/carers to include with their application the name of any sibling(s) where this criterion applies for checking by the LA.

- 3 **Pupils who live within the catchment area normally served by the preferred school.** Catchment areas are designated by the Local Authority and are made available to parent/carers in the [Guide to School Catchment Areas](#), online at www.york.gov.uk, and upon request from the School Services team;

The LA uses the address provided in the application, and using GIS software, determines which catchment area an address, and therefore a pupil, resides in. This address must be the address at which the pupil

is ordinarily resident. Further detailed advice on addresses is contained within the [Guide for Parents](#).

- 4 **Pupils considered by the admissions authority to have exceptional social or medical needs which makes the preferred school the most suitable school for the pupil.** The admissions authority may consult with other medical or educational professionals for a further opinion as to whether the pupil should be allocated a place at the preferred school due to a particular medical condition or social need;

It is the responsibility of parent/carers to provide the additional information where they believe this criterion applies. To be given priority on this basis, the admissions authority would have to be satisfied that the pupil's needs were such that the preferred school would be the most suitable school for the pupil.

Admissions officers defer these considerations and decisions to a panel of children's services officers, in areas such as safeguarding and education social care. This 'Exceptional Social and Medical (ESM) Panel' considers any documentation provided by parent/carers and assesses whether these needs are 'exceptional' in nature. Admissions officers have no decision-making role in this process and only identify those applications to be considered by the ESM Panel and request further information from parent/carers. Those applications with supporting information that the ESM Panel determines are 'exceptional' would have to be where only the preferred school could meet the pupil's need.

- 5 **Pupils with a sibling at the preferred school at the time of admission.** Siblings are defined as brothers or sisters living in the same house, as their primary place of residence (including half-, step and foster-brothers or sisters);

It is the responsibility of parent/carers to include with their application the name of any sibling(s) where this criterion applies for checking by the LA.

- 6 **Pupils who attend Year 2 at the named feeder school for the preferred school at the time of the closing date for applications.** The closing date of applications is 15 January in the year of admission. Each City of York Junior school has only one named feeder school.

For Archbishop of York's CE Junior School the named feeder school is Bishopthorpe Infant School.

For Carr Junior School the named feeder school is Carr Infant School.

- 7 **Pupils who live closest to the preferred school using the nearest available safe walking route.** Distances are measured by a GIS mapping system from the pupil's home address to the entrance of the school.

Distances are measured using a system of walking routes rather than straight line distances to better reflect the length of the journey from home to school. Within a contiguous urban area these routes are those that are properly paved and lit alongside roads and other walkways and do not include the York outer ring road. Outside a contiguous urban area, for example for applications from outside the City of York area, these distances continue to be measured along the road network.

Where there are fewer places than pupils in an oversubscription priority as above, in order to decide to whom places will be allocated, the following tie-breakers will be applied:

- first, to the pupil(s) who also fulfil the next highest priority;
- second, to the pupil(s) living closest to the school as defined in priority 7;
- and third, if the measurement of the distance from home to school above does not distinguish between two or more applicants with equal priority, random allocation will be used as the final tie-breaker, and independently verified.

Where the application of the above would lead to a place being made available for a pupil of multiple birth, but not their sibling(s), we will work within the Admissions Code in order to make a place available for the sibling(s) wherever reasonably possible.

For example, for two pupils who are both resident in the catchment area without a sibling on roll at the time of admission and are thus assigned the same (third) priority, the place would first be allocated to the pupil who also fulfils the next highest priority, for example, an exceptional social or medical need (fourth priority) over a pupil who lives closer to the school (seventh priority).

C Appeals

- 1 Applicants refused a place at the school have a statutory right of appeal. If a preference for a place at the school is refused, the applicant will be informed of the reasons and of their right of appeal. This right does not apply if they are allocated a place but it is not in their preferred year group.
- 2 Appeals are heard by an independent appeals panel and their decisions are legally binding in line with the School Admission Appeals Code. We will publish our appeals timetable at www.york.gov.uk/schooladmissions by 28 February 2019. Applicants who wish to appeal should contact the School Services team to request the correct appeal form. Appeal forms should be returned within 20 school days of the date the place was refused.
- 3 Applicants will only be able to appeal once in any one school year unless, in exceptional circumstances, the admissions authority has accepted a second application because of a significant and material change in the circumstances of the parent/carer, pupil or school.

D False Information

Where an offer of a place has been made on the basis of fraudulent or intentionally misleading information, which has effectively denied a place to a pupil with a stronger claim, the offer of a place will be withdrawn.

E Late Applications

- 1 Applications received after the closing date of 15 January 2019 may be treated as 'late' applications – that is processed after all 'on-time' applications.
- 2 Where possible, 'late' applications and changes of preference and/or circumstances will be treated as 'on-time' applications if:
 - a) this is accompanied by a satisfactory reason provided at the time of application; and
 - b) it can be accommodated within the timescales of the coordinated scheme and/or admissions authority's processes.
- 3 Late applications received after the offer day, but before the start of the school year will be processed using the same arrangements and criteria as 'on-time' applications, although the availability of places will depend on where places are still available as well as the preferences of applicants.
- 4 Late applications received after the first day of the school year will be considered as 'in-year' applications, and be subject to the [City of York In Year Admissions Policy](#). However, these preferences, if unsuccessful, will be held on a waiting list until the end of the first term in line with 'on-time' applications as set out in Section F of this scheme.

F Waiting List

- 1 If a school is oversubscribed, a waiting list will be held from when offers have been made until 31 December 2019. After 31 December 2019, if there is still a waiting list, an 'in-year' waiting list is then held until the end of that school year. Beyond the first school year, refused preferences do not 'roll over' into future school years. Should applicants wish to remain on a waiting list for a future school year, they should submit a new application by 1 June in the relevant year.
- 2 A pupil's position on the list will be determined by the oversubscription criteria set out in Section B of this policy and will reflect their current circumstances where these circumstances have been provided to the admissions authority. The list will also contain all other on-time and late preferences that have been refused or are requested. Should a place become available while the waiting list is in operation, a place will be made available to the applicant on the top of the waiting list on the day the place became available.
- 3 Applications may only be made once for each school year unless there has been a significant and material change in the circumstances of the parent/carer, pupil or school, which the admissions authority agrees requires a new application.
- 4 Being on a waiting list does not affect a parent's/carer's right of appeal against an unsuccessful preference.

G

Timetable

by 12 September 2018	Opening date for applications. 'School admissions application for Junior School in September 2019' form made available and online applications start to be accepted at www.york.gov.uk/schooladmissions
15 January 2019	Closing date for 'on-time' applications (both online and by paper 'School admissions application for Junior School in September 2019' form)
from 16 January 2019	Applications received may be treated as 'late'
16 April 2019	National Offer Day
04 June 2019	Deadline for return of appeal papers for 'on-time' applicants
19 June 2019 – 19 July 2019	Admission appeals for 'on-time' applicants
September 2019	Start of the school year
31 December 2019	Waiting list for all community and voluntary controlled junior schools closes

H Contact details for correspondence

City of York Council School Services
 West Offices,
 Station Rise,
 York YO1 6GA
 01904 551554
education@york.gov.uk

I

City of York Community and Voluntary Controlled Junior Schools

Archbishop of York's CE Junior (Voluntary Controlled, 7-11)
Carr Junior (Community, 7-11)

[View school contact details](#)

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Community and Voluntary Controlled Secondary Schools

Admissions Policy – Year 7 entry

2019 – 2020

Introduction

- 1 This policy applies to those schools where the Local Authority (LA), City of York Council, is the admissions authority – that is all community and voluntary controlled secondary schools within the City of York area. The LA is responsible for determining the school's admissions arrangements (including this policy) and deciding who can be allocated a place in accordance with it.
- 2 This policy applies only to applications within the secondary admissions round, that is when applying for a place in Year 7 as the normal year of entry to start secondary for the first time. It does not apply to 'in-year' applications for a place at a secondary school. In-year admissions are those that are made either during the school year, or for admission into year groups other than the normal year of entry. More information on in-year admissions can be found in the [City of York In-Year Admissions Policy](#).
- 3 The mechanisms and content of this policy may also be adopted by other admissions authorities wishing to reflect the aims of this policy in their own admission arrangements. The LA will offer assistance where requested to other admission authorities with schools in the City of York LA area who wish to adopt similar arrangements for the benefit of residents of the LA area.
- 4 This policy complies with and operates within the City of York Coordinated Admissions Scheme for Secondary Schools in the City of York Local Authority area.
- 5 The LA policy for allocating secondary school places is designed to be as fair as possible while ensuring that resources are used sensibly. The LA works closely with the head teachers and governing bodies of all schools in school place planning and organisation regarding the numbers of places that can be allocated.

- 6 Under the secondary school admission arrangements the allocation of places is based on where the child/parent lives and the preferences of parent/carers.
- 7 Attendance at a particular primary or junior school does not give a child any priority for admission to a secondary school, even if both schools are community or voluntary controlled schools, located on the same premises, or run by or share the same leadership or resources.
- 8 Advice and information for parent/carers on school admissions, including **key information that applies to all applications** as well as some frequently asked questions are available in the Guide for Parents which is available at www.york.gov.uk/guideforparents or upon request from the School Services team. It is recommended that all applicants consider the information in the [Guide for Parents](#) before making an application.
- 9 The admission of children with an Education, Health and Care plan or a statement of special educational needs is covered by different admission regulations. Following negotiation, once a school has been named, a place will be allocated for these children before considering other applications.

A Admissions into Year 7

- 1 Pupils will normally be admitted into the year group relevant to the pupil's age.
- 2 If you would like to investigate accelerating your child's entry, so they do not start in the year group relevant to the child's age, but instead start at an earlier time, you should contact the LA at an early stage to discuss your intentions and what the best approach might be.

If you would like to accelerate your child's entry, you should then put a

formal request in writing, together with any supporting information, an details of whether your child has previously been educated out of their chronological age group, by no later than 30 November 2018. The LA will then consider your request, if necessary in conjunction with other schools and professionals.

If the request is approved, wherever possible you should submit an application as part of the normal admissions round, for the year group it has been agreed is the most appropriate for the child. Parents/carers should make it clear in their application that an application out of the usual year group has been agreed. The application will then be considered in accordance with this admissions policy. The LA will not give the application lower priority on the basis that the child is being admitted out of their normal age group. If the request is rejected, you should apply in the usual way for your child to join their correct age group. Should parents/carers disagree with a decision to refuse their request, they should put their complaint in writing and follow the LA's complaints policy.

- 3 Applications should be made by the closing date for applications which is 31 October 2018. Applications can be made online at www.york.gov.uk/schooladmissions. It is expected that most applications will be made online, but where applicants cannot apply online, they may request support from the LA, schools, or a paper application form known as the 'School admissions application for Secondary School in September 2019'.
- 4 When making an application, parent/carers are advised to supply any additional information that may be required to the admissions authority in writing, preferably by emailing education@york.gov.uk with the pupil's details. For example, additional information will need to be provided when applying on the basis of being 'previously looked after' or having exceptional social or medical needs which relate to the preferred school. Further guidance on additional information can be found in the [Guide for Parents](#).

- 5 Any school's resources, such as teachers and classrooms, have to be used carefully to ensure the best possible standards for education and a safe environment. If no limit were set on the number of pupils that can go to a school each year these standards could not be maintained. For this reason each school has a Published Admission Number – that is the number of places available that will be offered in the year of entry.
- 6 Applicants may be successful in obtaining a place at a school that does not serve the local 'catchment' area in which they live. If allocated a place at such a school, applicants will be responsible for travel arrangements and the costs of travel to and from school.
- 7 Applicants are advised to consider their 'catchment' school when making an application. If the place your child is allocated is at a school which you are not in the catchment area for, or if you move out of the catchment area you now reside in, then you may have less chance of being successful when applying for any younger siblings. Catchment areas are designated by the Local Authority and are made available to applicants in the [Guide to School Catchment Areas](#), online at www.york.gov.uk and upon request from the School Services team.

B Oversubscription criteria

Some schools will be oversubscribed – that is where the number of applicants exceeds the Published Admission Number. Where this is the case, priority is given to certain categories of pupil. The oversubscription criteria set out below will be used to prioritise all applicants who have applied for a place at a school in these circumstances in the following priority order:

- 1 **Pupils who are either currently or have previously been 'looked after'.** This applies to all pupils who are currently in the care of a local authority and all pupils who have been adopted from local authority care (subject to an adoption, residence or special guardianship order);

It is the responsibility of parent/carers, or the pupil's social worker to provide the information to the admissions authority that this criterion applies.

- 2 **Pupils who live within the catchment area normally served by the preferred school, with a sibling at the preferred school at the time of admission.** Catchment areas are designated by the Local Authority and are made available to parent/carers in the [Guide to School Catchment Areas](#), online at www.york.gov.uk, and upon request from the School Services team. Siblings are defined as brothers or sisters living in the same house, as their primary place of residence (including half-, step- and foster-brothers or sisters);

The LA uses the address provided in the application, and using GIS software, determines which catchment area an address, and therefore a pupil, resides in. This address must be the address at which the pupil is ordinarily resident. Further detailed advice on addresses is contained within the [Guide for Parents](#).

It is the responsibility of parent/carers to include with their application the name of any sibling(s) where this criterion applies for checking by the LA.

- 3 **Pupils who live within the catchment area normally served by the preferred school.** Catchment areas are designated by the Local Authority and are made available to parent/carers in the [Guide to School Catchment Areas](#), online at www.york.gov.uk, and upon request from the School Services team;

The LA uses the address provided in the application, and using GIS software, determines which catchment area an address, and therefore a pupil, resides in. This address must be the address at which the pupil

is ordinarily resident. Further detailed advice on addresses is contained within the [Guide for Parents](#).

- 4 **Pupils considered by the admissions authority to have exceptional social or medical needs which makes the preferred school the most suitable school for the pupil.** The admissions authority may consult with other medical or educational professionals for a further opinion as to whether the pupil should be allocated a place at the preferred school due to a particular medical condition or social need;

It is the responsibility of parent/carers to provide the additional information where they believe this criterion applies. To be given priority on this basis, the admissions authority would have to be satisfied that the pupil's needs were such that the preferred school would be the most suitable school for the pupil.

Admissions officers defer these considerations and decisions to a panel of children's services officers, in areas such as safeguarding and education social care. This 'Exceptional Social and Medical (ESM) Panel' considers any documentation provided by parent/carers and assesses whether these needs are 'exceptional' in nature. Admissions officers have no decision-making role in this process and only identify those applications to be considered by the ESM Panel and request further information from parent/carers. Those applications with supporting information that the ESM Panel determines are 'exceptional' would have to be where only the preferred school could meet the pupil's need.

- 5 **Pupils with a sibling at the preferred school at the time of admission.** Siblings are defined as brothers or sisters living in the same house, as their primary place of residence (including half-, step and foster-brothers or sisters);

It is the responsibility of parent/carers to include with their application the name of any sibling(s) where this criterion applies for checking by the LA.

- 6 **Pupils who live closest to the preferred school using the nearest available safe walking route.** Distances are measured by a GIS mapping system from the pupil's home address to the entrance of the school.

Distances are measured using a system of walking routes rather than straight line distances to better reflect the length of the journey from home to school. Within a contiguous urban area these routes are those that are properly paved and lit alongside roads and other walkways and do not include the York outer ring road. Outside a contiguous urban area, for example for applications from outside the City of York area, these distances continue to be measured along the road network.

Where there are fewer places than pupils in an oversubscription priority as above, in order to decide to whom places will be allocated, the following tie-breakers will be applied:

- first, to the pupil(s) who also fulfil the next highest priority;
- second, to the pupil(s) living closest to the school as defined in priority 6;
- and third, if the measurement of the distance from home to school above does not distinguish between two or more applicants with equal priority, random allocation will be used as the final tie-breaker, and independently verified.

Where the application of the above would lead to a place being made available for a pupil of multiple birth, but not their sibling(s), we will work within the Admissions Code in order to make a place available for the sibling(s) wherever reasonably possible.

For example, for two pupils who are both resident in the catchment area without a sibling on roll at the time of admission and are thus assigned the same (third) priority, the place would first be allocated to the pupil who also fulfils the next highest priority, for example, an exceptional social or medical need (fourth priority) over a pupil who lives closer to the school (sixth priority).

C Appeals

- 1 Applicants refused a place at the school have a statutory right of appeal. If a preference for a place at the school is refused, the applicant will be informed of the reasons and of their right of appeal. This right does not apply if they are allocated a place but it is not in their preferred year group.
- 2 Appeals are heard by an independent appeals panel and their decisions are legally binding in line with the School Admission Appeals Code. We will publish our appeals timetable at www.york.gov.uk/schooladmissions by 28 February 2019. Applicants who wish to appeal should contact the School Services team to request the correct appeal form. Appeal forms should be returned within 20 school days of the date the place was refused.
- 3 Applicants will only be able to appeal once in any one school year unless, in exceptional circumstances, the admissions authority has accepted a second application because of a significant and material change in the circumstances of the parent/carer, pupil or school.

D False Information

Where an offer of a place has been made on the basis of fraudulent or intentionally misleading information, which has effectively denied a place to a pupil with a stronger claim, the offer of a place will be withdrawn.

E Late Applications

- 1 Applications received after the closing date of 31 October 2018 may be treated as 'late' applications – that is processed after all 'on-time' applications.
- 2 Where possible, 'late' applications and changes of preference and/or circumstances will be treated as 'on-time' applications if:
 - a) this is accompanied by a satisfactory reason provided at the time of application; and
 - b) it can be accommodated within the timescales of the coordinated scheme and/or admissions authority's processes.
- 3 Late applications received after the offer day, but before the start of the school year will be processed using the same arrangements and criteria as 'on-time' applications, although the availability of places will depend on where places are still available as well as the preferences of applicants.
- 4 Late applications received after the first day of the school year will be considered as 'in-year' applications, and be subject to the [City of York In Year Admissions Policy](#). However, these preferences, if unsuccessful, will be held on a waiting list until the end of the first term in line with 'on-time' applications as set out in Section F of this scheme.

F Waiting List

- 1 If a school is oversubscribed, a waiting list will be held from when offers have been made until 31 December 2019. After 31 December 2019, if there is still a waiting list, an 'in-year' waiting list is then held until the end of that school year. Beyond the first school year, refused preferences do not 'roll over' into future school years. Should applicants wish to remain on a waiting list for a future school year, they

should submit a new application by 1 June in the relevant year.

- 2 A pupil's position on the list will be determined by the oversubscription criteria set out in Section B of this policy and will reflect their current circumstances where these circumstances have been provided to the admissions authority. The list will also contain all other on-time and late preferences that have been refused or are requested. Should a place become available while the waiting list is in operation, a place will be made available to the applicant on the top of the waiting list on the day the place became available.
- 3 Applications may only be made once for each school year unless there has been a significant and material change in the circumstances of the parent/carer, pupil or school, which the admissions authority agrees requires a new application.
- 4 Being on a waiting list does not affect a parent's/carer's right of appeal against an unsuccessful preference.

G

Timetable

by 12 September 2018	Opening date for applications. 'School admissions application for Secondary School in September 2019' form made available and online applications start to be accepted at www.york.gov.uk/schooladmissions
September 2018 – October 2018	Secondary school open evenings
31 October 2018	Closing date for 'on-time' applications (both online and by paper 'School admissions application for Secondary School in September 2019' form)

from 01 November 2018	Applications received may be treated as 'late'
01 March 2019	National Offer Day
29 March 2019	Deadline for return of appeal papers for 'on-time' applicants
29 April 2019 – 27 June 2019	Admission appeals for 'on-time' applicants
September 2019	Start of the school year
31 December 2019	Waiting list for all community and voluntary controlled secondary schools closes

H Contact details for correspondence

City of York Council School Services
 West Offices,
 Station Rise,
 York YO1 6GA
 01904 551554
education@york.gov.uk

I City of York Community and Voluntary Controlled Secondary Schools

Fulford School (Community, 11-18)
 Huntington School (Community, 11-18)
 Joseph Rowntree School (Voluntary Controlled, 11-18)
 York High School (Community, 11-16)

[View school contact details](#)



Fulford School

Admissions Policy – Year 12 entry

2019 – 2020

Introduction

- 1 The City of York Council is the Admissions Authority for Fulford School and is therefore responsible for the admission of students into Year 12.

The City of York Council has delegated the responsibility for the administration of admissions into Year 12 to the Head teacher of the school and so any queries regarding Year 12 admissions should be directed to the school.

Advice and information for parent/carers on school admissions, including [key information that applies to all applications](#) as well as some frequently asked questions are available in the Guide for Parents which is available at www.york.gov.uk/guideforparents or upon request from the School Services team.

- 2 The combined capacity for Years 12 and 13 is 320.

A Admissions into Year 12

- 1 Admission into Year 12 will be from:
 - (a) students on roll in Year 11 at Fulford School; and
 - (b) external applicant students not attending Year 11 at Fulford School.
- 2 Fulford School welcomes applications from eligible external applicants, and where applications are received from those not already on roll in Year 11 at the school, the school will admit eligible external students to Year 12. The published admission number for Year 12 is 35 students, though wherever possible additional students may be offered places on available courses.

- 3 Both students on roll in Year 11 at Fulford School, and external applicants are required to apply for a place in Year 12.
- 4 The same entry requirements for admission into Year 12 will apply for students on roll in Year 11 at Fulford School and external applicants.
- 5 Students will be admitted into Year 12 at the start of the Autumn Term in each school year, although there may be some occasions when students transfer during an academic year.

B Minimum entry requirements

All students seeking admission to Year 12 must achieve the necessary grades for access onto the courses they have chosen.

C Oversubscription criteria

- 1 Where the number of eligible external applicants for a course of study exceeds the places available, then admission will be determined in accordance with the following priority of admission criteria:
 1. **Students who are either currently or have previously been 'looked after'**. This applies to all students who are in the care of a local authority and all students who have been adopted from local authority care (subject to an adoption, residence or special guardianship order);
 2. **Students who live within the catchment area normally served by Fulford School, with a sibling at Fulford School at the time of admission.** Catchment areas are designated by the Local Authority and are made available to parent/carers in the

[Guide to School Catchment Areas](#), online at www.york.gov.uk, and upon request from the School Services team. Siblings are defined as brothers or sisters living in the same house, as their primary place of residence (including half-, step- and foster-brothers or sisters);

3. **Students who live within the catchment area normally served by Fulford School.** Catchment areas are designated by the Local Authority and are made available to parent/carers in the [Guide to School Catchment Areas](#), online at www.york.gov.uk, and upon request from the School Services team;
4. **Students considered by Fulford School to have exceptional social or medical needs which makes the preferred school the most suitable school for the student.** Fulford School may consult with other medical or educational professionals for a further opinion as to whether the pupil should be allocated a place at the preferred school due to a particular medical condition or social need;
5. **Students with a sibling at Fulford School at the time of admission.** Siblings are defined as brothers or sisters living in the same house, as their primary place of residence (including half-, step- and foster-brothers or sisters);
6. **Students who live closest to Fulford School using the nearest available safe walking route.** Distances are measured by a GIS mapping system from the student's home address to the entrance of the school.

Where there are fewer places than students in an oversubscription priority as above, places will be allocated to the student(s) who also fulfil the next highest priority.

For example, for two students who are both resident in the catchment area without a sibling on roll at the time of admission and are thus assigned the same (third) priority, the place would first be allocated to

the student who also fulfils the next highest priority, for example, an exceptional social or medical need (fourth priority) over a student who lives closer to the school (sixth priority).

In the unlikely case of identical distances under the sixth priority, the applications will be ordered randomly by the Authority's admissions software.

- 2 The number of students who have applied for each course will need to be taken into account, meaning that extra students can sometimes be accommodated over the admission number of 35 eligible external applicants if the student's chosen course is not full.

D Appeals

- 1 Any student refused the offer of a place has the right of appeal to an Independent Appeals Panel. Students who wish to appeal should contact the School Services team to request the correct appeal form. Appeal forms should be returned within 20 school days of the date the place was refused.
- 2 If refused, a student will only be able to appeal once for a place at a given school in any one school year, unless any significant new information is available which was not available at the original hearing.

E False Information

Where an offer of a place has been made on the basis of fraudulent or intentionally misleading information, which has effectively denied a place to a student with a stronger claim, the offer of a place will be withdrawn.

F Late Applications

Late applications will be considered up to the end of the first full week of the Autumn Term 2019, where places are still available. Although students can apply at any time, groupings will be based on Easter numbers so later applications may be harder to accommodate.

G Timetable for admission

December 2018 – February 2019	Students complete application
February 2019 – April 2019	Application processed
April 2019	Decision on application (subject to results) communicated to students
August 2019	Year 11 results published
August 2019	Admission confirmed or refused
September 2019	Independent Appeals

Students can apply up to the start of the courses but it is helpful to receive early applications as above.

H Contact details for correspondence

Fulford School
Fulfordgate,
Fulford,
York YO10 4FY
01904 633300
office@fulford.york.sch.uk

City of York Council School Services
West Offices,
Station Rise,
York YO1 6GA
01904 551554
education@york.gov.uk

www.fulford.york.sch.uk

www.york.gov.uk/schools

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Huntington School

Admissions Policy – Year 12 entry

2019 – 2020

Introduction

- 1 The City of York Council is the Admissions Authority for Huntington School and is therefore responsible for the admission of students into Year 12.

The City of York Council has delegated the responsibility for the administration of admissions into Year 12 to the Head teacher of the school and so any queries regarding Year 12 admissions should be directed to the school.

Advice and information for parent/carers on school admissions, including [key information that applies to all applications](#) as well as some frequently asked questions are available in the Guide for Parents which is available at www.york.gov.uk/guideforparents or upon request from the School Services team.

- 2 The combined capacity for Years 12 and 13 is 320.

A Admissions into Year 12

- 1 Admission into Year 12 will be from:
 - (a) students on roll in Year 11 at Huntington School; and
 - (b) external applicant students not attending Year 11 at Huntington School.
- 2 Huntington School will admit 30 external applicant students into Year 12 each year.
- 3 Both students on roll in Year 11 at Huntington School, and external applicants are required to apply for a place in Year 12.

- 4 The same entry requirements for admission into Year 12 will apply for students on roll in Year 11 at Huntington School and external applicants.
- 5 Students will be admitted into Year 12 at the start of the Autumn Term in each school year, although there may be some occasions when students transfer during an academic year.

B Minimum entry requirements

All students seeking admission to Year 12 must achieve the necessary grades for access onto the courses they have chosen.

C Oversubscription Criteria

- 1 Where the number of eligible external applicants for a course of study exceeds the places available, then admission will be determined in accordance with the following priority of admission criteria:
 1. **Students who are either currently or have previously been 'looked after'**. This applies to all students who are in the care of a local authority and all students who have been adopted from local authority care (subject to an adoption, residence or special guardianship order);
 2. **Students who live within the catchment area normally served by Huntington School, with a sibling at Huntington School at the time of admission.** Catchment areas are designated by the Local Authority and are made available to parent/carers in the [Guide to School Catchment Areas](#), online at

www.york.gov.uk, and upon request from the School Services team. Siblings are defined as brothers or sisters living in the same house, as their primary place of residence (including half-, step- and foster-brothers or sisters);

3. **Students who live within the catchment area normally served by Huntington School.** Catchment areas are designated by the Local Authority and are made available to parent/carers in the [Guide to School Catchment Areas](#), online at www.york.gov.uk, and upon request from the School Services team;
4. **Students considered by Huntington School to have exceptional social or medical needs which makes the preferred school the most suitable school for the student.** Huntington School may consult with other medical or educational professionals for a further opinion as to whether the pupil should be allocated a place at the preferred school due to a particular medical condition or social need;
5. **Students with a sibling at Huntington School at the time of admission.** Siblings are defined as brothers or sisters living in the same house, as their primary place of residence (including half-, step- and foster-brothers or sisters);
6. **Students who live closest to Huntington School using the nearest available safe walking route.** Distances are measured by a GIS mapping system from the student's home address to the entrance of the school.

Where there are fewer places than students in an oversubscription priority as above, places will be allocated to the student(s) who also fulfil the next highest priority.

For example, for two students who are both resident in the catchment area without a sibling on roll at the time of admission and are thus assigned the same (third) priority, the place would first be allocated to

the student who also fulfils the next highest priority, for example, an exceptional social or medical need (fourth priority) over a student who lives closer to the school (sixth priority).

In the unlikely case of identical distances under the sixth priority, the applications will be ordered randomly by the Authority's admissions software.

- 2 The number of students who have applied for each course will need to be taken into account, meaning that extra students can sometimes be accommodated over the admission number of 30 eligible external applicants if the student's chosen course is not full.

D Appeals

- 1 Any student refused the offer of a place has the right of appeal to an Independent Appeals Panel. Students who wish to appeal should contact the School Services team to request the correct appeal form. Appeal forms should be returned within 20 school days of the date the place was refused.
- 2 If refused, a student will only be able to appeal once for a place at a given school in any one school year, unless any significant new information is available which was not available at the original hearing.

E False Information

Where an offer of a place has been made on the basis of fraudulent or intentionally misleading information, which has effectively denied a place to a student with a stronger claim, the offer of a place will be withdrawn.

F Late Applications

Late applications will be considered up to the end of the first full week of the Autumn Term 2019.

G Timetable for admission

December 2018	Students complete application
December 2018	School accepts application and informs parent application has been received
February 2019	Application processed
August 2019	Year 11 results published
August 2019	Admission confirmed or refused
September 2019	Independent Appeals

Students can apply up to the start of the courses but it is helpful to receive early applications as above.

H Contact details for correspondence

Huntington School
 Huntington Road,
 Huntington,
 York YO32 9WT
 01904 752100
 mail@huntington-ed.org.uk
 www.huntingtonschool.co.uk

City of York Council School Services
 West Offices,
 Station Rise,
 York YO1 6GA
 01904 551554
 education@york.gov.uk
 www.york.gov.uk/schools



The Joseph Rowntree School

Admissions Policy – Year 12 entry

2019 – 2020



CITY OF
YORK
COUNCIL

Introduction

- 1 The City of York Council is the Admissions Authority for The Joseph Rowntree School and is therefore responsible for the admission of students into Year 12.

The City of York Council has delegated the responsibility for the administration of admissions into Year 12 to the Head teacher of the school and so any queries regarding Year 12 admissions should be directed to the school.

Advice and information for parent/carers on school admissions, including **key information that applies to all applications** as well as some frequently asked questions are available in the Guide for Parents which is available at www.york.gov.uk/guideforparents or upon request from the School Services team.

- 2 The combined capacity for Years 12 and 13 is 300.

A Admissions into Year 12

- 1 Admission into Year 12 will be from:
 - (a) students on roll in Year 11 at The Joseph Rowntree School; and
 - (b) external applicant students not attending Year 11 at The Joseph Rowntree School.
- 2 The Joseph Rowntree School will admit 30 external applicant students into Year 12 each year.
- 3 Both students on roll in Year 11 at The Joseph Rowntree School, and external applicants are required to apply for a place in Year 12.

- 4 The same entry requirements for admission into Year 12 will apply for students on roll in Year 11 at The Joseph Rowntree School and external applicants.
- 5 Students will be admitted into Year 12 at the start of the Autumn Term in each school year, although there may be some occasions when students transfer during an academic year.

B Minimum entry requirements

All students seeking admission to Year 12 must meet the academic requirements for their chosen courses as identified in the current course information booklet.

C Oversubscription criteria

- 1 Where the number of eligible external applicants for a course of study exceeds the places available, then admission will be determined in accordance with the following priority of admission criteria:
 1. **Students who are either currently or have previously been 'looked after'**. This applies to all students who are in the care of a local authority and all students who have been adopted from local authority care (subject to an adoption, residence or special guardianship order);
 2. **Students who live within the catchment area normally served by The Joseph Rowntree School, with a sibling at The Joseph Rowntree School at the time of admission.** Catchment areas are designated by the Local Authority and are made available

to parent/carers in the [Guide to School Catchment Areas](#), online at www.york.gov.uk, and upon request from the School Services team. Siblings are defined as brothers or sisters living in the same house, as their primary place of residence (including half-, step- and foster-brothers or sisters);

3. **Students who live within the catchment area normally served by The Joseph Rowntree School.** Catchment areas are designated by the Local Authority and are made available to parent/carers in the [Guide to School Catchment Areas](#), online at www.york.gov.uk, and upon request from the School Services team;
4. **Students considered by The Joseph Rowntree School to have exceptional social or medical needs which makes the preferred school the most suitable school for the student.** The Joseph Rowntree School may consult with other medical or educational professionals for a further opinion as to whether the student should be allocated a place at The Joseph Rowntree School due to a particular medical condition or social need;
5. **Students with a sibling at The Joseph Rowntree School at the time of admission.** Siblings are defined as brothers or sisters living in the same house, as their primary place of residence (including half-, step- and foster-brothers or sisters);
6. **Students who live closest to The Joseph Rowntree School using the nearest available safe walking route.** Distances are measured by a GIS mapping system from the student's home address to the entrance of the school.

Where there are fewer places than students in an oversubscription priority as above, places will be allocated to the student(s) who also fulfil the next highest priority.

For example, for two students who are both resident in the catchment

area without a sibling on roll at the time of admission and are thus assigned the same (third) priority, the place would first be allocated to the student who also fulfils the next highest priority, for example, an exceptional social or medical need (fourth priority) over a student who lives closer to the school (sixth priority).

In the unlikely case of identical distances under the sixth priority, the applications will be ordered randomly by the Authority's admissions software.

- 2 The number of students who have applied for each course will need to be taken into account, meaning that extra students can sometimes be accommodated over the admission number of 30 eligible external applicants if the student's chosen course is not full.

D Appeals

- 1 Any student refused the offer of a place has the right of appeal to an Independent Appeals Panel. Students who wish to appeal should contact the School Services team to request the correct appeal form. Appeal forms should be returned within 20 school days of the date the place was refused.
- 2 If refused, a student will only be able to appeal once for a place at a given school in any one school year, unless any significant new information is available which was not available at the original hearing.

E False Information

Where an offer of a place has been made on the basis of fraudulent or intentionally misleading information, which has effectively denied a place to a student with a stronger claim, the offer of a place will be withdrawn.

F Late Applications

Late applications will be considered up to the end of the first full week of the Autumn Term 2018, where spaces are still available.

G Timetable for admission

November 2018- January 2019	Students complete application
January 2019 – March 2019	Application processed
March 2019	School accepts application, subject to Year 11 results and this is communicated to both students and parents
August 2019	Year 11 results published
August 2019	Admission confirmed or refused
September 2019	Independent Appeals

Students can apply up to the start of the courses but it is helpful to receive early applications as above.

H Contact details for correspondence

The Joseph Rowntree School
 Haxby Road,
 New Earswick,
 York YO32 4BZ
 01904 552100
joseph.rowntree@york.gov.uk
www.josephrowntreeschool.co.uk

City of York Council School Services
 West Offices,
 Station Rise,
 York YO1 6GA
 01904 551554
education@york.gov.uk
www.york.gov.uk/schools



Executive

8 February, 2018

Report of the Corporate Director of Economy and Place
Portfolio of the Executive Member for Transport and Planning

City Transport Access Measures

Summary

1. York is one of the most visited places in the UK with over 7 million visitors and each year hosts a number of events and festivals that attract a growing number of people from across the world into the city for the benefit of its economy and residents. In addition the desirability of the City as a place to live, raise children and grow old is well documented. These factors of success are however vulnerable and precious and easily lost as they rely heavily on societies perceptions of the safety offered by a City such as York. York can also boast one of the nation's most iconic sites in its boundaries, York Minster.
2. Keeping the residents and visitors safe by protecting the public and the economy of York is a key role and priority for the Council. The consequences of an attack on the City would be severe. Measures to consider physical steps to improve the protection within the city are considered within this report.
3. The Council continue to work in partnership with the Police in delivering the national strategy to address the threat of international terrorism in York. The police have recently advised we further limit vehicular access arrangements in light of the current national terrorist threat level. Therefore, it is proposed to review vehicle access and will be developed with key partners, including but not limited to, Police, York BID, Make it York, York Minster and York Racecourse.

4. The report details an approach to develop proposals balancing the need to engage with communities but also to ensure the city is safe through a review of transport access into the city centre, areas adjacent to the Minster and York Racecourse, in line with police advice to restrict vehicular access into areas where there is significant footfall.

Recommendations

5. It is recommended that the Executive:
 - i. Requests officers to work with representatives from North Yorkshire Police, York BID, Make it York, York Minster and York Racecourse to upgrade existing highway infrastructure and identify additional locations where vehicle restrictions will take precedence over access requirements due to the potential conflict between pedestrians and vehicles. That these proposals will be developed and determined at a future decision session of the Executive Member for Transport and Planning.

Reason: To ensure that the risks identified by the police are acted upon as soon as possible in the interest of public safety but in a managed and qualitative way in consultation with key partners.

- ii. Approves the delegation of decisions relating to a one year trial to the Director of Economy and Place in consultation with the Executive Member for Transport and Planning. Proposals will be developed with the racecourse to minimise the impact on transport infrastructure at the racecourse, principally taxis and busses. The one year trial is to expedite the delivery of a scheme before the first race of the 2018 season

Reason: To ensure there are adequate crowd safety measures and protocols in place before the first race meeting of 2018.

- iii. Instructs officers to engage and work with key disabled access stakeholders e.g. Disabled Parking Association and Shop-mobility to review disabled parking within the City Centre at the same time as this overall work programme.

Reason: To be able to mitigate the potential loss of disabled parking in the city centre ensuring a safe city centre which is as accessible as possible for all.

- iv. Instructs officers to engage and work with the BID and traders representatives to minimise the impact on the operation of local businesses within the city centre.

Reason: To be able to mitigate the potential issues related to deliveries and servicing local businesses within the city centre.

- v. To recommend the use of the Built Environment Fund allocation set aside to develop a business case for Public Realm improvements (£1.187m) in the Capital Programme to fund the delivery of initial proposed access restrictions.

Reason: To provide the necessary financial resource to enable the scheme to be progressed.

- vi. Subject to the agreement of the above approves the start of the procurement of external consultant and contractor support to bring in the expertise and resources to deliver this scheme and bring back detailed proposals to the Executive Member for Transport and Planning.

Reason: As well as limited resource there is not the relevant expertise in this field within the Council.

- vii. To continue to consider the use of any temporary measures to limit vehicle access where appropriate.

Reason: To continue to provide a flexible and responsive approach to public safety within the City.

Background

6. CONTEST is the national strategic response to the threat from international terrorism. The aim of the strategy is 'to reduce the risk to the UK and its interests overseas from international terrorism, so that people can go about their lives freely and with confidence'. Delivery of the strategy is organised around four principal work streams:
 - *Pursue*: to stop terrorist attacks

- *Prevent*: to stop people becoming terrorists or supporting violent extremism
 - *Protect*: to strengthen our protection against terrorist attack
 - *Prepare*: where an attack cannot be stopped, to mitigate its impact
- This report suggest additional activity to focus on pursue and protect. A further update on work across the four key work streams as it relates to York will be brought to a future meeting.

7. The centre of York is characterised by a number of pedestrian streets (called 'footstreets') the intention being to create a safer and more attractive city centre for residents, businesses, shoppers and visitors.
8. The footstreets are created using legal restrictions through Traffic Regulation Orders (TROs) to regulate or prohibit the movement of traffic on the highway. The main restrictions in the footstreets area currently operate between 10:30am to 5pm 7 days per week. These restrictions are principally enforced using small manually removable bollards designed to deter the law abiding motorist.
9. The physical measures used to control the footstreets are reviewed, as an example additional temporary measures were put in place to control vehicle movements for the recent Saint Nicholas Fair. However, the temporary measures are primarily passive on the basis that the people will comply with the law.
10. There are current exemptions to the TRO restrictions for certain streets. For example disabled access is permitted along Blake Street, Lendal, Goodramgate, Colliergate and Castlegate. These arrangements are also made on the basis that a law abiding motorist would be deterred by the risk of a penalty notice when travelling down these streets. Therefore there are no physical measures preventing vehicular access to these streets
11. The Police and council have worked together to review public safety across the city. Public Safety is a top priority for both the police and city council
12. The Police have recommended that due to the quality of existing bollard arrangements and the lack of any physical barriers in some high pedestrian areas that the Council review the Traffic Regulation Orders to prevent all vehicles from accessing areas of significant footfall. In this context this does not just apply to the City Centre but

also to the area around the Minster and the racecourse on race days.

13. In addition to reviewing the legal restrictions, the Police have requested that the physical measures in place are reviewed to force greater compliance. Any proposals will need to be developed in a sensitive way reflecting and respecting the historic nature and value of York's built environment.
14. Working with partners a number of areas will be identified to start more detailed work.
15. The sites will naturally fall into three categories of increasing complexity,
 - The existing Traffic Regulation Order is adequate but needs new physical measures to ensure compliance.
 - The existing Traffic Regulation Order is inadequate and needs changing to remove the exemption supported by new physical measures
 - Potentially some areas will require completely new restrictions as well as new physical measures i.e. potentially the creation of new footstreets
16. There is an obvious imperative to the speedy delivery of this work. The delegation to the Director of Economy and Place will enable measures for the race course to be in place for the first race of the season. Officers will work with the Executive Member for Transport and Planning to deliver both the physical measures and the legal changes to the Traffic Regulation Order as quickly as possible.
17. .It is feasible that some physical measures will take longer to implement than others due to the constraints on undertaking engineering work in the city centre such as the presence of utilities and archaeology. As such the city may still require temporary measures and will need to consider a phased approach to delivery.
18. The operation of the control measures and their ongoing maintenance and resilience will be considered as part of the initial option development.
19. Restricting vehicles will have impact on the city the key issue being that it will require a reconsideration of disabled parking and will require traders and businesses within the city to change their

working practices, it may mean more disabled parking provision with city car parks. To mitigate these impacts it is proposed that officers will work with key disabled access groups and businesses about how these impacts are best mitigated to ensure that the city centre is both safe and as accessible as possible to all. .

20. York Racecourse are keen to work with the Council and Police on a project for the racecourse to consider measures that are proportionate and take due consideration of the public highway, namely Knavesmire Road, Racecourse Road and Campleshon Road.
21. It is anticipated that as the significant racecourse risks are limited to race days that the physical intervention and new traffic regulations will be limited to race days. Therefore as this will give opportunities for interventions to be modified at each deployment it is proposed that the racecourse proposals are trialled using an experimental traffic order and refined over a one year period before being formally adopted by the Council. Thereby allowing the appropriate balance between community / traffic flow impacts and public safety to be achieved.
22. Given that York Minster is one of the UK's, if not one of the World's, most iconic sites. Officers will work with the Minster in partnership to bring forward proposals for the restriction of vehicles in the vicinity and approaches to the minster.

Consultation

23. Key partners, as mentioned in this report, will be engaged, particularly around how any impacts can be identified and mitigated, key partners will work with the Council in engaging with the wider community.
24. Leading up to this report, members of a partnership security group in York, including those partners listed in this report, are in agreement of and support this work.

Corporate Strategy

25. The recommendations support the Council's sustainable transport policy within its Local Transport Plan by restricting vehicular access into the city centre and ensuring public safety and confidence.

Council Plan

26. This report is supportive of the following priorities in the Council plan as well as its championing the reduction of pollution from vehicles, helping to support a :
- A prosperous city for all
 - A Council that listens to residents
27. In addition to the One Planet York principles:-
- Sustainable Transport
 - Zero carbon
 - Health and happiness
 - Culture and community
 - Equity and local economy

Implications

28. The following are the only identified implications.

Financial – These works have significant costs associated with the measures, installation and supporting systems as well as resources. It is proposed that the Built Environment Fund is used to implement proposals supported by partner and other CYC funds as required. The Executive originally agreed in May 2017 that £1.187m of the Built Environment Fund was to be allocated to fund public realm investment for economic growth (Report to Executive “Highways Funding” – 18th May 2017). This funding has yet to be committed and is being slipped into 2018/19 (reported in Capital Monitor 3 elsewhere on the agenda). The work identified in the report will impact the city centre Public Realm environment at both access points and across the pedestrianised zones. This will include tidying up the streetscape from street furniture clutter and signs, leading to more robust yet complimentary infrastructure and supporting measures, including bollards, cycling parking, planters, seating etc.

Human Resources (HR) – Due to the lack of resources and the need for expertise in access arrangements, external consultancy may be needed.

Equalities – While this report will not have any implications impacting on equalities, the second report will seek approval to restrict vehicle access into areas of high footfall. It is therefore likely

some disabled groups will be restricted from accessing the city centre by vehicles. As such this report has identified that early engagement with key groups that represent those affected needs to take place at this early stage.

Legal - None

Crime and Disorder - These measures aim to deter and prevent vehicular access during the agreed hours in the interests of public safety.

Information Technology (IT) – Not for the purposes or recommendations of this report.

Property - There are no property implications for this report or its recommendations.

Risk Management – There is a developing risk register for this work, however this report is seeking approval to mitigate the risk of public safety based on Police advice and recommendations.

Contact

Details:

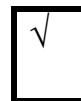
Author

James Gilchrist
Assistant Director
Tel No. (01904) 552547

Chief Officer Responsible for the Report

Neil Ferris
Corporate Director Economy and Place

**Report
Approved**



Date 25.01.18

Wards Affected: Guildhall and Micklegate





Executive**8 February 2018**

Report of the Corporate Director of Economy and Place
Portfolio of the Executive Leader

Proposed Long Term Lease – Holgate Bowling Green, Pavilion and Grounds, Holgate Road, York.**Summary**

1. This report seeks an Executive decision to grant a long term lease to the Trustees of York Railway Institute (RI) Bowls Club.

Recommendations

2. The Executive agree to the letting of Holgate Bowling Green to the RI Bowls Club, for a term of 30 years, at a peppercorn rent, in accordance with the lease terms as set out in the Council's Asset Transfer Policy.

Reason: to develop and operate social, sporting and recreational activities for club members and all sections of the local community.

Background

3. The RI Bowls Club operates on Council owned land, paying rent and rates to City of York Council. They have been responsible for the provision of all equipment and materials connected with the maintenance of the bowling green. At the same time they have developed the site, building a clubhouse that is the envy of clubs nationally.
4. Over the last three years there has been a project to transfer the care, management and development of council owned bowling greens and croquet lawns to their respective users. On 26th January 2017 the Executive approved the granting of long term leases of some of the council's bowling/croquet greens to the clubs that use them, in order to transfer the maintenance obligations of all its bowling/croquet greens to

those clubs. The RI Bowls Club is seeking parity with the other clubs operating on council greens.

5. The bowls club is a section of York RI Charitable Incorporated Organisation Registration No. 1165513.

About the club

6. The club's aims and objectives are to develop and operate social, sporting and recreational activities for their members.
 - Membership is open to all sections of the community Bowls provides the opportunity to undertake exercise irrespective of age or level of fitness, it also helps to address loneliness with participation in either social matches or representative teams.
 - Membership comprises predominantly residents of the City of York area and they operate varying levels of membership – Full bowling members (Reduced for Juniors which extends as long as they are in full-time education).
 - Non-members are able to play for an hourly fee, with free coaching and equipment for beginners.
 - The club operates a low cost (currently £2 per year) Social Membership for members of the community who wish to use the facilities.
 - The club is fully self-sufficient with any surplus from subscriptions being added to the profit from the bar, this in turn is used to maintain and develop the facilities. All day to day activities at the club are undertaken by members on a voluntary basis.
 - In addition to bowls they have domino teams, quiz nights, weekly bingo and public speaking with RI Speakers Club.

Working within the Community

7. The club's facilities are used by Holgate Allotment Association for their meetings, and also 1st Holgate Scout Group who hold an annual fundraising event. They operate an annual tournament that has provided donations to local charities including Chill in the Community Café, Special Care Baby Unit. The club has made its facilities available to local businesses for 'Team Building' activities. Residents from the nearby Springfield Court regularly use the club's facilities.

8. The club recently procured a Defibrillator and arranged training on its use, the equipment is for members, the Holgate Allotment Association and also neighbours.
9. The Council's Community Asset Transfer policy states that qualifying community groups should be offered a lease up to 99 years on a nil rent basis. The length of the lease will be dealt with on a case-by-case basis, but will be long enough to ensure that the tenant can apply for any funding needed to support the use it will make of the premises, and any work it needs to repair/refurbish/improve the property. The community groups are initially offered 25 year terms.
10. The Trustees of York RI Bowls Club will be offered a 30 year lease to enable the club to apply for funding bids to the sports governing bodies and the Lottery, which will be in line with the clubs that operate at West Bank Park, Clarence Gardens, and Glen Gardens.

Consultation

11. The Operations Manager – Public Realm, Executive Member for Culture Leisure and Tourism, and the Capital and Asset Board have been consulted regarding this proposal.

Council Plan

12. Under the Council Plan these proposals will assist in supporting;
 - A prosperous city for all
 - Local residents enjoy a facility to promote creativity and the well being of those in the neighbourhood.
 - Residents can enjoy use of a building which is part of the city's unique heritage and be included in a range of activities.
 - A focus on frontline services
 - Everyone has access to opportunities regardless of their background
 - Residents are encouraged and supported to live healthily
 - A council that listens to residents
 - Engaging with the community to provide creative space for local residents

Implications

13.

- **Financial** – Under the terms of the current leases the RI bowls club pay a total rent of £896 per annum. The proposed community asset transfer will result in the loss of this income. This will be accommodated within existing budgets.
- **Human Resources (HR)** – There are no HR implications
- **Equalities** – There are no equalities implications.
- **Legal** - The Council has power under Section 123 of the Local Government Act 1972 and the General Disposal Consent Order to grant a lease of General Fund (non-HRA) land for less than best consideration/full open market without needing the consent of the Secretary of State (for Communities and Local Government) provided that:
 - (i) The difference between the consideration being obtained and best consideration/full O.M.V. is less than £2 Million and
 - (ii) The Council considers that the purpose of the disposal will contribute to the improvement of the economic, environmental or social well-being of the areaIf any part of the land is 'open space' within the meaning of Section 336 of the Town and Country Planning Act 1990 (land which is used for the public recreation or which is laid out as a public garden or a disused burial ground) then S.123 LGA 1972 requires that before any disposal (including a lease) can be completed the Council must advertise the proposed disposal in a local newspaper in two consecutive weeks and duly consider any objections/comments received.
- **Crime and Disorder** – There are no crime and disorder implications.
- **Information Technology (IT)** – There are no IT implications.
- **Property** – Contained in this report.
- **Public Health** – The provision of bowling clubs contributes to the public health agenda – including physical and mental wellbeing, social inclusion and sport.

- **Planning** – There are no planning implications.

Risk Management

8. The risk is considered to be low.

Contact Details

Author:

Tracey Carter
Assistant Director
Regeneration and Asset
Management
Extn 3419

Tim Bradley
Asset Manager
Asset and Property
Management
Extn 3355

Chief Officer Responsible for the report:

Neil Ferris
Director – Economy and Place

Report **Date** 16th January 2018
Approved

Specialist Implications Officer(s) List information for all

Financial	Legal
Patrick Looker	Gerard Allen
Finance	Legal Services
01904 551633	01904 552004

Wards Affected: Holgate

All

For further information please contact the author of the report

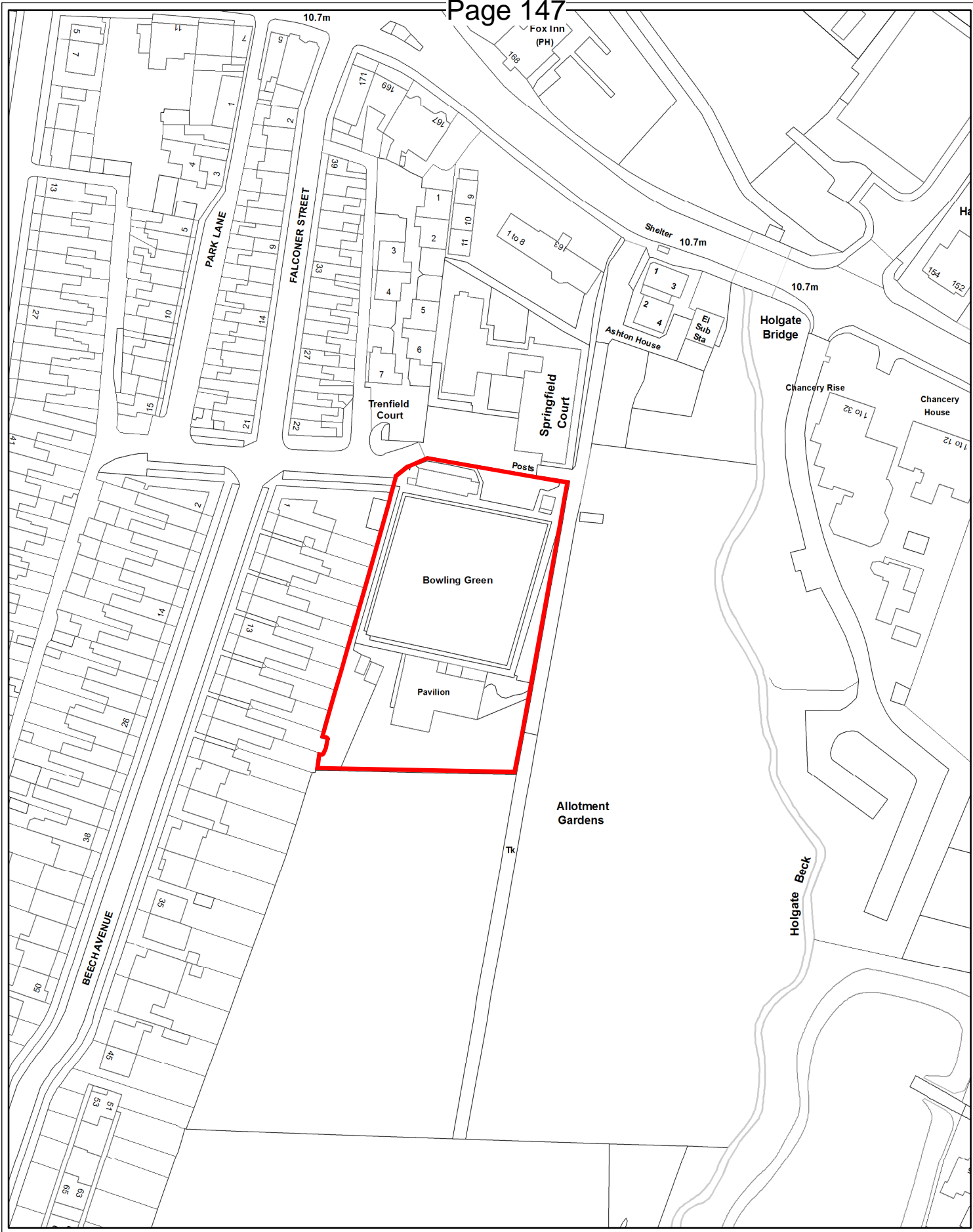
Background Papers: None

Annexes

Annex 1 – Plan – Holgate Bowling Green.

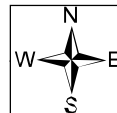
List of Abbreviations Used in this Report

RI – Railway Institute.



**Asset & Property
Management**

Holgate Bowling Green Pavilion & Grounds



SCALE 1:1,250

DRAWN BY: CC

DATE: 10/01/2018

Originating Group:

Asset & Property Management

Drawing No.

E00419/ B01 & B02

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Executive**8 February 2018**

Report of the Corporate Director of Economy and Place
Portfolio of the Executive Leader (incorporating Finance and Performance)

DISPOSAL OF WILLOW HOUSE**Summary**

1. This report seeks an Executive decision to dispose of the former Older Persons Home (OPH) at Willow House to the highest bidder.

Recommendations

2. The Executive is asked to
 - a) Approve the sale of Willow House to Cavendish and Gloucester Properties Ltd as the highest bidder for Willow House.
 - b) To retain Bidder 3 as a reserve bidder and should Cavendish and Gloucester Properties Ltd fail to complete the purchase of Willow House, to dispose of Willow House to Bidder 3.

Reason: To achieve the best consideration for the Willow House site, and facilitate investment in the Older Persons Accommodation Programme.

Background

3. On 19th October 2017 Executive decided to dispose of Willow House to Empiric PLC as the highest bidder, for a sum of £2.825m, in order to achieve the best consideration for the Willow House site, and facilitate investment in the Older Persons Accommodation Programme.
4. The Executive's decision was subsequently called in by Councillors Craghill, Flanders and Looker and referred to a meeting of the Corporate and Scrutiny Management and Policy and Scrutiny Committee (Calling-In) on 6th November 2017. The Committee referred the matter back to the Executive with a

recommendation that the sale be delayed to explore options to protect green space on the site.

5. The Executive (Calling-In) meeting on 23rd November resolved that the decision to sell the whole of the Willow House site, within the boundaries illustrated in the site plan considered at the Executive meeting on 28th November 2016, be reaffirmed, in order to generate a capital receipt to support the wider Older Persons Accommodation Programme. However in the meantime the highest bidder had withdrawn their bid and it was resolved that a further report be received to determine who the site should be sold to.
6. All of the parties who showed substantial interest in the property were contacted and asked to submit their best and final offers by 19th December 2017. The bids are set out in Annex 2 with a list of names of the bidders in confidential Annex 3.
7. Three bids have been excluded from the evaluation. The highest bid at £2.9m was excluded because it was predicated on a four storey student accommodation scheme which, following consultation with the Planning department regarding the maximum height of a potential structure on this sensitive site, was judged to carry a high risk of being undeliverable. Two unconditional bids were also excluded as they were for significantly less money and were not specific in their use, therefore it was impossible to assess the deliverability of the schemes.
8. The value of the 5 remaining offers ranges from £2,350,000 to £2,750,000. The highest of these bids is for £2,750,000 from Cavendish and Gloucester Ltd, who are proposing to redevelop the existing building to provide 36 residential apartments. The second, third and fourth highest bids are for student housing, with the fifth bid being for a care home. All bids are subject to obtaining planning permission for their development proposals.
9. Given the need for the council to achieve a significant capital receipt from the sale of Willow House to fund investment in the Older Persons Accommodation Programme, the highest and least caveated bid is most likely to achieve this objective.
10. The proposed scheme submitted by Cavendish and Gloucester will involve the conversion and extension of the existing two storey building to a three storey building. The existing single storey wing will be rebuilt as a three storey building. The new development will, therefore, not extend beyond the existing building footprint and retain the mature Corsican Pine tree.

11. Given the withdrawal of the previous highest bidder and the delay that has been caused by this and the call in process, it is proposed that an alternative bidder be retained as a reserve bidder in case Cavendish and Gloucester fail to complete the purchase of Willow House.
12. The second bid is for a 168 bed student accommodation scheme and is £50k lower than the highest bid but does require the felling of a Corsican Pine tree on the site to facilitate the development. This tree is not currently protected by a Tree Protection Order (TPO), but is the subject of a proposed Tree Preservation Order, which would create a planning risk and thus reduce the deliverability of the scheme. The third bid is for a smaller 128 bed student accommodation scheme and is £53k less than the highest bid, but will leave the tree in place. As this is only £3k less than the second bid, it is therefore proposed that Bidder 3 be retained as a reserve bidder, in case the first bid fails.

Consultation

13. This report has been written in consultation with the Council's Older People's Accommodation programme team and the Capital and Asset Board.

Council Plan

14. This proposal contributes towards the Council's priority of
 - a) a prosperous city for all.
 - b) a focus on frontline services - to ensure all residents, particularly the least advantaged, can access reliable services and community facilities.

Implications

15.
 - **Financial** The Older Persons Accommodation Programme anticipates capital receipts from the sale of redundant care homes, including the Willow House site. The disposal of the site to the highest bidder will ensure that the £4m of receipts required to fund current plans in the Programme will be achieved.
 - **Human Resources (HR)** – There are no human resources implications.
 - **Equalities** – The provision of additional residential accommodation would provide much needed residential accommodation in the city.
 - **Legal** - Section 123 of the Local Government Act 1972 authorises the Council to dispose of non-housing land without the consent of the Secretary of State (for Communities and Local Government) provided that the best consideration reasonably obtainable is being obtained. The Council can still

sell non-housing land without the Secretary of State's consent for less than best consideration/full open market value provided that:

- (i) the difference between the price obtained and full market value does not exceed £2 million and
 - (ii) the Council (acting reasonably and properly considers) that the disposal will facilitate the improvement of economic, environmental or social well-being of the area.
- All bids are subject to the respective bidders obtaining planning permission (on terms acceptable to them) for their respective proposed schemes. If that condition is not satisfied by a specified date (which date would need to be negotiated with the chosen bidder) then the sale contract would automatically terminate. (However the chosen bidder would have the right to waive that condition and proceed to complete the purchase of the property without having obtained planning permission).
 - Whichever bid is chosen, the sale contract between the Council and the chosen bidder would not impose a legal obligation on the purchaser to develop any particular scheme/facility on the site by any particular date – it would be the buyer's own choice whether they redevelop the Willow House site. If Executive want to ensure that a particular scheme is developed on the site, then the Council would instead need to select and appoint a developer/operator after following a procurement process that complies with the Public Contract Regulations and impose a covenant that the site could only be used for that purpose. If any bidder was going to be under a legal obligation to the Council to construct and operate a particular facility on the site then their current offer would be likely to reduce significantly.
 - **Crime and Disorder** – There are no crime and disorder implications.
 - **Information Technology (IT)** – There are no information technology implications.
 - **Property** – contained within this report.

Risk Management

16. Failure to secure a significant capital receipt may impact upon the business case for Older People's Accommodation project. The recommended bid will enable the achievement of the £4m of receipts required to fund current plans in the Programme so this risk is low. There is a risk of any scheme not getting planning consent.

Contact Details

Author:

Tracey Carter
Assistant Director
Regeneration and Asset
Management
Extn 3419

Tim Bradley
Asset Manager
Asset and Property
Management
Extn 3355

Chief Officer Responsible for the report:

Neil Ferris
Director of Economy and Place

Report **Date** 16 January 2018
Approved

Specialist Implications Officer(s) List information for all

Financial Debbie Mitchell
Head of Corporate Finance
Tel No. 554161

Legal – Gerry Allen
Senior Solicitor
Tel No. 552004

Wards Affected: Guildhall

All

For further information please contact the author of the report

Background Papers:

Report to Executive on 19th October 2017

Report to Corporate and Scrutiny Management Policy and Scrutiny Committee
(Calling-In) on 6th November 2017

Report to Executive (Calling-In) on 23rd November 2017

Annexes

Annex 1 – Site plan

Annex 2 – Summary of bids.

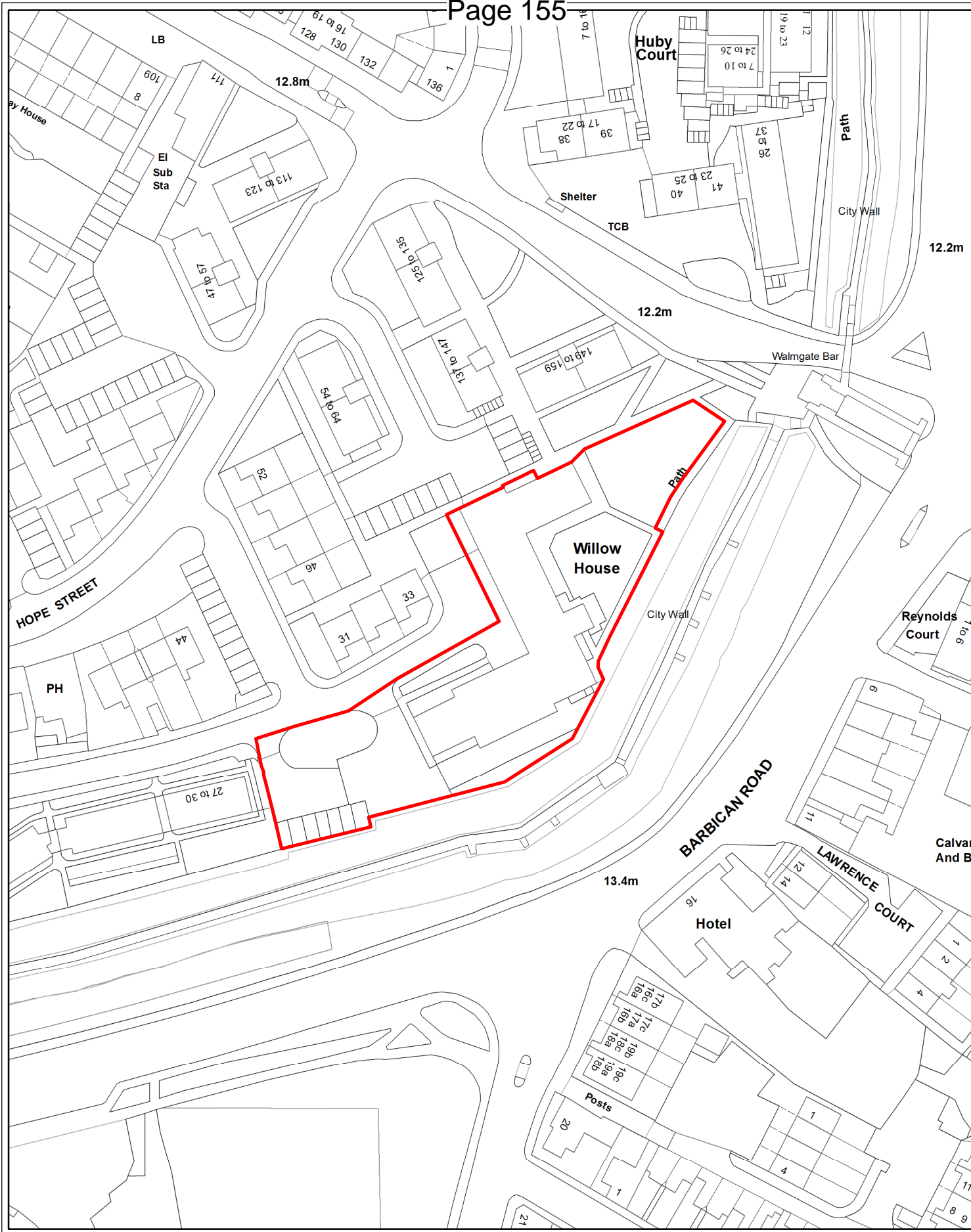
Confidential Annex 3 – List identifying the bidders.

Annex 4 – One Planet York decision making tool

Glossary

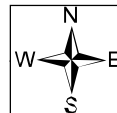
TPO - Tree Protection Order

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**Asset & Property
Management**

Willow House Elderly Persons Home



SCALE 1:1,000

DRAWN BY: CC

DATE: 25/09/2017

Originating Group:

Asset & Property Management

Drawing No.

E00643

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WILLOW HOUSE, WALMGATE, YORK – ANNEX 2 – LIST OF BIDS

BIDDER	OFFER	PRE-CONTRACT ENQUIRIES	CONDITIONS	USE	TIMESCALE	FINANCE	COMMENTS
Bid 1 Cavendish and Gloucester Properties Ltd	£2,750,000	1.Title	Satisfactory planning permission	36 No. apartments over three floors (19 No. 1 bed, 17 No. 2 bed). Three storey scheme with flat roof. Two storey part of existing building retained and additional floor added. Single storey part removed and replaced with new three storey part.	28 days to contract. No details provided re long stop/expected completion date.	Existing facility with Bank – proof provided	<ol style="list-style-type: none"> 10% non-refundable deposit. No encroachment onto green space area. Existing building/footprint used. No overage. No tree removal required.
Bid 2	£2,700,000	Usual surveys and title	Satisfactory planning permission	168 bed new build student housing scheme 3 storey new build scheme.	No details provided. Previously specified 3 months contract 5 months planning. (consecutive)	Cash	<ol style="list-style-type: none"> 10% refundable deposit. Overage considered if appropriate mechanism. New build scheme including some development on land fronting Walmgate. Requires removal of tree.
Bid 3	£2,697,000	Ground survey	Satisfactory planning permission	128 bed student scheme 3 storey new build scheme. Smaller block on garages site also 3 storey.	2 months to exchange Planning application submitted 30 June 2018 Planning awarded 30 November 2018 Completion statutory agreements and expiry JR period 28 February 2019 Completion March 2019	Not disclosed but can be made available if offer of interest – not clear where funding coming from and whether any risks.	<ol style="list-style-type: none"> Extends into green space area fronting Walmgate. 5% refundable deposit Overage offered at £21,000 per room in excess of 128no. Programme provides for an immediate start on start post acquisition and scheme completing in time for first student intake in Sept 2020. No tree removal required.
Bid 4	£2,330,000	Usual surveys and title	Satisfactory planning	130 bed new build student housing scheme.	No details provided. Previously specified 3 months contract 5 months planning. (consecutive)	Cash	<ol style="list-style-type: none"> 10% refundable deposit. Overage considered if appropriate mechanism. New build scheme including some development on land fronting Walmgate. Looks to comply with planning requirements. However bid document confusing as suggests scheme needs to find room for a further 10 bedrooms? No tree removal required.
Bid 5	£2,325,000	Site investigation	Detailed planning permission for C2 Care Home of no less than 65 beds	Care Home 3 storey development with no roof space.	Exchange end 6 weeks (ie end March 2018 if approved on 15 February 2018) Submit planning application 3 months of exchange (ie end June 2018) Planning permission expected 12 weeks (ie end September 2018) JR period expiry 6 weeks (ie mid November 2018) Completion 2 weeks (ie end November 2018).	Cash (bank facility approved and proof provided)	<ol style="list-style-type: none"> No further Board approvals needed. New build scheme including some development on land fronting Walmgate. 10% deposit returnable (stated previously) No tree removal required.

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

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The 'Better Decision Making' tool has been designed to help you consider the impact of your proposal on the health and wellbeing of communities, the environment, and local economy. It draws upon the priorities set out in our Council Plan and will help us to provide inclusive and discrimination-free services by considering the equalities and human rights implications of the decisions we make. The purpose of this tool is to avoid decisions being made in isolation, and to encourage evidence-based decision making that carefully balances social, economic and environmental factors, helping us to become a more responsive and resilient organisation.

The Better Decision Making tool should be used when proposing new projects, services, policies or strategies, or significant amendments to them. The tool should be completed at the earliest opportunity, ideally when you are just beginning to develop a proposal. However, it can be completed at any stage of the decision-making process. If the tool is completed just prior to the Executive, it can still help to guide future courses of action as the proposal is implemented.

The Better Decision Making tool must be attached as an annex to Executive reports. A brief summary of your findings should be reported in the One Planet Council / Equalities section of the report itself.

Guidance to help you complete the assessment can be obtained by hovering over the relevant question.

Please complete all fields. If you wish to enter multiple paragraphs in any of the boxes, hold down 'Alt' before hitting 'Enter'.

Introduction

Service submitting the proposal:	Asset and Property Management
Name of person completing the assessment:	Tim Bradley
Job title:	Asset Manager
Directorate:	Economy and Place
Date Completed:	27th September 2017
Date Approved (form to be checked by head of service):	

Section 1: What is the proposal?

1.1	Name of the service, project, programme, policy or strategy being assessed? Sale of the Former Older Persons Home, Willow House, Walmgate, York
1.2	What are the main aims of the proposal? The sale of the property to the highest bidder and consideration of the proposed uses to which the property will eventually be put to.
1.3	What are the key outcomes? A capital receipt. Redevelopment of the site for student housing. Consideration was also given to accepting a lower offer for care home use.

Section 2: Evidence

2.1	What data / evidence is available to support the proposal and understand its likely impact? (e.g. hate crime figures, obesity levels, recycling statistics) Bids received from other interested parties. Shown in appendix 2. Projected growth of student numbers over the next 10 years. Expected to rise by 4,000 to 6,000 over the next 10 years. National benchmarks for residential and nursing care beds. There is currently a shortfall of 657 rising to 962 by 2020.
2.2	What public / stakeholder consultation has been undertaken and what were the findings? Consultation with the Council's Older Persons Accommodation programme team and the Capital and Asset Board.
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 impacted by a different project or policy?) The capital receipt from the sale of this property will be used to fund investment in the Older Persons Accommodation Programme. Alternatively, selling the property for care home use at a lower capital receipt would help to address the shortfall in bed numbers across the city.

Section 3: Impact on One Planet principles

Please summarise any potential positive and negative impacts that may arise from your proposal on residents or staff.
 This section relates to the impact of your proposal on the ten 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?	Positive	University and research led business growth
3.2	Provide additional employment or training opportunities in the city?	Positive	Students living in the accommodation will develop skills.
3.3	Help improve the lives of individuals from disadvantaged backgrounds or underrepresented groups?	Negative	The proposed type of accommodation will not help those in care, homeless, or on low incomes. The rents in this type of accommodation will not be affordable to these groups.

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 residents or staff?	Neutral	
3.5	Help reduce health inequalities?	Neutral	
3.6	Encourage residents to be more responsible for their own health?	Neutral	
3.7	Reduce crime or fear of crime?	Neutral	
3.8	Help to give children and young people a good start in life?	Positive	Provision of accommodation for young people (students)

Culture & Community

Does your proposal?		Impact	What are the impacts and how do you know?
3.90	Help bring communities together?	Negative	The proposal will have little effect on bringing people and communities together.
3.10	Improve access to services for residents, especially those most in need?	Negative	Student housing will not reduce the barriers.
3.11	Improve the cultural offerings of York?	Mixed	
3.12	Encourage residents to be more socially responsible?	Mixed	Does not promote residents to promote or shape their communities. However, students may become involved in volunteering and local deomcracy as part of their studies.

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 and / or reduce the amount of energy we pay for? E.g. through the use of low or zero carbon sources of energy?	Positive	The Council will no longer occupy the building

3.14	Minimise the amount of water we use and/or reduce the amount of water we pay for?	Positive	The Council wil no longer occupy the building
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Zero Waste

Does your proposal?		Impact	What are the impacts and how do you know?
3.15	Reduce waste and the amount of money we pay to dispose of waste by maximising reuse and/or recycling of materials?	Neutral	

Sustainable Transport

Does your proposal?		Impact	What are the impacts and how do you know?
3.16	Encourage the use of sustainable transport, such as walking, cycling, ultra low emission vehicles and public transport?	Positive	City centre location
3.17	Help improve the quality of the air we breathe?	Neutral	

Sustainable Materials

Does your proposal?		Impact	What are the impacts and how do you know?
3.18	Minimise the environmental impact of the goods and services used?	Neutral	

Local and Sustainable Food

Does your proposal?		Impact	What are the impacts and how do you know?
3.19	Maximise opportunities to support local and sustainable food initiatives?	Neutral	

Land Use and Wildlife

Does your proposal?		Impact	What are the impacts and how do you know?
3.20	Maximise opportunities to conserve or enhance the natural environment?	Positive	Retain mature Causican Pine Tree. Advice from the Council's landscape architect.
3.21	Improve the quality of the built environment?	Positive	Improved building design shown by indiuacative plans provided by developer.
3.22	Preserve the character and setting of the historic city of York?	Positive	The proposed buildings will be designed to have a positive impact on York's built environment.
3.33	Enable residents to enjoy public spaces?	Neutral	

3.40	Additional space to comment on the impacts		

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?
4.1	Age	Neutral	The proposal will adversely impact on the older community, as there is a shortfall of car home places in York, but will provide accommodation for young People who have come to study in York and need good quality accommodation.
4.2	Disability	Positive	The existing building will be replaced with one that will conform to modern standards which will include disabled facilities as required by current legislation.
4.3	Gender	Neutral	
4.4	Gender Reassignment	Neutral	
4.5	Marriage and civil partnership	Neutral	
4.6	Pregnancy and maternity	Neutral	
4.7	Race	Neutral	
4.8	Religion or belief	Neutral	
4.9	Sexual orientation	Neutral	
4.10	Carer	Negative	The shortfall of bed spaces for good quality residential and nursing care will not be addressed by the proposed sale.
4.11	Lowest income groups	Neutral	
4.12	Veterans, Armed forces community	Neutral	

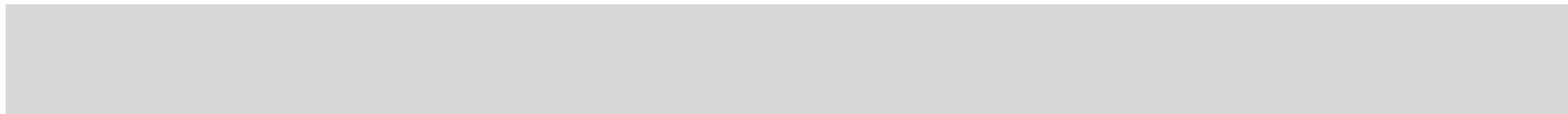
Human Rights

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	Student accommodation is provided in connection with higher education. Extra good quality housing for students will have a positive impact.
4.14	Right not to be subjected to torture, degrading treatment or punishment	Neutral	
4.15	Right to a fair and public hearing	Neutral	
4.16	Right to respect for private and family life, home and correspondence	Positive	Providing student housing on this site will help to reduce the adverse impact of the demand on private family housing from the student population.

4.17	Freedom of expression	Neutral	
4.18	Right not to be subject to discrimination	Neutral	
4.19	Other Rights	Neutral	

4.20	Additional space to comment on the impacts		





Section 5: Planning for Improvement

5.1	What have you changed in order 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)
	It is considered that there are no changes that could be made.

5.2	What have you changed in order to improve the impact of the proposal on equalities and human rights? (please consider the questions you marked either mixed or negative, as well as any additional positive impacts that may be achievable)
	No improvements could be made.

5.3	Going forward, what further evidence or consultation is needed to ensure the proposal delivers its intended benefits? (e.g. consultation with specific vulnerable groups, additional data)
	The older persons accommodation programme will ensure that the project delivers its intended benefits.

5.4	Please record any outstanding actions needed to maximise benefits or minimise negative impacts in relation to this proposal? (Expand / insert more rows if needed)
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Action	Person(s)	Due date
Progress Older Persons Accommodation Programme to reduce the shortfall in care home places.	Roy Wallington	Apr-20

In the One Planet / Equalities section of your Executive report, please briefly summarise the changes you have made (or intend to make) in order to improve the social, economic and environmental impact of your proposal.



Executive**8 February 2018**

Report of the Deputy Chief Executive / Director of Customer & Corporate Services

Portfolio of the Executive Leader (incorporating Finance & Performance)

2017/18 Finance and Performance Monitor 3**Purpose of the Report**

- 1 To present details of the overall finance and performance position for the period covering 1 October 2017 to 31 December 2017, together with an overview of any emerging issues. This is the third 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 £272k. This is an improvement on the projected overspend of £446k at Monitor 2. However, in previous years the Council has delivered an under-spend by the year end and it is expected that an underspend will again be achieved this year, demonstrating a successful track record of managing expenditure within budget over a number of years.
- 3 This also highlights that the Council's medium term financial strategy (considered elsewhere on this agenda) is serving the Council well, ensuring resources are managed effectively and savings plans continue to be delivered successfully. 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

- 4 Executive is asked to note the finance and performance information.

Reason: to ensure expenditure is kept within the approved budget

Financial Analysis

- 5 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. The latest forecasts indicate the Council is facing financial pressures of £272k 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 Monitor 2	2017/18 Forecast Variation Monitor 3
£'000		£'000	£'000
-32	Children, Education & Communities	+396	+253
+724	Economy & Place	+366	+371
-259	Customer & Corporate Services	-200	-200
+191	Health, Housing & Adult Social Care	+234	+348
-1,166	Central budgets	-350	-500
-542	Total	+446	+272
-549	Contingency	-761	-761
-1,091	Total including contingency	-315	-489

Table 1: Finance overview

Children, Education & Communities

- 6 A net overspend of £253k is forecast primarily due to children's social care.
- 7 Children's Social Care (CSC) staffing budgets are currently projecting a net overspend of £211k, mainly due to expensive agency staff being used to cover important but hard to fill social worker posts. Also, as reported to Staffing & Urgency Committee in July, additional costs of £38k 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 £40k. This should result in a reduction in costs going forward.

- 8 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 £73k, including £160k on local fostering, £161k on adoption and SGO allowances, offset by underspends of £186k on specialist and out of city placements and £62k on Leaving Care costs. An overspend of £65k is forecast on Inter-Agency adoption fees as the new regional model is implemented and the level of fees we are able to retain in York reduces. There is also a net projected overspend of £176k within The Glen and disability short break budgets due mainly to delays in implementing the new model of provision for children with the most complex needs.
- 9 Within the Dedicated Schools Grant (DSG) funded Special Educational Needs budgets there is a net projected underspend of £405k. 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. Education Psychology budgets are projected to underspend by £62k mainly due to difficulties in recruiting to some psychologist posts.
- 10 Local Area Teams budgets are projecting a net £354k 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 £156k 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.
- 11 Home to School Transport budgets are currently projected to overspend by a net £173k. There are significant pressures within SEN taxi budgets where inflation has been higher than expected and additional costs maybe 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.
- 12 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 £50k is forecast for 2017/18. A number of other more minor variations make up the overall directorate position.

Economy & Place

- 13 A net overspend of £371k is forecast primarily due to cost pressures within waste services and public realm and a shortfall in income from planning and Automatic Number Plate Recognition (ANPR) enforcement.
- 14 Income from Council Car Parks at November 2017 stands at 3.1% above 2016/17 income levels. This is in line with budget and it is currently estimated that the parking account will outturn at budgeted levels. There is a forecast shortfall in Penalty Charge Notice income (£31k) and this income will continue to be monitored closely. In addition there are one-off costs associated with the coin upgrade (£25k) along with other additional operational costs (£33k) which are in part due to the replacement of stolen parking machines, which have been the target of criminal activity.
- 15 Overall a small underspend of £12k is forecast across waste services. However, there are some significant variations within this overall total. Waste Collection is forecast to overspend by £498k, primarily due to additional staffing and vehicle costs. Sickness levels remain high and this is impacting the budget as costs on temporary staff are incurred. Further work is ongoing within the service to reduce the forecast overspend but operational pressures continue. There are forecast savings in waste disposal and Household Waste Recycling Centres from the Teckal arrangement (£59k) and the council has received increased recycling rebate (£270k) due to continued higher than budgeted recycle prices, additional income for landfill gas (£25k) and a saving from lower waste procurement costs and Yorwaste loan interest (£157k).
- 16 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. 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 (£37k) and a staffing underspend in network management due to vacancies (£30k).
- 17 There is a forecast overspend on public realm operations of £178k due to operational overspends including sickness absence and staffing (£24k) and transport mainly due to additional sweeper hire (£55k). There are further unachieved operational savings which need to be addressed through closer working with Wards as to the expenditure of Ward budgets.
- 18 A £200k 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, including staff vacancies (£86k) and the early achievement of future year savings (£80k) make up the directorate position.

- 19 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.
 - Working with Communities team to review Ward activities and spend.
 - Reviewing working patterns and the use of agency staff.
 - Consideration of in year savings and revenue opportunities.

Customer & Corporate Services

- 20 A net underspend of £200k is forecast, the same as the Monitor 2 forecast. This is despite the fact that the Crematorium will no longer overachieve on income and this is because forecasts elsewhere have improved, mainly due to staffing vacancies across a range of services including finance, democratic services and business intelligence. 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

- 21 A net overspend of £348k is forecast for the directorate, mainly due to pressures within Adult Social Care.
- 22 There is a £100k underspend within the direct payment budget, due largely to additional reclaims received in the last quarter. Small Day Services, a series of Council run day support options is forecast to underspend by £160k due mainly to staffing vacancies and an overachievement of income. There is also an overspend forecast on staffing in the Hospital Discharge Team due to the employment of temporary agency staff and the cost of seven day working.
- 23 The Better Care Fund (BCF) for 2017/18 and 2018/19 has been agreed and submitted to NHS England and the plan is still going through the assurance process. Partners have, however, agreed a programme of spend which assures funding for existing schemes pending their review whilst investing in new initiatives such as social prescribing and a project to look at implementing 7 day services.

- 24 The department has also developed a plan to combat pressures expected over winter due to the hospital not opening an extra ward as would ordinarily be the case. Discussions are ongoing as to how this will be funded but the first call will be on any BCF schemes that are projected to underspend.
- 25 The Older Persons' community support budget is forecast to overspend by £107k due to backdated costs coming through for 2 customers since quarter 2.
- 26 There is a continuation of the 2016/17 overspend forecast for LD external residential placements of £474k as some high cost customers did not move into supported living schemes as expected. In addition Older Persons' external residential care is overspending by £321k due to having a net increase of 20 new customers since Q2 (£236k), an underachievement of income due to fewer customers making contributions than was assumed in the budget (£64k), and a £21k bad debt write off.
- 27 The Older Persons' Home budget is forecast to overspend by approx £294k due to a 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 where the establishment is exceeded due to general assistants, a deputy manager, 0.5FTE of a service manager and the cost of cooks being re-graded. This overspend will be met from the capital receipts generated by the sale of homes in 2017/18 as permitted by new powers introduced in last year's budget.
- 28 Several savings relating to the current and future years are expected to be delivered by the Future Focus programme. A review of potential cashable savings delivered by the change has detailed an expectation of £909k to be delivered (cumulative) after 7 years. This is lower than the original targeted level of savings of £1.85m after 4 years but is reduced due to other pressures in the system and a conservative approach to expected savings derived from demand management. It is possible that these savings can be revised upwards at a point where more robust data is available from other authorities in relation to demand management from this approach. Phase 1 started in June 2017 and the business case outlining areas potentially yielding savings is nearing completion. The implementation phase will not start before autumn and no savings attributable to the programme have been factored into current projections for the sake of prudence. This creates a budget pressure of £212k in 17/18. In addition further one-off investment (in excess of the original £360k reported previously to the Executive) of £220k will be required to

complete phase 2. However the funding to support this has been found from within the wider existing HHASC directorate budgets.

- 29 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 (£427k) to offset pressures
 - Additional Continuing Health Care income which has not previously been accounted for (£76k)
- 30 There are pressures of £124k within Public Health. However this can be funded within the overall Public Health grant. The main variation relates to the substance misuse contract (£136k) as the provider went into administration earlier in the year.
- 31 A projected overspend of £44k 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

- 32 The Housing Revenue Account Budget has been updated to reflect the most recent Business Plan, agreed at Executive on 15th November 2017. As a part of the Business Plan refresh the revenue contribution to capital schemes was reprofiled to reflect the spend profile in the capital budget on the IT replacement programme which increases the surplus budget in 2017/18 £3.186m to £5.246m. There were offsetting increases in expenditure in later years to reflect the new spend profile. A review of the budgets in the area shows that, overall, a surplus of just over £5m is now forecast.
- 33 Repairs and Maintenance is forecasting to overspend by £415k, an increase of £120k against quarter 2. Whilst work continues to reduce subcontractor spend (a reduction of £200k is expected from the 2016/17 subcontractor spend) further reductions are required to meet the savings target for 2017/18. The repairs team are seeing pressures from the number of void properties that require a substantial amount of work and are working to limit the number of days these properties are empty, as such the overspend on repairs is projected to be £0.5m.
- 34 Fire risk assessments on all communal areas will be completed by April 2018 at a cost of £5k above budget, which is £15k lower than previously forecast. Electrical testing is forecasting an under spend of £20k as it is

unlikely that the full programme of work will be completed this financial year due to staffing resources and the external paint programme is under spending by £70k.

- 35 A range of smaller underspends make up the overall variation.
- 36 The working balance position at 31 March 2017 was £22.64m. The projected outturn position outlined in the paragraphs above means the working balance will increase to £27.64m at 31 March 2018. This compares to the balance forecast within the latest business plan of £27.886m.
- 37 37 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 the debt to be repaid over the period 2023/24 to 2042/43. The level of working balance also enabled the creation of a £20m budget for new Council Housing (£10m coming directly from the working balance) which is proposed to be spent over the next four years.
- 38 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

- 39 These budgets include Treasury Management and other corporately held funds. It is anticipated that a £500k 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

- 40 As outlined in the Monitor 2 report, the contingency is currently £761.6k and no further allocations have been made since the last report. However, 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

- 41 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

- 42 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.
- 43 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. The DoT (Direction of Travel) is calculated on the latest three results whether they are annual, quarterly or monthly.
- 44 Of the 21 strategic indicators where new data has been provided since the last report, the following have seen improvements since the last period:
- Proportion of adults in contact with secondary mental health services living independently, with or without support (Paragraph 69)
 - Overall Customer Centre Satisfaction (%) - CYC (Paragraph 101)
 - Business Rates – Rateable Value (Paragraph 115)
 - Overall Council Forecast Budget Outturn
 - Voluntary Turnover (%) – CYC Total (Excluding Schools) – (Rolling 12 month) (Paragraph 138)
 - PDR Completion (%) – CYC – (YTD) (Paragraph 139)
 - External calls answered within 20 seconds (Paragraph 141)
 - % complaints responded to within 5 days (Paragraph 143)
- 45 The Council's performance management strategy remains effective with performance levels remaining on a stable footing despite increasingly complex customer needs and/or demand for services. The latest resident Talkabout panel reflected some non-statistically significant reductions in satisfaction but in most areas remain higher than national benchmarks. There are some challenges to be faced with rising sickness levels and further information on this can be found in paragraphs 135-137.

			2016/17	2017/18 Q1	2017/18 Q2	2017/18 Q3	Benchmark	DoT	
Service Delivery	A Focus on Frontline Services	Children Looked After per 10k (Snapshot)	55	54	52	53	Below National and Regional Average	➡	
		Number of Incidents of ASB within the city centre ARZ	2,175	487	539	-	NC	➡	
		Household waste recycled / composted - (YTD)	44.00%	49.00%	48.00%	-	Same Regionally	➡	
		Delayed transfers of care from hospital which are attributable to adult social care, per 100,000 population (YTD Average) (New definition for 2017/18)	7.49	4.6	5.2	5.6 (Oct 17)	NC	➡	
		% of panel confident they could find information on support available to help people live independently	65.46%	70.51%	NC	64.81%	NC	➡	
		Proportion of adults in contact with secondary mental health services living independently, with or without support	39.21%	62.29%	80.64%	93.13% (Nov 17)	Above National and Regional Average	↑ Good	
		% of physically active and inactive adults - active adults	70.24%	NC	NC	NC	Above National and Regional Average	➡	
		Average Progress 8 score from KS2 to KS4	0.11	NC	NC	NC	Above National Average	➡	
		Number of days taken to process Housing Benefit new claims and change events (DWP measure)	5.58	4.1	4.07	3.97	Below National Average	➡	
	A Council That Listens to Residents	% of panel who agree that they can influence decisions in their local area	25.65%	28.41%	NC	26.87%	Above National Average	➡	
		% of panel satisfied with their local area as a place to live	89.84%	91.23%	NC	89.94%	Above National Average	➡	
		% of panel satisfied with the way the Council runs things	65.54%	64.76%	NC	62.13%	Above National Average	➡	
		Overall Customer Centre Satisfaction (%) - CYC	92.48%	93.23%	92.51%	93.50%	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)	(Avail Apr 2018) (2014-15)	(Avail Apr 2019) (2015-16)	(Avail Apr 2019) (2015-16)	(Avail Apr 2019) (2015-16)	Above National and Regional Average	➡	
		Median earnings of residents – Gross Weekly Pay (£)	£508.10	NC	£519.30	NC	Below National Average	↑ Good	
		Net Additional Homes Provided - (YTD)	977	NC	1,036	NC	NC	➡	
		Business Rates - Rateable Value	£247,348,791	£255,784,571	£253,966,276	£254,436,091	NC	➡	
		One Planet Council - All Resources - Total CO2 (t)	NC	NC	NC	NC	NC	➡	
		% of panel who give unpaid help to any group, club or organisation	64.30%	66.44%	NC	66.22%	Above National Average	➡	
	Organisational Health Check	Performance	Red rated Major Projects - CYC	1	1	1	1	NC	➡
			Amber rated Major Projects - CYC	5	6	6	6	NC	➡
Overall Council Forecast Budget Outturn (£000's Overspent / -Underspent)			£-542	£636	£446	£272	NC	↓ Good	
Employees		PDR Completion (%) - CYC - (YTD)	75.90%	40.90%	58.20%	88.42%	NC	↑ Good	
		Staff FTE - CYC Total (Excluding Schools) - (Snapshot)	2,071.6	2043.6	2,036.8	2,001.4	NC	➡	
		Average sickness days lost per FTE - CYC (Excluding Schools) - (Rolling 12 Month)	10.2	10.2	10.4	10.7	Above National Average	➡	
		Voluntary Turnover (%) - CYC Total (Excluding Schools) - (Rolling 12 Month)	7.60%	8.30%	7.30%	7.21%	NC	➡	
Customers		% of external calls answered within 20 seconds - CYC	89.01%	87.57%	89.40%	91.93%	Above National Average	↑ Good	
		% of complaints responded to within 5 days	75.40%	73.20%	60.97%	65.60%	NC	➡	
		FOI & EIR - % In time - (YTD)	93.14%	92.50%	91.64%	88.80%	NC	➡	
	Digital Services Transactions / Channel Shift		Narrative Measure - see paragraph 145			NC	➡		

NC = Not due to be collected during that period,
Benchmarking: N - National, R - Regional

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

- 46 There were 196 children and young people in care at the end of December 2017. This evidences a continued consistency of practice and need, against the national trend of increasing looked after numbers.
- 47 City of York Council and the employee volunteering charity York Cares have been working together on a project called Bright Futures to help young people in care acquire the skills and experience needed to prepare them for their next steps. The project aims to match young people with employers in York who offer taster days and skills workshops.
- 48 The Department for Education asked local authorities to form Regional Adoption Agencies which they believed would help speed up the matching of children whose plan is adoption with suitable adoptive parents, thus improving the life chances of children who have often suffered neglect and other adverse life circumstances; improve adopter recruitment and support to adoptive families; and reduce inefficiencies in the system.
- 49 City of York Council have joined with four other local authorities (North East Lincolnshire, Hull, East Riding, North Yorkshire County Councils) to form a Regional Adoption Agency (RAA), known as 'One Adoption North and Humber. The RAA, hosted by City of York Council, is working to increase the number of prospective adopters (so that there is a larger 'pool' of potential adopters available for a child); share best practice; standard services available to support adoptive families and undertake joint marketing with the other RAAs in Yorkshire and Humber area to attract and recruit prospective adopters. Work to establish One Adoption North and Humber over the past six months has already brought an increase in enquiries via a centralised phone line and a new website.

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

- 50 In York, measures to tackle alcohol related ASB have seen a 36% drop in reports of alcohol related ASB from 2013/14 to 2016/17. The council made the decision to remove designated public place orders (DPPOs) in eight areas of the city after no alcohol-related incidents were reported in these areas during a three year period. All enforcement areas in the city were re-assessed due to a change in legislation which sees DPPOs replaced by public space protection orders. The remaining enforcement orders, which include those within the city walls and the railway station, will be updated to PSPOs.

Household waste recycled / composted - this measure gives an understanding of a key outcome of the Council plan

- 51 The amount of landfill waste, in Q2 2017/18, has remained stable at 12,140 tonnes along with the residual waste per household at 140kg per household. 48% of household waste was recycled in Q2 (a slight decrease on the 50% recycled during the same period in 2016/17).

Household waste recycled / composted
(Year to date)



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

- 52 A delayed transfer of care (DToC) 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.
- 53 The DToC national indicators have recently been revised by the Department of Health and now measure overall DToC (ASCOF 2C1), DToC attributable to adult social care (ASCOF 2C2) and DToC attributable to both the NHS and adult social care (ASCOF 2C3). They all measure the average number of beds occupied each day by patients being delayed in their discharge from hospital.
- 54 There continues to be a downward trend, albeit with a slight upturn in the latest figures, in the number of days that patients are delayed leaving hospital that are attributable to adult social care. In the year to October 2016, on average, there were 13.4 beds occupied each day by York residents in hospital awaiting a package of social care; in the year to October 2017 (the latest period for which figures are available), this average had reduced to 9.7 beds.
- Focusing on how patients entered hospital, the total number of beds occupied because of delays attributable to adult social care for patients in the “acute” pathway continues to decrease over time (an average of 3.76 beds per day in the year to October 2017 compared with 5.99 beds per day in the year to October 2016).

- Similarly, there is a decrease for patients in the “non-acute” pathway which are attributable to adult social care (an average of 5.95 beds per day in the year to October 2017 compared with 7.40 beds per day in 2016-17).

- 55 The Better Care Fund (BCF) provides 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 resident in York have been delayed during the year to October 2017 (the most recent data available) was 8,604 which equates to, on average, 24 beds each day occupied because of DToC, although during the most recent three-month period for which figures are available this figure was 23. The number of delay days attributable to adult social care during the three months to October 2017 (1,103) was higher than in the previous three month period to July 2017 (666); this was mainly caused by increasing delays in completing assessments, placing people in residential accommodation and creating packages of home care.
- 56 NHS England continue to set extremely challenging targets aimed at ensuring that no more than 3.5% of hospital beds nationally are occupied by patients subject to DToC. In York, this target equates to ensuring that no more than 16 hospital beds are occupied each day by patients subject to DToC. CYC and the VoY CCG are continuing to work together to try and ensure further reductions in the amount of DToC.
- 57 The Care Quality Commission (CQC) has been commissioned to review twenty local systems during 2017-18, focusing on how local services work together to support older people at the interface of health and social care. The local system is defined by the Health and Wellbeing Board area, and therefore the council area. A performance dashboard of six key indicators was used to identify the initial programme of reviews. These are:
- Emergency admissions of Older People per 100,000
 - Percentage of hospital discharges made at weekends
 - Older People receiving reablement after leaving hospital
 - 90th percentile length of stay of emergency admissions
 - Older People still at home 91 days after leaving hospital
 - Total days DTOC per 100,000
- 58 York was among the first twelve areas to undergo a review in this new methodology, based on poor performance, particularly in relation to weekend discharges and uptake of reablement. The York system has, in recent months, marginally improved its performance on the percentage of

discharges at weekends, DToC and the length of stay in hospital is, for the vast majority of patients, shorter.

- 59 The review investigated whether health and social care services were safe, effective, caring and responsive for older people, and whether the system was well led. It focused on how York supports older people to remain at home, living independently, what happens in a crisis and how well we support older people to return home once they have been admitted to hospital. The CQC reviewers spoke to system leaders, service users, health and social care staff, older people's organisations and Healthwatch York, amongst others.
- 60 The review made thirteen overarching recommendations based on a range of issues identified by inspectors. These include the need to implement seven day working and increase discharges at the weekend, addressing the challenging market capacity pressures in care homes and home care, and in particular to expand access to reablement as too few people are receiving it at present.
- 61 The Health and Wellbeing Board must submit a detailed action plan to the CQC and Department of Health by 31st January 2018 setting out York's response to the concerns and issues raised. Partners are considering a proposal for an Improvement Board for York to oversee the implementation of the action plan, reporting to the Health and Wellbeing Board. The Single Plan for York must address each of the issues identified by the CQC and deliver significant improvement on the key performance indicators, including weekend discharges and reducing DToC. The findings of the review are available on the CQC website (www.cqc.org.uk).

% 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

- 62 76% of the respondents to the 2016/17 Adult Social Care survey said they found it easy or very easy to find information about services, in order to help themselves live independent lives (ASCOF measure 3D1). This score is higher than both the regional and national averages.
- 63 The results from the Q3 Talkabout survey showed that 64.81% of residents were confident that they could find information on support available to help people live independently.
- 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 Q3 2017-18 for younger adults (aged 18-64) requiring permanent residential and nursing care is higher than a year earlier, with 12.67 younger adults per 100,000 population being placed into these homes during the first nine months of 2017-18, compared with 8.26 per 100,000 population during the first nine months of 2016-17.
- For older people the rates of those assessed as needing to go into residential care during the first nine months of the year was lower than the corresponding period a year earlier (459 per 100,000 population in 2017-18 compared with 516 per 100,000 population in 2016-17).
- 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.

65 The falls prevention pilot, launched in the Clifton ward in March 2017, has fitted 176 grab rails, 43 second banisters, six window restrictors and four carpet trim strips. It has also provided 38 items of equipment, including shower seats, free-standing toilet frames and raised toilet seats. The service has now been extended to Guildhall ward and takes city-wide referrals from Age UK, York Blind and Partially Sighted Society and CYC's Local Area Co-ordinators. It is intended to further extend the service to Fishergate, Holgate and Micklegate wards.

66 Glen Lodge Independent Living Community for Older People has received £4 million of investment to increase and further improve care services for older people. It comprises of 25 new flats and two new bungalows: these have now been completed and the first residents moved into the complex in November. Of these flats, 12 are specifically for people living with dementia based on best practice and environmental design. The care and support available includes 24 hour planned care to enable more people with higher care and support needs to live there.

67 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 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

68 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.

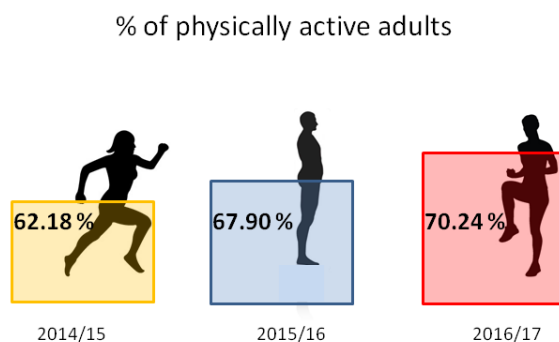
- During 2017-18 Q3 the percentage of those with learning disabilities in employment decreased slightly to 7.7%, compared with 7.8% at during 2017-18 Q2.
- The percentage of those with learning disabilities living in their own home, or with family, remained constant (this was 80% during 2017-18 Q3, the same percentage as during 2017-18 Q2).

69 At the end of November 2017, the latest data available to CYC, 14.29% of all clients in contact with secondary mental health services were in employment, which represents an increase compared with that reported at the end of 2017-18 Q2 (12.87%) and represents continuing progress in ensuring that employment is obtained for this group (this rate has almost trebled in the last 18 months). There has also been considerable progress during the last 12 months in obtaining suitable accommodation for this group: the November 2017 data shows that 93% were living independently, which represents a substantial increase from the 2017-18 Q2 rate (82%), and is over quadruple the rate reported at the end of 2016-17 Q1 (21%).

70 CYC is currently developing an Adult Learning Disabilities strategy and has recently finished a consultation on its 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

71 The latest Active Lives Survey carried out by Sport England, for the year up to May 2017, was released in October 2017. The survey was based on a sample of 480 York residents aged over 16 and the results show that levels of physical activity and sports



participation in York are high. People are classed as active if they do at least 150 minutes of moderate intensity physical activity per week and inactive if they do less than 30 minutes per week.

72 Based on this survey, a higher percentage of people are physically active (70.2%) compared with the national (60.6%) and regional (59.5%) averages and a higher percentage of people have taken part in sport and physical activity at least twice in the last 28 days (84.8%) compared with the national (77.2%) and regional (75%) averages.

73 A total number of 707 health check events have been carried out by the YorWellbeing service since its launch in February 2017. 228 face to face health checks have been conducted and the remainder have been carried out on-line. Based on the responses to the questions on physical activity within these checks, over 84% of people report being physically active which is a higher rate than the Sport England survey found for York, although the sample of people who have put themselves forward for a health check may not yet be fully representative of the population of York. The rates reported so far are higher for males (91%) than for females (82%).

74 During October, 7000 pupils from 25 York schools across the city took part in Walk to School week which aims to get more children walking, cycling or scooting to school. Archbishop Junior School was named the winner of the challenge and received the Jack Archer award along with £200 towards sport equipment.

75 As part of a drive to increase the levels of physical activity across the city, City of York Council has produced a directory of York's community sports clubs. The directory includes information and contact details for a variety of clubs offering a range of sporting and physical activity programmes with copies printed and distributed to schools, libraries and community centres. The council's Yorwellbeing service offers support to local sports clubs in areas such as funding applications, national governing body accreditations, facility development projects and community engagement.

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 Key Stage 4. A positive score represents progress above the average for all pupils and a negative score progress below the average for all pupils.

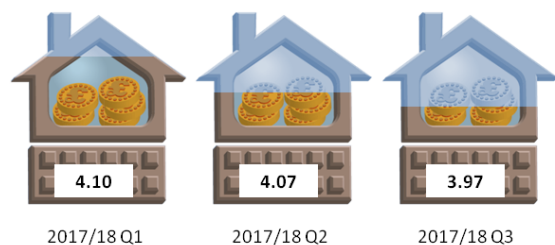
77 In 2017, the average Progress 8 score for Year 11 pupils was +0.11 above the national average and this is an improvement on 2016 when progress was in line with the national average.

- 78 Building on the success of our six school primary writing project, which contributed to improved Key Stage 2 outcomes in 2017, we joined Pathfinder Teaching School Alliance and Huntington Research School in a bid for funding to the DfE Strategic School Improvement Funding for a larger project starting in January 2018. The bid was successful and realised £196k to deliver a programme of intensive training and support across at least 14 schools this year. The project will expand to include a further group of schools in 2018-19.
- 79 Ofsted's latest annual report warns of 130 'intractable' schools in England who have failed to improve since 2005. These schools share some similar characteristics, and many have high proportions of pupils from deprived areas and above average proportion of pupils with special educational needs and/or disabilities. Nationally there were 500 primary and 200 secondary schools judged to require improvement in at least two inspections. York's performance remains strong in terms of Ofsted outcomes with 95% of primary and 78% of secondary schools judged to be good or outstanding. 92% of all York pupils attend a school judged as good or outstanding.

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

- 80 Performance in this area continues to be the best it has ever been in York with the average number of days taken to process a new Housing Benefit claim or a change in circumstance is now less than 4 days at the end of Q3 2017/18.

Number of days taken to process Housing Benefit news claims and change events (DWP measure)



A Council That Listens to Residents

- 81 The council carry out a number of consultation and research activities throughout the year, including: annual surveys, statutory research, one-off pieces of research and using Talkabout, our citizens' panel, which 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.
- 82 To ensure that a wide range of views and opinions are gathered, a number of different methods are used including; face to face drop in sessions, postal and web based surveys, focus groups and workshops.

- 83 The Youth Council Outreach and Engagement Workgroup are focusing on attending priority groups to include Snappy, Choose 2, RAY, Young Carers, Applefields and Danesgate. Their focus is to either recruit new members or attend quarterly sessions for each group to obtain the views of the young people and find out about any issues they are experiencing. These views will then be fed into the Consultation Workgroup and Campaign Workgroup for them to progress with the appropriate CYC Departments and or Councillors. They are also in the process of drafting a brief to invite film makers to create a Youth Council video.
- 84 The recent Secondary Voice Event on 15th November saw around 70 young people from nearly every secondary school in York attend. They engaged in workshops throughout the morning. These included a Q&A with local Councillors, consultation by the Healthy Child Service around access to School Nurses, and consultation around the York Central Development. They also provided their views on issues that affect them in York. These views and feedback will form a report that will then be sent to all schools that attended, local Councillors and Youth Councillors. These will then inform York Youth Council's local campaigns.
- 85 The Youth Council national campaign is currently "Curriculum 4 Life". It aims to help develop young people's political knowledge, sex and relationship education, cultural awareness, community cohesion, finance skills and sustainable living. York Youth council have created a questionnaire about this to send to schools and priority groups including Choose 2 and Snappy. In January we are holding a joint session with York Youth Council, "Show Me That I Matter" children in care council and Young Carers. They will be producing a young person's version of the Voice and Involvement Strategy and providing feedback on the CYSCB Website.
- 86 Participation opportunities for young people in care and care leavers continue to be delivered via the Children in Care Council. This includes monthly Show Me That I Matter panel meetings (13-18 yrs), monthly I Still Matter meetings (16-21 yrs) and fortnightly Speak Up Youth sessions (11-16yrs). Additional activity that has taken place during this quarter includes 2 focus groups, 3 young people's interview panels, the delivery of a Speak Up and Hear My Voice training session to higher education staff at the University of York and the facilitation of a webinar for social work professionals (via the Children's Social Work Matters network) highlighting the importance of raising aspirations and positive role models for children and young people in care. The CiCC has received two prestigious awards; the York Culture Award for Excellence in Equality and Diversity for it's Aspire to More project and the Kids Count Best Youth Campaign for it's contribution towards a the Inspired Youth project 'A Care Story'.

The service has also continued to deliver the Bright Futures Project in collaboration with York Cares, providing taster sessions, skills workshops and work experience opportunities for young people in care.

- 87 Information about rights and entitlements has continued to be provided to children and young people in care via 'new to care' letters, Information Packs, quarterly newsletters and the Show Me That I Matter website. Advocacy casework for children and young people who are in care, going through the child protection process or wanting to make a complaint has continued to be provided, in line with the local authority's statutory duty. During this quarter the service has received 5 advocacy referrals; 3 of which were in relation to children and young people in care and 2 in relation to child protection.

% 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

- 88 The latest national figure of 27% (Community Life Survey 2016/17) is consistent with the 27% of respondents to the latest Talkabout survey in York who agreed that they could influence decisions in their local area.
- 89 The Local Plan has been subject to substantial city-wide consultation including responses received to the Pre Publication Draft Local Plan consultation held in the autumn. A report will be taken to Executive in January asking Members to consider recommendations arising from this consultation and seek approval for a draft document which will be subject to consultation in February 2018 with the intention of submitting a plan for examination by the end of May 2018.
- 90 The work to plan the council's budget for 2018/19 is underway. With further financial challenges and major budgetary decisions to be made, the public have been asked for their views across a wide range of issues in the city and fed in these views by either completing an online survey or a paper version included in Our City. The consultation closed in mid December and the results will be presented in the Q4 Monitor.
- 91 The library public consultation commenced on the 7th November and lasts for 14 weeks, with a closing date of 14 February 2018. The framework of the consultation will be based around two methods;
- Consultation with the public, both library users and non-users, using a questionnaire and focus groups
 - Engagement with stakeholder groups: meetings to be held focussed around each library, involving stakeholder groups

92 We are seeking views about the future of the library service and whether the Council's vision for the service and ideas for the buildings are on the right lines. We want to know where people consider that they could most conveniently access library services in the future. We also need to know what kind of community involvement people want to have in their local libraries.

93 Other current consultations include:

- Marjorie Waite Court Planning Engagement – there are proposed plans to modernise Marjorie Waite Court and extend the existing scheme to increase the number of people who have access to this vital service.
- Accessing Customer Services at the Council – the council want more people to access council services online by choice and want to offer support for those who are unable to access services in this way. The consultation will help to inform the future approach to the continued delivery of excellent customer service.
- My Castle Gateway - a partnership between City of York Council and My Future York is consulting on the redevelopment of Castle Gateway. Stage 3 of the project is underway and views are sought on a range of plans reflecting that the public love, value or want to change. In January 2018, feedback will be used to help shape a preferred masterplan option.
- Windsor House consultation – Residents, relatives and staff at Windsor House are being consulted on the option to close the home in early 2018 as part of plans to modernise accommodation for older people in the city.

% 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

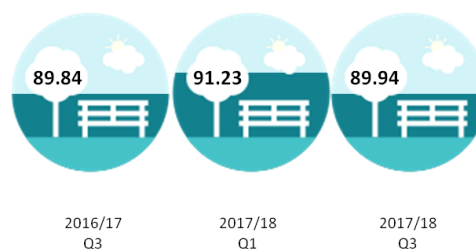
94 Community forums for a number of the major planning projects have been setup in order to discuss, listen and communicate with residents the plans and progress of these schemes.

95 Following a positive referendum result during August, City of York Council Executive agreed, at a meeting held on 19th October, to adopt the Upper and Nether Poppleton Neighbourhood Plan as part of the City of York Development Plan.

% 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

96 The results from the Q3 Talkabout survey showed that 92% of the panel were satisfied with York as a place to live and 90% with their local area. There have been non-statistically significant reductions compared to the April survey results but satisfaction levels continue to be significantly higher than the latest national figures of 78% (Community Life Survey 2016/17) and 82% (Local Government Association Poll October 17).

% of panel satisfied with their local area as a place to live



97 86% of respondents to the Q3 Talkabout survey agreed that it was important to feel they belong to their local area with 75% agreeing that they did belong. These non-statistically significant reductions from the previous survey are still significantly higher than the National benchmark scores of 62% in the Community Life Survey 2016/17 and 69% from LG Inform.

- 80% of respondents agree that York is a good place for children and young people to grow up and 73% agree that York is a place where people from different backgrounds get on well together.

98 The York BID appointed a new contractor for the Winter 2017 festive lights campaign with the intention of capitalising on the success of last year with plans for displays on a much larger scale. The York BID worked together with Make It York to light up the four bars, two bridges and many other streets with more than 160,000 LED lights and 125 Christmas trees. The displays have received positive reactions with Virgin Trains announcing that York is the most festive city in the UK, following a survey of Britain's social media.

% 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

99 The Q3 Talkabout survey showed that 62% of respondents were satisfied with the way the Council runs things. This is a non-statistically significant reduction compared to the April survey results but satisfaction levels continue to be significantly higher than the LG Inform benchmark figure of 50% for 2016/17. The Council aims to deliver financial sustainability whilst improving services and outcomes for York residents and 45% of respondents agree that the Council provides value for money.

% 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

- 100 The Q3 Talkabout survey showed that respondents believe that the council was doing well in conserving York's heritage and helping to reduce household waste but panellists thought that the Council and partners could do more to improve the quality of streets/public spaces.

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)

- 101 Customer Satisfaction remains high in Q3 with 94% 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

- 102 Attainment at age 19 remains above average however there have been concerns about the gap between both disadvantaged young people and young people with Special Educational Needs (SEN) and their peers. Latest figures from April 2017 show the post 19 attainment gap is closing in some areas and, to address remaining challenges, Further Education providers will be strategically supported by the council to sustain focus on these groups.

- 103 Learning and Work Advisers from the council's Local Area Teams 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 are be available at locations across the city based on local need and complement the careers guidance and support provided through schools and other education providers under their statutory duties.

- 104 A partnership plan is being developed in consultation with YSAB (York Safeguarding Adults Board), governors and other agencies to identify actions to improve outcomes for disadvantaged children and communities in York.

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

105 In April 2017, the median gross weekly earnings for full-time resident employees in York were £519.30, up 2.2% from £508.10 in 2016. Since the economic downturn of 2008 to 2009, growth has been fairly steady, averaging approximately 1.1% per year between 2009 and 2017. The 2.2% growth seen this year is a welcome increase however, adjusted for inflation, weekly earnings actually decreased by 0.4% compared with 2016 (the Consumer Prices Index including owner occupiers' housing costs (CPIH) rose by 2.6% in the year to April 2017).



106 This mirrors the National picture as Great Britain gross weekly earnings also increased by 2.2% (£552.70 from £540.90) but regional earnings only increased by 0.8% (before inflation) (£502.30 from £498.30). In the region Leeds has the highest median gross weekly pay of £536.60 (up 1.65% before inflation) and Hull has the lowest £447.80 (down 0.9% before inflation).

107 Figures from the Office for National Statistics showed there were 295 JSA claimants in York in December 2017 which is a decrease of 15 from the previous month and a decrease of 235 from December 2016. The claimant count for York represents 0.2% of the working population, which is lower than both the regional and national figures of 1.3% and 1% respectively in December 2017. The recent figures also highlight a fall of 35 in the youth unemployment count since December 2016. The youth unemployment figure of 0.1% is lower than both the regional and national figures of 0.9% and 0.7% respectively.

108 The JSA figures should be viewed in the context of the number of people receiving Universal Credit in York increasing from 2047 in November to 2409 in December. Of these, there were 1270 claimants in December who were not in employment. Universal Credit became available to parents and couples in the York area in July, prior to which this was only available to single job seekers. The total number of JSA claimants and Universal Credit (out of work) claimants in December is 1360 which is an increase of 445 since December 2016.

109 Data released by the Department of Work and Pensions is published 6 months in arrears and the latest data relates to February 2017. The total number of claimants for either Income Support or Employment Support Allowance in York is 6350 which is a slight increase of 20 from November

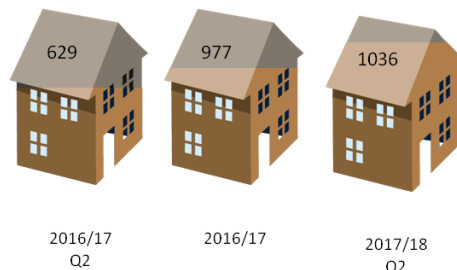
2016. The claimant count represents 4.6% of the working population which is lower than both the regional and national figures of 8.3% and 7.4% respectively. Although these figures are the lowest in the region, due to the changes in the benefits system some of the data is transitional. The introduction of Universal Credit, for example, means that some people are still in the process of transitioning over.

110 In the year to June 2017, the average house price in York increased by 6.6% whilst regionally there was a rise of 3.7% and nationally a rise of 3.3%. Average house price statistics themselves do not give a full picture of the affordability of privately owned housing, because these figures do not take into account average earnings. Dividing the house price data from the Land Registry by the median total gross annual salary figures (ASHE) produces a ratio which, in part, dictates how much people can afford to pay to buy their own home. In 2017 this ratio, in York, rose by 7.3% to 8.84:1 from 2016. Over the same period, regionally there was a rise of 2.6% to 5.83:1 and nationally a rise of 1.2% to 7.67:1.

Net Additional Homes Provided - this measure gives an understanding of how many new homes have been built in the city

111 At the end of Q2, York's housing market was looking healthy with 1,036 net additional homes completed. Of these additional homes, 61.5% were a result of off campus privately managed student accommodation schemes which comprised the privately managed developments at St Josephs' Convent Lawrence Street, St Lawrence WMC and 2-14 George Hudson Street. The remaining 35.8% of net additional homes resulted from traditional housing sites of which phase II of the Hungate Development Site provided a total of 195 completions.

Net Additional Homes Provided (YTD)



112 There were also 928 net housing consents granted of which 91.9% were the result of traditional housing consents which represents a return to higher level of residential approvals following a decline experienced during 2016/17. Of these consents approvals, an increase to the Hungate Development Site capacity, The Cocoa Works, Haxby Road and York Barbican, Paragon Street account for the major part of the overall approvals.

113 A five year plan to extend and improve council housing with a £20 million fund has been considered by the City of York Council. The fund will be used in a number of ways to secure new homes, including first refusal to buy former council homes when they are sold on the open market and

building new council homes and flats. Over the next five years, £79.9 million will be invested in repairing and improving existing council homes, £42.9 million on ongoing maintenance and £35 million for responsive repairs and cyclical maintenance.

- 114 City of York Council is taking a strategic and innovative lead to combat the current housing shortage by proposing to establish its first housing development company. The company will accelerate the delivery of homes by maximising use of its land assets, creating multi-tenure developments which respond to social needs and providing new homes for sale and rent, both affordable and at market rates.

Business Rates - Rateable Value - this measure gives an understanding of how much money the Council is likely to receive to spend on public services

- 115 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.

- 116 The collection rate for Council Tax at the end of Q3 was 84.08% compared with 85.07% in the corresponding period in 2016/17. The collection rate for Business Rates at the end of Q3 was 83.67% compared with 83.30% in the corresponding period in 2016/17.

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

- 117 The Council continues to host and facilitate One Planet York (OPY) – a growing network of over 60 businesses and organisations backing the vision of a sustainable, resilient and collaborative city – with an inclusive economy, strong community and healthy environment.

- 118 Key outputs include a new integrated city scorecard, a ‘liveable city’ conference involving 200 delegates and over 30 organisations, an updated OPY Prospectus showcasing practical examples of city leadership, an established social media presence and the emergence of new activity and groups, such as the York Walk and Cycle Forum, York Food Poverty Alliance, Sustainable Food City York and University of York One Planet Week. There is ongoing work to mainstream OPY as a place-making framework for York and to progress the LCR ‘Inclusive Growth’ agenda. Planning is also underway for a ‘Healthy City York’ conference in

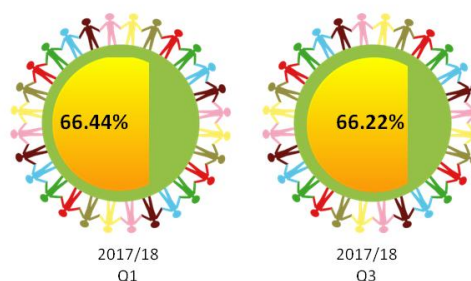
June 2018 as a collaboration between OPY and the Health and Wellbeing Board.

119 On 16 March 2017, the Executive approved One Planet Council (OPC), an internally focussed policy aiming to drive organisational resource efficiencies and put social, economic and environmental sustainability firmly at the heart of council decision-making processes (via the new integrated 'Better Decision Making Tool'). Work has also started to enhance social value through procurement and commissioning utilising One Planet principles.

% 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

120 The results of the October Talkabout survey showed that 66% (the same as the Q1 survey) of the respondents give unpaid help to a group, club or organisation which 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



121 In November, York launched its new volunteering strategy, 'people helping people' at a special event. Partners in the strategy alongside the council include York CVS, International Service, York Cares, the University of York, York St John University, North Yorkshire Police, York Timebank and the York Teaching Hospital NHS Foundation Trust. The partnership alone has over 6,000 volunteers, with people from every walk of life contributing as students, neighbours, young and older people who already make a significant difference in the city.

122 York is the tenth city in the UK to join the international Cities of Service coalition. The focus of Cities of Service is on 'impact volunteering'. This involves the creation of a volunteer strategy that targets community needs, uses best practice, has clear outcomes and measures progress. Impact volunteering aims to:

- Help local people find the best ways to mobilise energy, talent and passions to make a real difference to local priorities.
- Measure results and the impact volunteers are having, rather than measuring how many people volunteer.
- Create strong leaders to champion the approach and create support within the city.

Performance

Major Projects - this measure gives an understanding of the performance of the large projects the Council is currently working to deliver

- 123 There are currently 13 major projects in progress which represents no change from Q2. Each project is given a status to give an overview of significant risks and provide assurance as to how individual projects are being managed. 5 are rated Amber (one less than in Q2) and there is 1 red rated project.
- 124 The Digital Services (CRM) project is red as no work has been undertaken in the live environment. However, the project has continued to make progress within a development environment and is working with service areas to determine whether there are any fixes that can be made to the current system to close any initial issues.
- 125 The Community Stadium project is now rated as Green due to the Design, Build Operate and Maintain contract being completed and the completion of the commercial land sale and developer offer. Site mobilisation and ground preparation started in December 2017 with full construction due to start 8 January 2018.
- 126 The York Central project achieved a major milestone in November 2017, when the Council's Executive agreed to the York Central Partnership's (YCP) recommendation to develop a Western access option and to undertake further design and legal work to ensure that the final alignment will seek to mitigate the effects of such a route on the Millennium Green and control costs to ensure deliverability. Also, the land within YCP's control that could be used for a Southern Option is being safeguarded, in order to protect against any risk to the York Central development caused by circumstances preventing the successful delivery of the Western Option.
- 127 The Castle Gateway project masterplanners, BDP, produced a series of ideas for the regeneration of the area which was broken in to 5 sub-areas. Public consultation on these emerging ideas for the Castle Gateway was completed in December 2017 (see paragraph 93). Work is progressing well at Stonebow House and is on schedule to be completed in Spring 2018. At 17-21 Piccadilly, Spark: York are onsite with a scheme to provide a start-up space for local business, street food and exhibition. There has been a delay in construction due to an issue with a contractor that led to a re-tendering exercise, but this has now been resolved and the scheme is due to open in March 2018 with a tenancy that runs until summer 2020.
- 128 The Provision of School Places 2017-2023 project has now concluded the forecasting phase where local datasets on current pupil numbers, migration and currently approved housing schemes were compiled into

the forecasts for the 17 primary and 4 secondary planning areas. This data included the school capacities, which is subject to future revision as well as the pupil number forecasts. School capacity across all existing schools is now well into a second level of assessment, where officers are planning and conducting site visits to assess the size of the school estate and to recalculate and revise data held by the Council regarding the capacity of the existing school buildings.

129 The Older Person's Accommodation (ASC) project has seen the completion of the extension to Glen Lodge Extra Care facility in Heworth and 12 residents have moved in so far in with five more expected before Christmas. Up to five apartments and one bungalow will be used for Step-down Care over the winter. The proposal for a 64 bed care home at Fordlands has secured planning permission and construction work will begin in Q1 2018.

Performance – Other

130 The Council's performance management framework, which includes the service plan process, was agreed at Executive in July 2016, and set out the annual cycle that the Council will work to. Service Plans were produced which covered the 2017-18 and 2018-19 periods and directorate 'Plans on a Page' were written to provide a high level overview of directorates key objectives.

131 In line with the framework, the council are entering a review phase of the service plans during December and January. Existing actions within the plans will be reviewed, along with the timescales for each action. The content within the directorate plans on a page will also be reviewed alongside the offer of performance clinics with Assistant Directors. A collation of all service planning action updates will form the basis of directorate documents which bring together the evidence base that actions are being delivered.

132 Senior representatives of the region's 22 local authorities, Yorkshire Regional Flood and Coastal Committee, Environment Agency and Defra met in York in December. This Strategic Leadership Forum meeting provided an opportunity to work together to manage the increasing risks posed by flooding from rivers and seas, consider further solutions and the future effects of climatic change in order to create a 'flood-ready Yorkshire'. The attendees:

- received a detailed assessment of the present and future flood risk from the Environment Agency;
- heard how local authorities are integrating flooding into their economic development approaches, and

- explored ways to manage flood risk across entire catchment areas.

133 Among the work taking place across the city, the council is working with the Environment Agency on a £45 million programme following the impacts of the Boxing Day Floods in 2015.

Performance – Employees

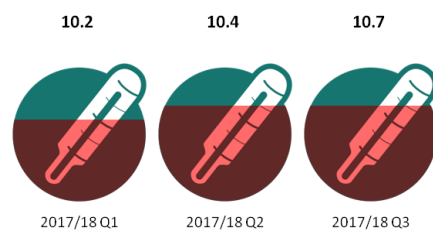
Staff Total - this measure gives an understanding of total numbers of staff, and our staffing delivery structure

134 At the end of Quarter 3 there were 2,497 employees (2,001 FTEs) working at City of Council (excluding schools), down from 2,556 (2,036 FTEs) at the end of Quarter 2. This continued 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

135 The 12 month rolling average of sickness days per FTE (excluding schools) has increased slightly from 10.4 days at the end of September, to 10.7 days at the end of December. This also remains higher than the CIPD Public Sector average of 8.7 days. The 12 month rolling average for Stress related absence has also increased from 2.8 days per FTE at the end of Q2 to 3.3 at the end of Q3. The organisation is continuing to manage and monitor sickness absence by ensuring that its impacts and costs are understood and discussed throughout the Council's management structure.

Average sickness days per FTE – CYC
(Excluding Schools) – (Rolling 12 Month)



136 A report presented to the Customer and Corporate Services Scrutiny Management Committee in January provided information on the specific work activity underway to reduce the levels of sickness absence across the organisation.

137 The priority for the second year of the attendance and wellbeing plan is a focus on attendance management ensuring that the wellbeing priority is addressed. The key activities in 2018 in relation to attendance and staff wellbeing include:

- The implementation of self service absence reporting into iTrent which will reduce the reporting burden for managers and assist with more accurate reporting and improved management information
- The delivery of a suite of learning for managers including attendance management training, disability awareness, support with difficult conversations.

- Specific communication to ensure all employees have a shared understanding of their roles and responsibilities regarding application of policy.
- A review of the role of Occupational Health and counselling service.
- An engagement campaign to promote an understanding of the benefits of proactive management of absence and help support managers and staff to deal with sensitive issues e.g. mental health, support with cancer and terminal illness) and promotion of flexible working and work life balance, to ensure staff have an understanding of wellbeing initiatives and how they access them.
- Review of the current attendance management toolkit to consider improvements and determine if there are any recommendations to revise policy.

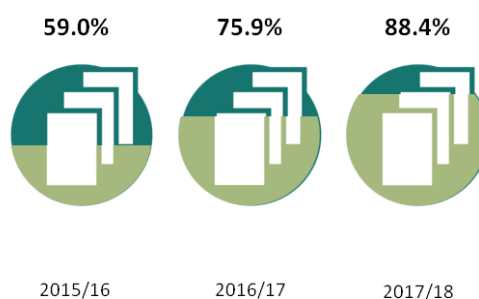
Staffing Turnover - this measure gives an understanding of the number of staff entering and leaving the organisation

138 7.2% of employees have voluntarily left the organisation in the 12 months ending December, down slightly from 7.3% at the end of Quarter 2. Total staff turnover (people leaving for all reasons not just resignations) has increased to 14% over the rolling 12 months to December an increase from 12% as at the end of September. 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

139 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. By the end of December, 88.4% of PDRs have been undertaken through the 2017/18 annual performance review cycle, a significant improvement on the 75.9% seen during 2016/17.

PDR Completion (%) – CYC - Snapshot



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

140 The Council updated its values at the start of 2017 – We Work Together, We Improve, We Make a Difference. These have been implemented across the whole organisation via internal communications, senior management and team briefings, underpinning the annual Performance

Development Reviews, introducing 3 categories into the VIP awards linked to the values and with the Employee of the Month Award. These will be communicated and implemented further during 2018 as part of ongoing staff engagement work.

Performance – Customers

External Calls answered within 20 seconds - this measure gives an understanding of speed of reaction to customer contact

141 In Q3 the percentage of all external calls answered within 20 seconds was 92% which is an increase from Q1 (88%) and is well above the industry benchmark of 80%.

142 The council's Customer Centre is the main point of contact for residents and business visitors. During Q3 2017/18, the number of calls received reduced to 50,834 from 58,099 in the previous quarter. Of these calls, 98% were answered (the same as in Q2), with 84% answered within 20 seconds. This is a considerable increase from 73% in Q1 and demonstrates a consistently good performance.

% of complaints responded to within 5 days

143 In Q3 2017/18 the council received 331 stage 1 complaints, which is a decrease of 38 on the number received in the previous quarter. The council responded to 65.6% within the 5 day timescale which is an increase from 60.97% in Q2. Where timescales were not met, this was due to resource pressures in some service areas. Additional resources have been provided to deal with and monitor complaints with work ongoing to; seek to reduce the number received in first instance, ensuring complaints performance is monitored, and that 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

144 In Q3 2017/18 the council received 489 FOIs, EIRs and SARs. In-time compliance of 85% has been achieved for FOIs (Freedom of Information requests) and 98.4% for EIRs (Environmental Information Regulations requests).

Digital Services Transactions/Channel Shift

145 The number of residents who came to West Offices reduced to 12,425 (14,664 in the previous quarter) with an average wait of less than 6 minutes. 81% of residents were seen within the target wait time of 10 minutes. 15,725 business visitors came to West Offices during Q3 2017/18 (17,077 in the previous quarter).

146 The reduction in demand across our face to face channel shows the changing behaviour of our residents; 3,314 payments were made using

the auto payments system and 17,741 customers used the telephone auto operator.

147 Residents are now encouraged to complete certain transactions online. In Q3 2017/18, 58% (1,024) of all street lighting and street cleansing issues were reported by customers on-line which is an increase from 53% in Q2.

148 The Future Focus Team, Adult Commissioning Team, York CVS, York Healthwatch and York Age UK are working in partnership to develop the new wellbeing community website. The focus is on developing a community directory which will enable citizens to plan and help prevent problems while developing and maintaining independence for longer through conversations, information and support. The link to the community directory will be available to Social Workers and partners by 29th January, followed by a soft launch in April and a published full launch to align with the celebrating volunteering month in June as part of the People Helping People strategy which is now live.

149 The City of York Council are proposing to renew the ICT service contract by seeking a technology provider who will design, manage and support the council's data network services, internet, office and mobile telephone services and e-security protection services. Over the last decade, York has become the most digitally connected city in the UK by installing a future-proof fibre network, connecting schools, universities and community buildings to high-speed internet access and making improvements to online reporting and CCTV and traffic management.

Annexes

150 All performance data (and approximately 975 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

151 Not applicable.

Options

152 Not applicable.

Council Plan

153 The information and issues included in this report demonstrate progress on achieving the priorities set out in the Council Plan.

Implications

154 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

155 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 25/1/18
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	FOI	Freedom of Information
ARZ	Alcohol Restriction Zone	FSM	Free School Meals
ASB	Anti-Social Behaviour	FTE	Full Time Equivalent
ASC	Adult Social Care	GCSE	General Certificate of Secondary Education
ASCOF	Adult Social Care Outcomes Framework	HCA	Homes and Communities Agency
ASHE	Annual Survey of Hours and Earnings	HRA	Housing Revenue Account
AWRP	Allerton Waste Recovery Park	ICT	Information and Communications Technology
BCF	Better Care Fund	JSA	Jobseeker's Allowance
BDP	Building Design Partnership	LAC	Looked After Children
BID	Business Improvement District	LAT	Local Area Team
BMI	Body Mass Index	LED	Light Emitting Diode
CCG	Clinical Commissioning Group	LSCB	Local Safeguarding Children Board
CCTV	Closed-circuit television	NEET	Not in Employment, Education or Training
CHC	Continuing Health Care	NHS	National Health Service
CIPD	Chartered Institute of Personnel and Development	NHSE	NHS England
CPIH	Consumer Prices Index including owner occupier housing costs	NYCC	North Yorkshire County Council
CQC	Care Quality Commission	NYP	North Yorkshire Police
CRM	Customer Relationship Management	ONS	Office for National Statistics
CSC	Children's Social Care	OPC	One Planet Council
CYC	City of York Council	OPY	One Planet York
CYSCB	City of York Safeguarding Children Board	PCN	Penalty Charge Notice
DSG	Dedicated Schools Grant	PDR	Performance and Development Review
DTOC	Delayed Transfers of Care	PPP	Public-Private Partnership
EAP	Employee Assistance Programme	RAA	Regional Adoption Agency
EIR	Environmental Information Regulations	RAY	Refugee Action York

SASH	Safe and Sound Homes	YOT	Youth Offending Team
SEN	Special Educational Needs	YSAB	York Safeguarding Adults Board
SGO	Special Guardianship Order		
SHMA	Strategic Housing Market Assessment		
SIA	Security Industry Authority		
VOA	Valuation Office Agency		
WMC	Working Men's Club		
WYTF	West Yorkshire Transport Fund		
YCP	York Central Partnership		

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Executive**8 February 2018**

Report of the Deputy Chief Executive / Director of Customer & Corporate Services
Portfolio of the Executive Leader (incorporating Finance & Performance)

CAPITAL PROGRAMME – MONITOR 3 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 £111.638m.

Recommendations

- 3 Executive is asked to:
 - Recommend to Full Council the adjustments resulting in a decrease in the 2017/18 budget of £19.324m as detailed in the report and contained in Annex A.
 - Note the 2017/18 revised budget of £88.586m 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 A decrease of £19.324m is detailed in this monitor resulting in a revised capital programme of £88.586m. £20.3m of this decrease is due to a re-profiling of budgets to future years. There is also a net increase of £983k in 2017/18.
- 6 Table 1 outlines the variances reported against each portfolio area.

Department	Current Approved Budget £000	Projected Outturn £000	Variance £m	Paragraph Ref
Children, Education & Communities	8,843	5,965	(2,878)	8-20
Health, Housing & Adult Social Care – Adult Social Care	5,137	6,038	901	21
Health, Housing & Adult Social Care – Housing & Community Safety	25,848	25,758	(90)	22-26
Economy & Place – Transport, Highways & Environment	19,977	19,084	(893)	27- 35
Economy & Place – Regeneration & Asset Management	29,198	20,505	(8,693)	36-42
Community Stadium	14,241	7,284	(6,957)	43-46
Customer & Corporate services	2,579	2,142	(437)	47-50
IT Development Plan	2,087	1,810	(277)	52
Total	107,910	88,586	(19,324)	

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, resulting in a net decrease to the capital programme of £2.878m in 2017/18. Key variances are summarised in the table below, referenced to further narrative.

Scheme	Amendment	Amount 17/18 £000	Amount 18/19 £000	Amount 19/20- 20/21 £000	Amount 20/21- 21/22 £000	Amount 21/22- 22/23 £000	Further Details – Paragraph ref
DfE Maintenance	Adjustment	(100)	40	(100)	(1,400)	-	14-16
DfE Maintenance	Re-profile	(500)	500	-	-	-	14-16
Basic Need	Re-profile	(950)	(21,050)	6,500	7,000	8,500	9-12
Family Drug & Alcohol Recovery facility	Re-profile	(100)	100	-	-	-	17
Improvement of facilities for pupils with SEND	Re-profile	(100)	100	-	-	-	
Southbank Expansion	Re-profile	(1,000)	1,000	-	-	-	18-19
Castle Museum Development Project	Adjustment	(100)	-	-	-	-	20

- 9 In 2017/18 The main Basic Need programme has delivered the provision of some portacabins at Acomb Primary to support the increased number of pupils, plus additional works at the two PSBP schools.
- 10 The authority is currently experiencing differing demographic pressures in areas across the city, and the implications of this need to be considered carefully and continually updated to reflect emerging and changing pupil number projections to plan and prioritise the use of basic need funding. A high level strategic assessment has been carried out to indicate where and when such future pressures may emerge to enable schemes to be developed in advance of these pressures becoming critical.
- 11 As a result of this assessment it is now proposed to re-profile the Basic Need scheme in the capital programme. The majority of the

scheme budget is currently in the 2018/19 programme (£26.5m), but it is now expected that only about £5.5m will be required in that year. It is therefore proposed to reprofile £21m over the following three years of the programme to more accurately reflect updated expectations of need and timing of schemes. This profiling is still provisional and may still be subject to change, particularly due to dependencies on other factors, particularly around the timing of planned housing developments

- 12 Funds of £800k for any new works has not been required in 17/18 and £150k for expansion works at St Marys have not progressed therefore total funds of £950k are to be transferred into 18/19.
- 13 The Fulford School Expansion Scheme has now been completed with only some retentions and minor payments outstanding.
- 14 Over the winter, the majority of work within the Maintenance budget will be responding to any requirement for emergency repairs needed to keep schools open, warm and dry. There has been little additional work to report since the last update at monitor 2.
- 15 A small amount of this budget (£100k) needs to be re-profiled into 2018/19 to fund retentions on contracts which are complete but where the final payment will not be due until after 31st March 2017. In addition, it is currently expected that the overall position across all the schemes in the Maintenance programme will be a saving on the budgets allocated. At present this position cannot be fully quantified but is expected to be a minimum of £300k. It is proposed that this be carried forward into 2018/19 and be added to the resources available for the maintenance programme currently being developed.
- 16 In addition to the amendments outlined above, the amount of estimated maintenance funding has been amended in future years of the programme. These amounts have been reduced to reflect the expected impact of further academy conversions on the amount of funding allocated to the local authority.
- 17 The Family Drug and Alcohol Assessment and recovery facility development, linked to existing housing development plans, is intended to respond to national Family Drug and Alcohol Court (FDAC) requirements. The full budget now needs to be transferred into 2018/19. The reason for the delay in commencing this scheme is due to the intention to use this budget to match fund with bids for external funding, the results of which are not yet known.
- 18 The Southbank Provision scheme is supporting the Southbank Multi-Academy Trust to assist the local authority to alleviate some place

pressures in that area of the city. The funding is being used to allow some changes to Scarcroft Primary's buildings to accommodate additional pupils, and to create additional outdoor play space.

- 19 The works to Scarcroft Primary are in progress and are expected to cost up to £251k. The major funding in the scheme (£1m), is for a full size Multi-Use Games Area on the Millthorpe Secondary site with access for other schools in the area. This work is now planned to be carried out over the summer 2018, so this element of the scheme needs to be transferred into 2018/19
- 20 As part of the Castle Museum Development Project an amount of £200k has already been paid to York Museums Trust (YMT). The remaining £100k was requested to provide a contribution to the Castle Gateway Project in the Place Capital Programme. It is proposed to transfer this amount from the CEC programme into the Place programme where the full expenditure on this scheme will be accounted for.

Adult Social Care

- 21 The budget for the Older Persons Accommodation review has been updated to reflect better than expected progress at the Burnholme site. As reported in monitor work was started later than planned however significant progress has been made and it is anticipated the project will be back on schedule at year end. Funds of £912k have therefore been transferred back into 17/18 from 18/19.

Housing & Community Safety

- 22 Four amendments have been made as part of this report resulting in a net decrease to the capital programme of £90k in 2017/18. Key variances are summarised in the table below, referenced to further narrative.

Scheme	Amendment	Amount 17/18 £000	Amount 18/19 £000	Further Details – Paragraph ref
Local Authority Homes Phase 1	Re-profile	(1,000)	1,000	23
Disabled Facilities Grant	Adjustment	110	-	24
IT Infrastructure	Re-profile	(0,400)	400	25
Shared Ownership Scheme	Re-profile	1,200	(1,200)	26

- 23 Within the Local Authority Homes scheme, Fenwick Street site of 8 two bedroom flats was completed and opened to residents in July 2017. Chaloners Road revised planning application for 5/6 two bed houses will be submitted in January 2018 and will go to planning committee in March/April 2018. Proposals are to build 5 bungalows on the Newbury Avenue site which will have planning submitted in January 2018 and will go to planning committee in March/April 2018. Although the full costs of planning and survey fees are still unknown, the build costs for the new sites will be incurred in 2018/19, therefore £1m of funds are to be transferred from 2017/18 into 2018/19.
- 24 The Disabled Facilities Grant scheme budget has been increased by £110k to reflect additional government funding received in the Autumn statement.
- 25 The Housing ICT Programme is now in the Initiate phase and detailed business requirements and a technical specification are being developed. The intention is to issue an Invitation To Tender (ITT) for a new integrated ICT solution in April 2018 so, the full budget allocated for 2017/18 will not be spent until 2018/19 therefore funds of £400k are to be transferred into 2018/19 to reflect this.
- 26 At the Decision Session for Executive Member for Housing and Safer Neighbourhoods on 18 December 2017 members gave approval for the council to purchase 15 homes on the open market before the end of March 2018 that will then be sold on to shared-owners when the scheme is formally launched early in the new year. Purchasing these homes will enable the council to meet its obligations to the Homes and Communities Agency to spend £637,500 (£42,500 per unit) of the of the grant funding awarded to it. Based on an average price of £180,000 per home it will mean that the HRA will have to commit approximately £2.062m to these first purchases of which £622,500 is committed funding for programme from the HRA and the remaining balance £1.44m will be a short-term commitment that will be repaid as shared-owners purchase an overall average of 50% shares in the homes . The remaining balance is match funding from the HCA grant and part of the approved grant funding of £2.76m. The balance of front-funding from the HRA will, as each home is sold on to individual purchasers, be repaid to the HRA.

Transport, Highways & Environment

- 27 There have been a number of further achievements in this area since last reported at monitor 2. Within the Local Transport Plan scheme, work to remove trees and vegetation and carry out the required utility diversions was carried out in November and December, to allow the main works to

widen the carriageway at the A19/ Crockey Hill junction to start in January. Six of the Traffic Signals Asset Renewal (TSAR) schemes have been completed, and work on the Lendal Arch Gyratory scheme will start later in January

28 Funding from WYCA and York, North Yorkshire and East Riding Local Enterprise Partnership has been secured for the Scarborough Bridge Footbridge Upgrade. A planning application has been submitted with the scheme due to be completed by the end of 2018/19.

29 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 £893k. Key variances are summarised in the table below, referenced to further narrative.

Scheme	Amendment	Amount 17/18 £000	Amount 18/19 £000	Further Details – Paragraph ref
Built Environment Fund	Re-profile	(1,337)	1,337	30
Fleet Acquisition	Adjustment	1,610	-	31
Knavesmire Culverts	Re-profile	(266)	266	32
Better Bus area fund	Re-profile	(200)	200	33
Flood Defences	Re-profile	(317)	317	34
Scarborough Bridge	Re-profile	(450)	450	35
Scarborough Bridge	Adjustment	-	1,590	35

30 The Executive are to consider a review of the city centre access points to restrict vehicle access during certain hours. This will have a fundamental affect on how the projects within the Built Environment Fund are detailed. As such funds of £1.337m are to be transferred into 18/19 to allow consideration of the review of city centre access points

31 The options for the financing of the fleet acquisitions for 17/18 have been reviewed and it is considered that leasing does not offer the best value option therefore a budget is required to be added to the capital programme to allow the financing by departmental prudential borrowing. Funds of £1.610m have therefore been added to the programme in 17/18 to be financed by departmental prudential borrowing.

- 32 In relation to the Knavesmire Culverts scheme, Investigations were carried out in late 2017/18 which identified that significant works are required to the outfall in Nunthorpe Ings and at varying points along the system. Works could not be coordinated with the horse racing programme and the Holgate Beck Flood Study was still in development, linkages between the two river systems are now better understood. Further planning will be required to ensure the works can be carried out in 2018/19 therefore funds of £266k are to be transferred from 17/18 into 18/19.
- 33 Completion of the feasibility and initial design for the North York Bus Priorities scheme was delayed as additional traffic modelling work was required to assess the impact of the proposed improvements at the Haxby Road/ Wigginton Road junction. A report on the proposed scheme will be presented to the Executive Member later in the year and the scheme will be implemented in 2018/19, therefore funds of £200k are to be transferred into 2018/19 to reflect this.
- 34 The Environment Agency (EA) appraisal of works in the flood cell is now expected in April 2018, and it is essential that the Council reviews the appraisal and ensure it aligns with out priorities before the Councils contributions can be made. Therefore the Councils £317k contribution to the Clementhorpe Flood Alleviation scheme is proposed to be re-profiled into 2018/19.
- 35 The profile of the Scarborough Bridge scheme has been updated to reflect the latest delivery timescales now that funding has been secured from West Yorkshire Combined Authority, CityConnect programme – Cycle City Ambition Grant (CCAG) and York North Yorkshire East Riding Local Enterprise Partnership (YNYER LEP) – Local Growth Fund. Funds of £450k have been transferred into 2018/19 from 17/18 and additional £1.590m of government funding has been added to the programme in 18/19.

Regeneration & Asset Management

- 36 The York Central Project is progressing well achieving a major milestone in November 2017 with Executive approval of the York Central Partnership's (YCP) preferred access option following public consultation and technical evaluation undertaken by the YCP. This approval also released a further £1.9m of development funding from CYC's agreed £10m allocation. The YCP is now focussed on progressing the Master Planning work with further Public Engagement in early 2018 and detail design work on the agreed access option progressing, alongside further

stages of consultation, towards the submission of planning applications (outline for the Masterplan and detail for the access) in August 2018.

- 37 Early pre-application engagement with the council's Planning / Highways teams is also underway. The consultancy fees for this work are forecast to meet the project spend targets enabling the drawdown of external grant / loan match funding. An exception report has been submitted to West Yorkshire Combined Authority to advise on the revision to the proposed access option to safeguard the Transport Funding committed to this project. The York Central scheme budget has been updated to reflect the latest expenditure profile and funding requirement as reported to members at Executive on 15th November 2017
- 38 Within the overall Guildhall project, the procurement period for selecting a construction contractor for this complex project was extended, in response to the market, and finally concluded in late August 2017. The Project Board agreed a 2 stage tender process to mitigate project risk. Interserve Construction Ltd ICL commenced the Early Contractor Involvement ECI phase (the 2nd stage of the tender process) on 2 Oct 2017 with a target for completion by 18th December 2017. The Contractor advised that this deadline was at risk in mid November, and because of the impact of the construction industry Christmas shut down period a date in late January is now expected. There is a knock on impact on the construction start date now likely to be March 2018. The proposed project spend profile assumed a January construction start date and therefore expenditure in quarter four will be behind schedule. The Council are in dialogue with West Yorkshire Combined Authority about the impact of this slippage in the profile of their grant contribution. £1.943m of funds are to be transferred into 2018/19 where the majority of expenditure is now expected to occur.
- 39 Following the event of Carillion entering liquidation, the council is continuing to undertake due diligence with regard to the financial capacity of the Guildhall contractor, Interserve. This includes determining the exposure to Carillion of both the main contractor and supply chain. Officers are also seeking a performance bond in order to provide further guarantees that the contract can be completed in accordance with the contract requirement.
- 40 Officers are finalising the tender evaluation to determine the restaurant operator for the facility which will provide significant ongoing financial support to the scheme
- 41 A number of other amendments have been made as part of this report resulting in a net decrease to the capital programme of £8.693m in

2017/18. Key variances are summarised in the table below, referenced to further narrative.

Scheme	Amendment	Amount 17/18 £000	Amount 18/19 £000	Further Details – Paragraph ref
York Central	Re-profile	(4,549)	4,549	36-37
River bank repairs	Re-profile	(181)	0.181	41
Castle Gateway (Picadilly Regeneration)	Adjustment	100	-	42
Guildhall	Re-profile	(1,943)	1,943	38
Commercial Property Acquisition incl Swinegate	Adjustment	(2,135)	-	40

- 42 The purchase of Swinegate Court is now complete therefore the remaining budget of £2m is no longer required.
- 43 Work on the Riverbanks at Scarborough bridge have been delayed until Summer, therefore the schemes funds of £181k are to be transferred into 18/19.
- 44 Funds of £100k have been transferred from the CEC capital programme scheme the Castle museum development project as discussed at paragraph 20.

Community Stadium

- 45 Significant progress has been made on the Community Stadium Project in recent months with major milestones being achieved. In November 2017 all contracts relating to the build and operation of the new Community Stadium and leisure complex were signed. Alongside these contracts agreement for leases were formality entered into with local charity York Against Cancer and the NHS Trust to take units within the new facilities.
- 46 This marked a major milestone in the Community Stadium project, allowing Greenwich Leisure Ltd and their building contractor Buckingham Group to formally take possession of the Monks Cross site and start construction works in December 2017.
- 47 Greenwich Leisure Ltd the new leisure provider for the Council's leisure centres also smoothly took over the operation of Energise Leisure Centre

and Yearsley Swimming Pool, as part of the wider new stadium and leisure contract, from 1 December 2017.

48 The Stadium budget has been amended to reflect the final contract. This includes the reduction in the cost and contributions (£-2.6m) as reported to Executive in July 2017. The lease with the NHS requires them to fund the fit out costs of the Stadium associated with the area that they are occupying. The total cost of this (£1.98m) is therefore added into the gross cost of the project however this is offset by a corresponding contribution. It is also proposed to gross up the contribution from the developer for costs of the Estate Road and East block restaurants (£2.06m) offset by additional contributions. The CYC contribution towards the costs of the project remains unchanged. The profile of the costs has been updated to reflect GLL's construction profile

Customer & Corporate Services

49 The Mansion House reopened on 2nd December following the successful completion of the refurbishment project. The final completion payment is yet to be settled with the contractor and so the position at Monitor 3 remains within the budget at Monitor 2, £2.695m.

50 A number of amendments have been made as part of this report resulting in a net decrease to the capital programme of £437k in 2017/18. Key variances are summarised in the table below, referenced to further narrative.

Scheme	Amendment	Amount 17/18 £000	Amount 18/19 £000	Further Details – Paragraph ref
Fire Safety Regulations - Adaptions	Re-profile	(102)	102	49
Photovoltaic energy programme	Re-profile	(250)	250	48

51 Projects to install photovoltaic panels for energy efficiency at both Hazel Court and the Burnholme site have progressed during 2017/18, resulting in expenditure of £144k. The remaining balance of £250k is to be transferred into the following year to fund further projects in 2018/19

52 No works are planned in 17/18 under the Fire safety regulations scheme therefore the full balance is to be transferred into 2018/19.

IT Development Plan

53 Since the last monitor, the CRM project and work securing our Public Sector Network accreditation as well as other non planned works, such as the NHS digital audit, have impacted resources more than anticipated and resulted in the rescheduling of some projects into 2018/19. Also work on the potential replacement of the Electronic Records and Data Management System (EDRMS) has slipped to 2018. This has resulted in a requirement transfer £277k into 2018/19.

Summary

54 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
	£000	£000	£000	£000	£000	£000
Children, Education & Communities	5,965	10,138	8,988	9,142	8,500	42,733
Health, Housing & Adult Social Care – Adult Social Care	6,038	3,145	1,107	565	565	11,420
Health, Housing & Adult Social Care – Housing & Community Safety	25,758	23,664	12,208	9,888	9,812	81,330
Economy & Place – Transport, Highways & Environment	19,084	36,993	29,614	22,363	17,015	125,069
Economy & Place – Regeneration & Asset Management	20,505	14,794	860	220	220	36,599
Community Stadium	14,241	18,266	3,445	-	-	37,391
Customer & Corporate Services	2,142	821	250	250	250	3,713
IT Development Plan	1,810	3,540	1,970	1,085	1,770	10,175
Revised Programme	88,586	119,897	58,302	43,513	38,132	348,430

Table 2 Revised 5 Year Capital Programme

Funding the 2017/18 – 2021/22 Capital Programme

55 The revised 2017/18 capital programme of £88.586m is funded from £38.986m of external funding and £49.600m of internal funding. Table 3 shows the projected call on resources going forward.

	2017/18	2018/19	2019/20	2020/21	2021/22	Total
	£000	£000	£000	£000	£000	£000
Gross Capital Programme	88,586	119,897	58,302	43,513	38,132	348,430
Funded by:						
External Funding	38,986	61,947	45,446	35,449	29,723	211,551
Council Controlled Resources	49,600	57,950	12,856	8,064	8,409	136,879
Total Funding	88,586	119,897	58,302	43,513	38,132	348,430

Table 3 – 2017/18 –2021/22 Capital Programme Financing

- 56 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
- 57 Overall it is anticipated that net general capital receipts over the next 3 years will be around £5.3m. This includes the expected sales of Ashbank, 29 Castlegate, Stonebow House, Former Manor school- road, Redeness Street and Bootham Row car park. It should be noted that this figure excludes receipts from the Older Persons Programme, an other Earmarked receipts eg Burneholme.
- 58 A further full update on the capital receipts position will be reported in the next capital monitoring report at Outturn.
- 59 During Executive meetings in October 2016 and July 2017, Members decided to ultimately finance the purchase of property at Hospital Fields Road and Swinegate from Capital receipts. Therefore all future capital receipts are assumed to be used for this purpose in the medium term. This strategy will deliver significant revenue savings, and reduce the need for savings within the revenue budget.

Council Plan

- 60 The information contained in this report demonstrates progress in achieving the priorities set out in the Council Plan.

Implications

61 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

62 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

Authors:	Cabinet Member & Chief Officer Responsible for the report:		
Emma Audrain Technical Accountant Corporate Finance 01904 551170 emma.audrain@york.gov.uk	Ian Floyd Director of Customer & Corporate Support Services (Deputy Chief Executive)		
Debbie Mitchell Corporate Finance Manager 01904 554161	Report Approved	√	Date 26/01/18
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 3 Adj £000	2017/18 Mon 3 Reprofile £000	2017/18 Revised Mon 3 Budget £000	2018/19 Revised Mon 3 Budget £000	2019/20 Revised Mon 3 Budget £000	2020/21 Revised Mon 3 Budget £000	2021/22 Revised Mon 3 Budget £000	Gross Capital Programme To be Funded 17/18 - 21/22 £000
CEC - Children, Education & Communities								
CEC - Children & Education								
NDS Devolved Capital			355	284	228	195	0	1,062
DfE Maintenance	-100	-500	2,238	1,913	1,136	1,000	0	6,287
Basic Need	51	-950	1,101	5,494	7,227	7,750	8,500	30,072
Huntington Secondary School - New Block			0	0	0	0	0	0
Universal Infant Free School Meals		-40	5	0	0	0	0	5
Fulford School Expansion			289	0	0	0	0	289
Carr Junior Expansion	-39		0	0	0	0	0	0
St Barnabas Primary Expansion			0	0	0	0	0	0
Schools Electrical Supply Upgrade			20	0	0	0	0	20
Family Drug & Alcohol Assess/Recovery Facility		-100	0	100	0	0	0	100
Knavesmire Classroom Expansion			0	0	0	0	0	0
Expansion and Improvement of Facilities for Pupils with SEND		-100	75	647	197	197	0	1,116
Investment in Community Based Premises			0	0	0	0	0	0
Children & Young Peoples services & Building based provision review			52	0	0	0	0	52
Southbank Expansion		-1,000	248	1,000	0	0	0	1,248
Capital Maintenance Works to Schools - Ventilation & Electrical			554	0	0	0	0	554
CEC - Communities								
York Explore Phase 2			0	0	0	0	0	0
York Explore - Haxby Library			28	0	0	0	0	28
Haxby Library Reprovision			0	500	0	0	0	500
Castle Museum Development Project	-100		200	200	200	0	0	600
York Museums Trust Visitor Facilities and Product Development			800	0	0	0	0	800
York Theatre Royal			0	0	0	0	0	0
TOTAL GROSS EXPENDITURE	-188	-2,690	5,965	10,138	8,988	9,142	8,500	42,733
TOTAL EXTERNAL FUNDING	-88	-1,738	3,988	5,336	8,788	9,142	8,500	35,754
TOTAL INTERNAL FUNDING	-100	-952	1,977	4,802	200	0	0	6,979
HH&ASC - Adult Social Care & Adult Services Commissioning								
Joint Equipment Store		-5	125	130	125	125	125	630
Disabled Support Grant			196	200	210	210	210	1,026
Telecare Equipment		-6	203	433	230	230	230	1,326
OPH Infrastructure Works			9	0	0	0	0	9
Changing Lives Grant + Autism Grants			0	0	0	0	0	0
Older Person's Accommodation Review		912	5,188	2,375	542	0	0	8,105
Burton Stone Community Centre			0	0	0	0	0	0
30 Clarence Street - Sycamore House			309	7	0	0	0	316
PF National Specialist Family Service			0	0	0	0	0	0
Little Knavesmire Pavilion			8	0	0	0	0	8
TOTAL GROSS EXPENDITURE	0	901	6,038	3,145	1,107	565	565	11,420
TOTAL EXTERNAL FUNDING	0	0	0	0	0	0	0	285
TOTAL INTERNAL FUNDING	0	901	5,753	3,145	1,107	565	565	11,135
HH&ASC - Housing & Community Safety								
Modernisation of Local Authority Homes			2,078	2,469	1,116	1,113	1,355	8,131
Assistance to Older & Disabled People			400	412	424	437	450	2,123
MRA Schemes			6,669	6,247	6,379	6,209	6,223	31,727
Local Authority Homes - Phase 1		-1,000	728	2,342	0	0	0	3,070
Water Mains Upgrade			10	721	231	132	136	1,230
Building Insulation Programme			31	0	160	0	0	191
Disabled Facilities Grant (Gfund)	110		2,105	1,478	1,478	1,478	1,478	8,017
IT Infrastructure		-400	123	1,050	150	150	0	1,473
Empty Homes (Gfund)			100	0	0	0	0	100
Housing Environmental Improvement Programme			100	240	170	170	170	850
James House			7,588	2,900	0	0	0	10,488
Shared Ownership Scheme		1,200	2,700	2,820	0	0	0	5,520
Extension to Marjorie Waite Court			450	2,900	2,100	199	0	5,649
Extension to Glen Lodge			2,676	85	0	0	0	2,761
TOTAL GROSS EXPENDITURE	110	-200	25,758	23,664	12,208	9,888	9,812	81,330
TOTAL EXTERNAL FUNDING	110	-113	14,239	9,373	7,382	7,212	7,226	45,432
TOTAL INTERNAL FUNDING	0	-87	11,519	14,291	4,826	2,676	2,586	35,898
Economy & Place - Transport, Highways & Environment								
Highway Resurfacing & Reconstruction (Struct Maint) *			2,970	2,843	2,767	2,691	2,577	13,848
Targeted Investment for Highways Improvement			100	100	100	100	100	500
Highway, Footway & Cycleway Improvement Acceleration			1,000	1,000	1,000	1,000	1,000	5,000
Special Bridge Maintenance (Struct maint)			242	600	200	200	0	1,242
Replacement of Unsound Lighting Columns			578	578	578	578	578	2,890
LED Lighting Replacement Programme			228	0	0	0	0	228
Watercourse Restoration			44	0	0	0	0	44
Highways Drainage Works			270	200	200	200	200	1,070
Drainage Investigation & Renewal			200	200	200	0	0	600
Highways, Road Adoption and Drainage Fund			125	0	0	0	0	125
Pothole Spotter Trial			250	0	0	0	0	250
Wheeled Bins in Back Lane and Terraced Areas			78	0	0	0	0	78
Built Environment Fund		-1,337	285	1,787	0	0	0	2,072
Harewood Whin Transfer Station			1,002	0	0	0	0	1,002
Fleet Acquisition	1,610		1,610	0	0	0	0	1,610
Parks and Open Spaces Development			53	0	0	0	0	53
War Memorial	-21		30	0	0	0	0	30
Better Play Areas	85		377	0	0	0	0	377
Public Conveniene Facilities			11	0	0	0	0	11
River Safety			9	0	0	0	0	9
Litter Bin Replacement Programme			199	175	175	0	0	549
Knavesmire Culverts		-266	0	266	0	0	0	266
Better Bus Area Fund		-200	1,111	200	0	0	0	1,311
Local Transport Plan (LTP) *			3,854	2,170	1,570	1,570	1,570	10,734
York City Walls - Repairs & Renewals (City Walls)			393	90	90	90	90	753
York City Walls Restoration Programme			300	400	300	300	300	1,600
Access York			150	0	0	0	0	150
Flood Defences		-317	0	317	0	0	0	317
Highways Improvements			157	0	0	0	0	157
Scarborough Bridge	2	-450	202	4,208	0	0	0	4,410
Hungate and Peasholme Public Realm			175	0	0	0	0	175
WYTF - YORR			1,040	9,260	11,400	8,100	4,400	34,200
WYTF - York Central Access			930	12,170	10,800	7,300	6,200	37,400
WYTF - Dualling Study			100	195	0	0	0	295
National Productivity Improvement Fund			626	0	0	0	0	626
Potholes			184	184	184	184	0	736
Silver Street & Coppergate Toilets	1		71	0	0	0	0	71
Osbalwick Beck Maintenance			60	0	0	0	0	60

	2017/18 Mon 3 Adj £000	2017/18 Mon 3 Reprofile £000	2017/18 Revised Mon 3 Budget £000	2018/19 Revised Mon 3 Budget £000	2019/20 Revised Mon 3 Budget £000	2020/21 Revised Mon 3 Budget £000	2021/22 Revised Mon 3 Budget £000	Gross Capital Programme To be Funded 17/18 - 21/22 £000
City Fibre Network			70	50	50	50	0	220
TOTAL GROSS EXPENDITURE	1,677	-2,570	19,084	36,993	29,614	22,363	17,015	125,069
TOTAL EXTERNAL FUNDING	64	-440	9,413	29,547	25,971	19,095	13,997	98,023
TOTAL INTERNAL FUNDING	1,613	-2,130	9,671	7,446	3,643	3,268	3,018	27,046
Economy & Place - Regeneration & Asset Management								0
LCR Revolving Investment Fund			961	0	0	0	0	961
York Central		-4,549	3,437	4,549	0	0	0	7,986
29 Castlegate Repairs			0	0	0	0	0	0
Decent Home Standards Works			9	0	0	0	0	9
Fishergate Postern			18	0	0	0	0	18
Holgate Park Land - York Central Land and Clearance			397	0	0	0	0	397
Asset Maintenance + Critical H&S Repairs			484	220	220	220	220	1,364
Community Asset Transfer			20	155	0	0	0	175
River Bank repairs		-181	5	181	0	0	0	186
Stonebow House Freehold			0	0	0	0	0	0
Small Business Workshops			0	0	0	0	0	0
Castle Gateway (Picadilly Regeneration)	100		318	0	0	0	0	318
Guildhall	17	-1,943	1,600	9,415	640	0	0	11,655
Critical Repairs and Contingency			0	274	0	0	0	274
23 & 36 Hospital Fields Road			281	0	0	0	0	281
Commercial Property Acquisition incl Swinegate			12,865	0	0	0	0	12,865
Air Quality Monitoring (Gfund)			110	0	0	0	0	110
TOTAL GROSS EXPENDITURE	-2,020	-6,673	20,505	14,794	860	220	220	36,599
TOTAL EXTERNAL FUNDING	0	-755	3,236	0	755	0	0	3,991
TOTAL INTERNAL FUNDING	-2,020	-5,918	17,269	14,039	860	220	220	32,608
Customer & Corporate Services - Community Stadium								0
Community Stadium	1,439	-8,396	7,284	26,802	3,305	0	0	37,391
- External Funding	1,557	-6,895	7,251	16,840	3,305	0	0	27,396
- Internal Funding	-118	-1,501	33	9,962	0	0	0	9,995
TOTAL GROSS EXPENDITURE	1,439	-8,396	7,284	26,802	3,305	0	0	37,391
TOTAL EXTERNAL FUNDING	1,557	-6,895	7,251	16,840	3,305	0	0	27,396
TOTAL INTERNAL FUNDING	-118	-1,501	33	9,962	0	0	0	9,995
Customer & Corporate Services								0
Fire Safety Regulations - Adaptations		-102	0	102	0	0	0	102
Removal of Asbestos		-50	48	100	50	50	50	298
Hazel Court - Office of the Future Improvements			0	0	0	0	0	0
Mansion House Restoration	5		927	169	0	0	0	1,096
Project Support Fund	-40		254	200	200	200	200	1,054
Registrars			115	0	0	0	0	115
Low Carbon and Solar Panels Investment			50	0	0	0	0	50
Photovoltaic Energy Programme		-250	96	250	0	0	0	346
West Offices - Admin Accom			31	0	0	0	0	31
West Offices - Major repairs			236	0	0	0	0	236
Capital Contingency			385	0	0	0	0	385
TOTAL GROSS EXPENDITURE	0	-35	2,142	821	250	250	250	3,713
TOTAL EXTERNAL FUNDING	0	0	574	96	0	0	0	670
TOTAL INTERNAL FUNDING	-35	-402	1,568	725	250	250	250	3,043
Customer & Corporate Services - IT								0
IT Development plan		-277	1,690	3,540	1,970	1,085	1,770	10,055
IT Superconnected Cities			120	0	0	0	0	120
TOTAL GROSS EXPENDITURE	0	-277	1,810	3,540	1,970	1,085	1,770	10,175
TOTAL EXTERNAL FUNDING	0	0	0	0	0	0	0	0
TOTAL INTERNAL FUNDING	0	-277	1,810	3,540	1,970	1,085	1,770	10,175
Gross Expenditure by Department								
CEC - Children, Education & Communities	-188	-2,690	5,965	10,138	8,988	9,142	8,500	42,733
HH&ASC - Adult Social Care & Adult Services Commissioning	0	901	6,038	3,145	1,107	565	565	11,420
HH&ASC - Housing & Community Safety	110	-200	25,758	23,664	12,208	9,888	9,812	81,330
Economy & Place - Transport, Highways & Environment	1,677	-2,570	19,084	36,993	29,614	22,363	17,015	125,069
Economy & Place - Regeneration & Asset Management	-2,020	-6,673	20,505	14,794	860	220	220	36,599
Customer & Corporate Services - Community Stadium	1,439	-8,396	7,284	26,802	3,305	0	0	37,391
Customer & Corporate Services	-35	-402	2,142	821	250	250	250	3,713
Customer & Corporate Services - IT	0	-277	1,810	3,540	1,970	1,085	1,770	10,175
Total by Department	983	-20,307	88,586	119,897	58,302	43,513	38,132	348,430
TOTAL GROSS EXPENDITURE	983	-20,307	88,586	119,897	58,302	43,513	38,132	348,430
TOTAL EXTERNAL FUNDING	1,643	-9,941	38,986	61,947	45,446	35,449	29,723	211,551
TOTAL INTERNAL FUNDING	-660	-10,366	49,600	57,950	12,856	8,064	8,409	136,879



Executive**8 February 2018**

Report of the Deputy Chief Executive/Director of Customer and Corporate Services

(Portfolio of the Leader and Deputy Leader of the Council)

FINANCIAL STRATEGY 2018/19 to 2022/23

Summary

1. This report presents the financial strategy 2018/19 to 2022/23, including detailed revenue budget proposals for 2018/19, and asks Members to recommend to Council approval of the proposals. Following on from consultation with residents and business groups, the financial strategy delivers a balanced budget for 2018/19 with savings proposals totalling almost £5m, equivalent to 4.1% of the net budget. There are separate reports on the agenda covering the capital budget and the treasury management strategy.
2. Key issues included in the proposals are as follows;
 - A proposed council tax increase of 1.99% in 2018/19. In addition an increase of 1.5% in line with the government's social care precept, which provides support for social care
 - £2.16m to fund adult social care, including covering the cost of adults as they transition from Children's Services
 - Revenue savings of £4.97m in 2018/19
 - Loss of the remaining Revenue Support Grant (RSG), a reduction of £8.6m, which is partly offset by a £4.6m increase in retained business rates income
 - Ensuring a financially prudent budget by addressing known budget pressures, including likely pay awards and inflationary pressures
 - Investment in key priority front line services

- Growth in Education Psychology to support specialist staff working with children with special education needs and disabilities
- £1.8m to cover increased pay and pension costs across all areas of the Council
- Growth of £759k to cover unavoidable contractual price increases mainly in waste services, concessionary fares and children's services
- £800k to fund an increase in the contingency budget to be used for adult social care, on particular winter pressures and delayed transfers of care
- One off investment of £373k to fund the continued development of the Local Plan
- A release of one off funding in the transport reserve of £450k to fund ongoing expenditure
- A net revenue budget of £121.877m, which will be funded by:
 - i. Council tax income of £85.898m
 - ii. Retained business rates of £34.353m
 - iii. One off income of £1.626m
- Alongside these proposals, elsewhere on the agenda the Capital Strategy Report details significant capital investment in highways, ICT and housing, which together with the revenue budget proposals ensure continued investment in key frontline service delivery, and supports the councils key priorities.

Recommendations

3. Members are asked to approve the average rent decrease of 1.0% to be applied to all 'social housing rents' for 2018/19, as required by legislation. This is shown in table 14 and described in paragraph 158.
4. Members are asked to approve the average rent increase of 4.0% to be applied to all rents which fall outside the definition on 'social housing rents' for 2018/19, as described in paragraph 160.

Reason: to ensure the ongoing financial stability of the HRA and allow work on improving the quality of the council's affordable housing to continue.

5. Members are asked to consider the appropriate levels of council tax that they wish to see levied by the City of York Council for 2018/19. In doing so they should pay due regard to factors such as;
 - Expenditure pressures facing the council as set out in the report
 - Impacts of savings proposals set out in annex 2
 - Medium term financial factors facing the council as outlined in the report
 - Projected levels of reserves as set out in the report
 - Statutory advice from the Deputy Chief Executive/Director of Customer and Corporate Services

6. In light of the considerations outlined in the paragraph above, Members are asked to recommend to Council approval of the budget proposals as outlined in this report. In particular;
 - The net revenue expenditure requirement of £121.877m
 - A council tax requirement of £85.898m
 - The revenue growth proposals as outlined in the body of the report
 - The 2018/19 revenue savings proposals as outlined in annex 2
 - The fees and charges proposals as outlined in annex 4
 - The Housing Revenue Account (HRA) budget set out in annex 5 and the HRA savings proposals set out in annex 6
 - The dedicated schools grant proposals outlined from paragraph 162
 - The use of £373k New Homes Bonus funding to fund one off investment, as outlined in paragraph 54
 - An £800k increase in the contingency budget to fund adult social care, in particular winter pressures and delayed transfers of care, subject to a further report to Executive

- The release of one off funding in the transport reserve of £450k to fund ongoing expenditure
- The use of £38k from the £156k funding from the Leeds City Region Business Rates Pool (budget report February 17) to support the city's cultural sector by progressing the development and promotion of a clearly defined Cultural Strategy with the Cultural Leaders Group, as set out in a recent Scrutiny report to Executive.

Reason: To ensure a legally balanced budget is set

7. The effect of approving the income and expenditure proposals included in the recommendations would result in a 3.49% increase in the City of York element of the council tax, 1.5% of which would relate to the social care precept. It is intended that the total council tax increase including the parish, police and fire authority precepts, will be agreed at the full Council meeting on 22 February 2018.

Background

National Context and Funding Issues

8. York has the 7th lowest band D council tax, the 2nd lowest spend per head of population and the 9th lowest government funding per head of any unitary council in England. Annex 9 includes the relevant background data from all unitary authorities for 2017/18.
9. All aspects of the public sector are continuing to face challenging times. In recent years the council has had to deal with large reductions in funding, combined with a range of significant pressures.
10. The settlement funding assessment (SFA), comprises revenue support grant (RSG) and a business rates baseline. Further details of the settlement figures and medium term outlook are provided later in the report.
11. In relation to council tax, the proposals in this report are predicated on a council tax increase in 2018/19 of 1.99%, plus an additional increase of 1.5% in line with the government's social care precept. Further information on council tax and the social care precept is included later in the report.

Local issues and challenges

12. Locally demand for council services continues to increase, with an ageing population and increased complex needs in respect of elderly care. There are also significant challenges in the health sector, including challenging financial positions for health partners which are in turn a significant financial risk to the council as described below. In addition, rising inflation is driving costs up, and there is continued pressure on many of the council's income budgets.
13. Adult Social Care services are facing significant challenges to make care and support sustainable for the future. A growing, ageing population with increasingly complex conditions are putting pressure on services. For example; demographics show that there are 2,700 older people in York with dementia; this is set to grow by 30% to around 3,500 in the next 10 years. Across York 14,000 older people live alone, this is set to grow to 16,000 by 2027 and there are an estimated 2,500 people over 65 providing 20 hours or more unpaid care each week. By 2025, it is estimated that that this level of care provided by older people will increase by 16%. These are just some of the challenges that the social care market faces in York.
14. The increased use of the Better Care Fund (BCF) to encourage the integration between health and adult social care, represents a significant risk to the council. The total BCF pooled budget for use across the health and social care sector in York is £16.6m in 2017/18, of which £7.8m is allocated to adult social care services. Clearly any future reduction in either the overall BCF or the proportion allocated to social care would have a material affect on the council's finances.
15. In addition, this needs considering in the wider context of the health and social care economy in York as both the health commissioner (Vale of York Clinical Commissioning Group) and main provider (York Teaching Hospital NHS Foundation Trust) are currently carrying significant deficits. With the CCG projecting a £44m deficit by the end of 2017/18 and the hospital already reporting an in year deficit for 2017/18 of £14m. Their challenging plans to address these deficits may well impact on the future level of funding available for social care services. Whilst there is significant investment in social care for next year, there is a significant risk of further pressures in this area, and pressure on the ability of the service to meet challenging national targets. Members should consider carefully the level of council tax in the context of these significant pressures on social care.

16. Whilst devolution of business rates presents opportunities for the council, there are also associated risks with business rates appeals. The major capital programme the Council is embarking upon brings with it some significant risks. It is important that proper provision is made for such risks in the context of consideration of the levels of revenue reserves and contingencies. This is considered within the S151 statutory statement, and the section on reserves. York Central in particular represents a potential future significant issue, as there may be a requirement for significant investment in advance of business rates from the Enterprise zone coming through. This particular issue cannot be quantified at this stage, but is a matter the Council needs to be aware of in the context of assessment of reserves and contingencies.
17. In shaping the budget these issues have been carefully considered to ensure we set a budget that is both prudent and protects vulnerable people. Ensuring that there is the capacity to invest in council priorities has been a critical part of the budget deliberations.

Council Priorities

18. The Council Plan for 2015/2019 is based on our statutory responsibilities and the priorities of our administration. The plan is built around 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.
19. The plan was formally approved by Council on 8 October 2015 following consultation with residents, businesses and staff.
20. A 'Vision For The City in 2030' was approved at Executive in July 2016. The key elements of the vision describes how the city will be in terms of the place, its people and the council, with sustainable growth providing the means to ensure all residents can fulfil their potential. This was summarised as "The Council will secure the future of York as a prosperous, progressive, and sustainable city, giving the highest priority to the wellbeing of its residents, whilst protecting the fabric and culture of this world-famous historic city"

21. The budget reflects the Council priorities with significant revenue and capital investment in a number of critical areas, or protection to existing spending, as set out in both capital and revenue reports. Specific examples of revenue investment include;
- Children's services – key statutory budgets are protected as outlined in annex 3. Additional funding of £100k is included to support specialist staff working with children with special education needs and disabilities.
 - Adult social care – Development of the new operating model as outlined in annex 3, revenue investment in 2018/19 of £2.16m for specific increases in costs of care/other contracts (in addition to pay and pension costs).
 - Traveller Support Service - additional investment of £75k to cover the creation of 2 new (grade 8) Local Area Support Practitioner posts in local area teams, to continue traveller community support when the de-delegated schools service ends at 31 March 2018
22. Additional capital investment totalling £54.8m in relation to Transport, Housing, Economy, Environment and key front line services such as Highways are outlined in the capital report.

Medium Term Financial Strategy

23. Anticipating that the council would be self funded from council tax and business rates in the medium term, it was recognised that a successful economy is critical to the council's financial future, with strong and growing business rates.
24. Inevitably, savings will still need to be found in the medium term to deal with further reductions in funding and growth pressures. This is covered in more detail later in the report.
25. The medium term strategy focuses on delivering efficiencies across all areas and a significant amount of savings will be delivered by restructuring services. Ensuring that there is the capacity to invest in key priority areas was a critical part of the budget deliberations.
26. Annex 3 sets out the strategic direction towards achievement of savings proposals for each directorate over the medium term. This includes the directorate approach to protecting priority areas, safeguarding key

statutory services and further details of the type of savings or efficiencies under consideration.

27. This strategic approach ensures that any cross cutting implications are taken into consideration and savings in one particular area do not impact on other budgets in an unintended way.

Consultation

28. The council has been working with residents and businesses to identify the services that matter most to them and to understand their priorities for spending the council budgets.
29. The budget consultation launched on 13 October 2017 and closed on 1 December 2017 for paper surveys and closed at midnight on 15 December 2017 for online surveys.
30. The consultation replicated a number of question sets from previous years on council tax and the social care precept, to allow us to track feedback. Additional question areas included:
 - Previously released departmental proposals for 2016/17 to 2019/20 (released within the 2017/18 budget)
 - Capital programme
 - Equalities questions from respondents.
31. An online consultation was made available and promoted to residents through various existing channels via the Business Intelligence team, published on the council's consultation page, and promoted via the communications teams. Paper copies of the survey were available at various council buildings and 3rd party premises across the city.
32. The online survey was promoted;
 - Within the business community via existing business network links and distribution groups such as Make It York, BID, York Chamber of Commerce, York Federation of Small Businesses and asking them to pass on to their members.
 - To equalities groups via the equalities network.

- Our City was distributed to all households in the City (approx 89,000) in mid-October, with delivery taking place over a two week period. The question set shown in Our City was the same as the online budget consultation, but with a reduced number of equalities questions. As with the distributed paper copies of the budget consultation, responses were sent back via Freepost to West Offices.
33. There were four drop-in sessions with both the Leader and Deputy Leader present along with some officer support at these events.
34. There were 828 respondents to the consultation and the key messages from the consultation were;
- 45% of respondents were more in favour of providing services more efficiently rather than increased council tax levels, increasing fees or charges or providing fewer services.
 - 32% of respondents were in favour of a 3% increase in the social care precept, although 19% were not in favour of an increase.
 - Respondents were asked if they agreed or disagreed with various areas for capital investment. The area most agreed was a priority was maintenance and upkeep of schools (82%), followed by maintenance and development of highways (81%) and maintenance and refurbishment of parks, play areas and libraries (78%). Maintenance and refurbishment of council premises (26%) and investment in the commercial property portfolio (17%) were the least favoured capital investment schemes.
 - When asked which services should have funding reduced, 28% thought that funding should be reduced for sport and leisure facilities, events and activities, followed by 17% for public transport
 - Asked whether respondents agree with certain protected service areas in each directorate; the lowest responses were in the following service areas:- Information Governance (39%), Re design adult social care services to reduce number of customers accessing care (39%), Ward Committee funding (36%), Reduction in Yorkshire Museum Trust grant contribution (33%) and Re tender of library service (31%).
 - The consultation asked if certain services should have their funding stay the same or have funding reduced or increased. The most popular answer was that funding for waste and recycling services

should remain the same (68%). This was also the most popular in the consultation last year (71%). As last year, the service that most believe should have increased funding is adult social care (55%), which is down from last year (63%).

35. These consultation results have been used to inform the budget, as evidenced below;

- Respondents favouring increased efficiency rather than increases in council tax. The council has delivered savings of more than £100m over last 10 years and there are a further £5m of savings set out in this report. Over the last 2 years, increases in council tax have been 3% (2016/17) and 3.7% (2017/18). These increases were 0.99% (16/17) and 1.29% (17/18) below the maximum limit allowable without a referendum.
- The council have prioritised capital investment in highways as detailed in the Capital Strategy report elsewhere on this agenda.
- In response to the answers on which services should have funding reduced or which services are regarded as least favourable to protect, the council's strategy regarding theatres and museums has been to move these to more sustainable funding models, with reduced reliance on council contributions. This approach continues, though the council has recognised that this does require some capital investment to reach this position.
- Waste and Recycling services have not had any funding reductions since 2016/17 and adult social care services for vulnerable people continue to be protected.

36. All views and data gathered during the consultation will in due course be published on the York's open data platform www.yorkopendata.org

37. The council has a statutory duty to consult businesses on the council's expenditure plans. The consultation was publicised through York business networks and forums including Make It York, The Business Improvement District, York Chamber of Commerce and the York Federation of Small Businesses. The council will use these forums to announce the publication of this report on 31 January and will report any further feedback received by businesses to the Executive.

Principles that have shaped the budget process

38. As outlined above, due to the reduction in government funding, it is critical that the council continues to support economic growth, recognising the significant financial benefits in the form of retained business rates, and creation of jobs. Ensuring that there is a strong link between the capital and revenue budgets to support the delivery of council priorities is essential. The Capital Strategy sets out significant capital investment, and details regarding some of the major capital schemes that will impact on the economy of the city.
39. At a time of significant reductions in grants and rising demand it is absolutely essential to set a prudent, stable and achievable budget. Many councils across the country are now experiencing very severe financial challenges. Whilst the challenges for this council are significant, through sound financial planning, and in year management, the council retains strong financial health. In response to a shift in demand led expenditure pressures and reductions in grant funding, the council is taking steps to enable itself, residents and communities to work together as equal partners to meet their future needs and priorities.
40. In terms of investment, the council spends a significant amount of its budget on protecting vulnerable people through its social care services. In 2017/18, the net cost of adult social care was £47.4m, 40% of the council's net budget.
41. The scale of the budget reductions required will inevitably affect all services and all residents to some extent. In considering what savings can be made we have taken long term approaches to the development of future services, which are provided in further detail in annex 3. This approach will help to protect the needs of the most vulnerable people in York.
42. The budget process adopted a risk based approach, and in particular prioritised statutory services to vulnerable adults and children, and key frontline services. Whilst all areas were asked in 2015 to consider the long term implications of up to a 30% reduction in their net spend over a 4 year period, assessment of options, risks, and links with priorities took place in formulating the final proposals.
43. Alongside the revenue budget, set out in the separate Capital Strategy report are proposals for further major investment in a variety of schemes. These continue the council's approach to prioritise investment in the economy, housing, transport, and to invest to save. In addition, the

council is continuing to make a significant investment in ICT, recognising that the need for high quality technology will be crucial to delivering services in the most effective manner in the future, particularly in relation to adult and children's services and customer services.

Budget analysis

44. The budget setting process has taken into account the following issues, (which are considered in more detail in following paragraphs);
- i. Consideration of the 2017/18 position.
 - ii. Consideration of unavoidable cost increases, priority areas, how to create the capacity in priority areas and creating the capacity to allow for service improvement and innovation.
 - iii. Consideration of reductions in grant funding.
 - iv. Ensuring that the budget is robust and prudent and is based upon the strategic financial advice of the Deputy Chief Executive/Director of Customer and Corporate Services as s151 officer.
 - v. Ensuring there is a strong link between the capital and revenue budgets and that the delivery of priorities fully considers the two budgets hand in hand.

2017/18 position

45. As part of the budget approved in February 2017, considerable investment was made in priority services to ensure sufficient resources to deliver statutory and priority services. The most notable example was additional funding for adult social care contracts, with the inclusion of £1.8m growth. At a time of significant financial challenges, this was a major investment to ensure the council were able to provide a better funding deal for care providers and to cover a general increase in adult contracts, including the new national living wage.
46. As outlined earlier in the report, and in a separate report elsewhere on this agenda, the latest finance and performance report identifies a range of budget pressures with the expectation that these will be contained within the overall approved budget by the end of the financial year.

47. However some areas identified as pressures in 2017/18 will require additional funding going forward and these include £125k investment to cover a shortfall in ANPR income targets which have had lower revenues than those seen previously, and £75k investment to reverse a prior year saving relating to CCTV income. These are covered further in the next section of the report.

Unavoidable cost increases, priority areas and creating capacity

48. There is continued pressure on budgets from an increase in costs in elderly care due to an increase in demand and more complex needs. The cost of adult social care is forecast to increase as existing customers with high needs transition from children's services. Other factors that will affect the council include inflationary increases, the additional cost of business rates for West Offices following the revaluation appeal decision, the retender of the Park and Ride scheme, reversal of two unachievable prior year savings and the requirement to fund recurring revenue budgets which were previously funded by New Homes Bonus (NHB) grant.
49. A detailed analysis of these pressures has been conducted and additional resources have been allocated for areas where it was considered essential to invest. In addition we have identified areas where there is a need for additional investment to deliver council priorities, to ensure budgets are prudent and to protect vulnerable people.
50. The following bullet points set out the areas where additional investment is being made;
- Pay and Pension costs - **£1,800k** is included for pay and pension costs in 2018/19. An assumption of 2% is made for a pay award. Capacity is also created to provide funding for the Living Wage.
 - Contractual price increases **£1,560k** - to cover an increase in adult contracts
 - Contractual price increases **£759k** - to cover unavoidable contractual price increases mainly in waste services and children's services
 - Adult Social Care **£600k** – Growth is required to cover the cost of adults as they transition from Children's Services within 2018/19

- New Homes Bonus (NHB) funded revenue budgets **£400k** – As mentioned in previous budget reports, with the expectation that NHB funding will reduce in future years it is considered to prudent to begin to phase out any ongoing revenue funded from NHB from 2018/19. The total funding is currently around £2.6m and this is the initial £400k contribution towards reducing that figure.
- Education Psychology Staffing **£100k** – An investment of £100k in Education Psychology to support specialist staff working with children with special education needs and disabilities
- Traveller Support Service **£75k** – to cover the creation of 2 new (grade 8) Local Area Support Practitioner posts in local area teams, to continue traveller community support when the de-delegated schools service ends at 31 March 2018
- Reversal of prior year savings **£200k** – Savings agreed in 2017/18 will not be achievable in relation to ANPR income (£125k) and CCTV (£75k).
- Increase in contingency **£800k** – An investment of £800k in the contingency budget for adult social care, in particular winter pressures and delayed transfers of care, subject to a further report to Executive

51. There is no growth this year in respect of the impact of the capital programme. The overall growth in the capital programme proposed, combined with low interest rates, and the updated capital programme position, means that no growth is required and a reduction of £175k is proposed as a corporate saving.
52. As set out earlier, there remain potential pressures and risks within adult social care. Members should consider carefully whether at this stage additional further investment, above that set out in preceding paragraphs, should be made in this area. This could be in the form of a general budget provision, to be subject to a more detailed report, or specific proposals that would seek to deliver enhanced provision, particularly in tackling winter pressures and improving Delayed Transfers of Care performance.
53. As set out later in the report, there is the likelihood of additional business rates income during 2018/19, there is contingency funding within this budget, and an expectation of an underspend for 2017/18. These provide some mitigation against possible risks in this area. Clearly any additional

investment would require a higher Council Tax increase and/or additional savings.

One off Investment

54. In addition to the ongoing expenditure pressures set out above one off growth totalling £373k is included.

- Local Plan **£373k** - Work on the Local Plan will be ongoing in 2018/19 and therefore additional budget of £173k is required to support delivery. It was agreed in a previous year's budget to defer a £200k saving until completion of the Local Plan. This will be funded from New Homes Bonus grant provided by central government.

Expenditure Pressures Summary

55. The expenditure pressures described above are set out in the following table;

Expenditure Pressures	2018/19 £'000
Recurring Investment	
- Pay and Pension Costs	1,800
- Adult Social Care Prices Contingency	1,560
- Prices Contingency	759
- Adult Social Care Demographic Growth	600
- New Homes Bonus Replacement funding	400
- Education Psychology Staffing	100
- Traveller Support Service	75
- Reversal of prior year savings	200
- Increase in contingency	800
One off Investment	
- Local Plan	373
Total Expenditure Increases	6,667

Table 1 – Summary of expenditure pressures

Grant Funding Changes

56. Table 2 shows the components that make up the council's change in grant funding.
57. The first line of Table 2 shows the £8.58m reduction in RSG that the council receive from central government. The total RSG grant is forgone in 2018/19 due to the inclusion of the council in the 100% business rates pilot, which is covered in further detail later in the report.
58. The second line of Table 2 shows the net change in specific grants. A reduction will be applied to Education Services Grant, which funds central services provided to schools, with an estimated reduction of £396k.
59. Public Health Grant will reduce by £212k.
60. The council received a social care grant of £735k in 2017/18 which was a non ring fenced one off grant and this will cease in 2018/19.
61. The council also received a transitional grant of £764k in 2017/18 which was a non ring fenced one off grant. This will also cease in 2018/19 but since this grant was not used to fund recurring budgets it is not taken account of in these figures.
62. In total, specific grants are estimated to reduce by £1,343k in 2018/19.
63. In summary, for 2018/19 the council has reduced grant funding available of £9,923k compared to that received in 2017/18.

	2018/19
Funding Changes	£'000
- Reduction in RSG	8,580
- Net change in specific grants	1,343
Net Funding Changes	9,923

Table 2 – Grant Funding changes

Council Tax Funding Changes

64. Table 3 shows the net changes to council tax funding.
65. The first line in Table 3 shows the 3.49% increase in council tax which will generate additional income of £2.849m on the existing taxbase.

66. A further £1.419m council tax is generated due to an increase in taxbase as shown in the second line of Table 3. The taxbase is calculated by the Deputy Chief Executive/ Director of Customer and Corporate Services each year and represents the total number of Band D equivalent properties in the city. In 2018/19, this has grown by approximately 1,101 properties due to a number of factors including new homes and changing patterns in the number and types of discounts taxpayers are able to receive or apply for.
67. The third line is the collection fund surplus of £2.097m from 2016/17 which was used in the 2017/18 budget and falls out this year.
68. The fourth line is the collection fund surplus from 2017/18 of £1.626m. The council tax collection fund surplus for the full year 2017/18 is estimated on 15 January 2018, based on current year actual figures. The surplus is a result of an increase in taxbase, compared to estimates made last year. The collection fund surplus is only available as one off funding.
69. In summary the Table 3 shows an estimated £3.797m additional income from council tax in 2018/19.

	2018/19
Council tax	£'000
- Increase in charge	-2,849
- Increase in taxbase	-1,419
- Collection Fund Surplus 2016/17	2,097
- Collection Fund Surplus 2017/18	-1,626
Net council tax changes	-3,797

Table 3 – Council Tax Funding changes

Business Rates Income

70. Table 4 shows a total of £7.001m additional income from business rates.
71. As explained above under 'grant funding', loss of the RSG in 2018/19 is partly offset by an increase in business rates income. If we had not been successful in the business rates pilot, the RSG for 2018/19 was set to be £4.576m. The first line in Table 4 is the additional business rates income in replacement of 2018/19 RSG.

72. The second line shows business rates growth of £2.425m. This includes £800k growth as a result of the 100% retention pilot and national changes in the rates system. There will be further one off benefits from the pilot which have not been assumed within the budget figures, and will be the subject of further consideration during 2018/19 as the amounts become more certain. This is covered in further detail later in the report.

	2018/19
Business rates income	£'000
- Replace RSG funding	-4,576
- Business Rates growth	-2,425
Change in income	-7,001

Table 4 –Change in Business Rates Income

Savings Proposals

73. Directorates have identified £4.194m to contribute towards the 2018/19 savings target in addition to corporate savings of £600k by maximising the use of council assets and £175k in treasury management. These proposals, outlined in annex 2, include increases in income, reductions in administration costs and removal of vacant posts.
74. The savings proposals included in annex 2 provide the details of the 2018/19 impact totalling £4.969m. The first column includes savings totalling £3.1m which were agreed by Council in February 2017 and new proposals totalling £1.8m are included in the second column.
75. The third column of annex 2 (2019/20 impact) includes the remaining saving to be achieved based on the acceptance of savings proposals recommended in this budget.
76. The total savings column in annex 2 highlights the cumulative saving over years 2018/19 to 2019/20 for savings proposals approved in this budget.
77. Table 5 summarises the 2018/19 savings to be delivered by each directorate and corporate services.

Savings	2018/19 £'000
- Health, Housing, Adult Social Care	-1,726
- Children, Education & Communities	-1,274
- Economy and Place	-342
- Customer and Corporate Services	-852
- Corporate	-775
Total Savings Changes	-4,969

Table 5 –2018/19 Savings Proposals

Use Of Transport Reserve

78. From 1st April 2017 the council has formally joined the West Yorkshire Transport Fund (WYTF) and the expenditure on delivery of its key major schemes (York Central and York Outer Ring Road) is reimbursed from West Yorkshire Combined Authority (WYCA). The council pays an annual levy to WYCA to contribute towards the overall debt costs of the capital expenditure. This is included within the overall council financial plan.
79. Prior to the arrangement to formally join the West Yorkshire Transport Fund the council had set aside funds in order to progress its major schemes in lieu of joining the fund. Over 3 years a total of £1,500k had been identified in the budget through a combination of Economic Infrastructure Fund and Council budgets. As at 31st March 2017 a total of £530k had been spent progressing these schemes leaving a balance of £970k which was transferred to a reserve at year end.
80. Given the council is now part of the WYTF this reserve is not required in order to fund the major schemes and the balance can be reallocated to other priorities.
81. It is proposed that £450k of the remaining balance is used to fund ongoing revenue expenditure, with a further £420k provisionally planned for 2019/20.

Use of Reserves	2018/19 £'000
- Transport Reserve	-450
Change in income	-450

Table 6 –Use of Reserves

New Homes Bonus (NHB) Grant

82. The New Homes Bonus was introduced to provide an incentive for local authorities to encourage housing growth in their areas.
83. In the settlement announced in February 2017 a number of changes were announced to NHB from 2017/18, which include;
- A top slice of the overall funding pot to fund adult social care
 - A reduction of legacy payments to 4 years from 2018/19
 - A change to the funding criteria whereby authorities will only receive funding for growth above the national baseline set at 0.4%. When an authority has overall growth in excess of the baseline, it only gets rewarded for the above-baseline growth, not its entire growth. The government were considering increasing this national baseline but it has remained at the same level in 2018/19.
 - Future payment may also be linked to delivery of a Local Plan. This represents a risk to the council, if the Local Plan is not finalised payment of the grant may be deferred or reduced.
84. As a result future New Homes Bonus will begin to decline. Taking account of estimated levels of grant in future years, and approved commitments, we will consider phasing out any ongoing revenue funding from New Homes Bonus. This currently totals around £2.6m and therefore over the coming years this may need to be gradually phased out. In 2018/19 an initial allocation of £400k will be made and future allocations will be considered further in the 2019/20 budget.
85. The total funding available in 2018/19 is £3.6m. As mentioned above, £2.6m of NHB funding is already allocated to fund recurring expenditure as determined by previous Council decisions. These are set out in Table 6 below.
86. Council have previously approved a total sum of £1.5m over a 5 year period towards support for Yearsley Pool. In 2018/19 a transfer of £1,044k NHB funding will be made to the Yearsley Pool reserve, which is the balance remaining to provide the full £1.5m to the reserve.
87. The budget proposals include one off investment of £373k which will be funded from NHB.

88. The remaining balance of £22k NHB funding will be transferred to a NHB reserve for future use.

New Homes Bonus	£'000
- Total available 2018/19	3,647
- Previous Council Decisions	
February 2016 Budget - recurring	1,349
July 2015 Budget Amendments - recurring	1,259
Yearsley Pool – one off	1,044
- Allocation to phase out NHB funding of previous council decisions	-400
- Allocated in this budget (one off)	373
NHB remaining – Transfer to reserves	22

Table 7 – New Homes Bonus Funding

Net Budget Composition

89. Taking into account funding changes summarised in Tables 2, 3 and 4, Table 8 below summarises the funding available from council tax and business rates for 2018/19.

	2018/19 £'000
Council Tax	85,898
Collection Fund Surplus	1,626
Business Rates	34,353
Total Net Budget	121,877

Table 8 – Net budget composition for 2018/19

Summary of Budget Changes

90. The following table shows the budget position after taking account of the expenditure and funding changes outlined.

Summary	2018/19 £'000
Total expenditure pressures (Table 1)	6,667
Total net funding changes (Table 2)	9,923
Total changes in council tax (Table 3)	-3,797
Total changes in Business Rates income (Table 4)	-7,001
Total savings and income generation (Table 5)	-4,969
Use of Reserves (Table 6)	-450
New Homes Bonus funding (Table 7)	-373
Budget gap	0

Table 9 – Budget position summary

Fees and charges

91. Detailed proposals for any changes to fees and charges are attached at annex 4. The proposals have taken account of such factors as current consumer price indices, possible impact on customer numbers, knowledge of business and current market conditions and benchmarking exercises. Any increased income from this review of charges is included within the overall list of savings attached at annex 2.
92. One of the major areas of income generated is from car parking fees and charges. Charges will be increased in 2018/19 at most car parks by 10p per hour and an inflationary increase on Respark permits.
93. The majority of increases are approximately in line with inflation with the exception of fees which are set by central government. The fees within Licensing have been the subject of a thorough review to reflect the amount of time each process takes to complete and anticipated levels of activity. This is to ensure that the costs of licensing activity is funded by the user of the service. The Taxi Licensing account is forecast to break even in the year with income and expenditure of c£250k.

Council Tax and the Collection Fund

94. The council tax referendum limit has increased from 2% to 3% (excluding social care precept) for 2018/19. The increase in threshold is not guaranteed to continue beyond 2018/19. If a Council wishes to set a higher council tax it must hold a referendum. It must also provide 'substitute calculations' which need to be presented to setting out what the alternative budget would be. This means that that if any proposal is made for a council tax above the referendum limit it must be accompanied by 'substitute calculations' within the referendum limit, to be used in the event that the referendum would reject the increase. If a referendum is held after the beginning of the relevant financial year, the higher rate of council tax will be payable unless and until it is overturned by a 'no' vote in the referendum. In the event that a referendum rejects the increase, the billing authority would be able to issue new bills, offer refunds at the end of the year or allow credits against liability the following year, although individual council taxpayers would be entitled to a refund on demand.
95. The costs of a referendum are not easy to estimate, and depend to an extent on whether it can be done as part of another election. If there is no other election, provision should be made for £210k. If the referendum could be combined with another election this would reduce the cost by approximately 50%, but there are no other planned elections taking place in York in 2018/19. In addition there are the costs of rebilling which is estimated at £50k.
96. A briefing paper from the House of Commons cited the cost to Bedfordshire's Police and Crime Commissioner, is estimated to have cost £600k. The Bedfordshire PCC covers three unitary local authorities and a population of circa 640,000. The paper also noted examples of rebilling costs for recently-capped authorities, such as £380k for Lincolnshire Police Authority in 2008/09 (£1.22 per household) and £626,000 for Surrey Police Authority in 2009/10 (£1.29 per household). The paper concludes that it seems reasonable to estimate the range of the cost of referendums as between £85k to £300k.
97. Local authorities with responsibilities for adult social care have been given the flexibility to charge a further 3% social care precept in addition to the 3% referendum threshold. Should local authorities decide to take up the offer to charge the adult social care precept they are required to provide information on adult social care spend to the government.

98. As referred to earlier in this report, the recommendation made in these papers is that from April 2018 the CYC element of the council tax will increase by 3.49%, 1.5% of the increase relating to the social care precept.
99. A 1.5% social care precept increase generates additional income of approximately £1.245m for the council which will be used to fund adult social care increased costs, pay, pension and other pressures. A range of investments are being made that contribute to improvement in social care. The overall net increase in social care budget, including savings and the specific contingency for social care, actually equates to 2.5% Council tax increase.
100. The existing components of the current (2017/18) band D council tax for a CYC resident are shown in Table 10 below. It should be noted that these figures exclude parish precepts which are an additional charge in some areas.

	£
City of York Council	1,244.93
North Yorkshire Police Authority	221.32
North Yorkshire Fire Authority	67.19
TOTAL	1,533.44

Table 10 - Make Up of 2017/18 Council Tax

101. The collection fund is the ring-fenced account where all council tax is credited. This account can either be in surplus or deficit at the year end, depending on whether the authority has managed to collect more or less than it originally anticipated and the growth in property numbers. This year, the CYC element of the council tax surplus is estimated to be £1.6m and this is included in the budget assumptions.

Precepts

102. In addition to the council tax to be charged by the City of York, the overall charge must include the precepts from the North Yorkshire Police, Fire Authority and parish councils. Due to the timing of this report these precepts are not yet available but will be included in the report which is considered by full Council on 22 February.

103. Table 11 demonstrates both the cash and percentage increase in 2017/18 for these which resulted in a total band D council tax for a York property of £1,533.44.

	2016/17	2017/18		
	Charge (£)	Increase (£)	Increase (%)	Council Tax (£)
CYC	1,200.51	44.42	3.70%	1,244.93
Police	217.00	4.32	1.99%	221.32
Fire	65.88	1.31	1.99%	67.19
Total	1,483.39	50.05	3.37%	1,533.44

Table 11 – 2017/18 Council Tax Figures for City of York Area

104. There are 31 parish councils within the City of York Council area. It should be noted that the council will provide each parish with a support grant to ensure that they do not experience any loss on their equivalent funding as a result of changes due to the localisation of council tax support.

Business Rates (National Non Domestic rates - NNDR)

105. The council is projecting retained business rates income in 2018/19 of £34.353m.

106. In the Autumn 2017 budget the Chancellor announced that the business rates multiplier will now uprate based on September CPI rather than RPI from April 2018 onwards. CPI is normally lower than RPI, and will result in lower business rate growth and income for local authorities. It is expected that the government is planning to fund the loss of income through a grant so effectively local authorities should be no worse off.

107. The small business non-domestic multiplier will increase from 46.6p to 48.0p (a 3.0% increase, in line with the September 2017 CPI). The provisional non-domestic multiplier will increase from 47.9p to 49.3p (this is the multiplier used to calculate bills for large businesses with Rateable Value greater than £15,000).

Leeds City Region (LCR) Business Rates Pool

108. Receipts of business rates in each individual local authority area may or may not match the amount the government believes the authority needs to spend, so, at the outset of the scheme in April 2013, amounts were equalised through a system of ‘tariffs’ and ‘top-ups’, according to need. Authorities that collect more than the government believes they need to spend pay over a ‘tariff’ to government and those that collect less receive a ‘top-up’ to make up the difference.
109. Tariff authorities that are successful in growing their rates are also liable for ‘levies’ which scale back the rewards of growth – by as much as 50% in some cases. The current scheme allows groups of authorities to join together to form business rates pools. Pooling allows groups of ‘tariff’ and ‘top-up’ authorities to gain financial advantage by enabling levy payments to be paid to the pool rather than central government. City of York Council is a member of the Leeds City Region (LCR) Business Rates Pool.
110. City of York Council is a tariff authority and paid a levy of 45% in 2017/18. Effectively, in 2017/18 the council keep c.27p of growth after shares have been paid to central government and the LCR business rates pool.
111. The amount available in the LCR pool for distribution from previous year’s growth was £3.1m at 2016/17 year end. This will be allocated to economic development projects which benefit all members of the pool. There are no allocations specifically committed to York.
112. Council have previously approved the use of £156k funding from the Leeds City Region Business Rates Pool to support cultural and sporting events, which would be subject to a further report to the Executive. It is proposed, in line with a recommendation from Scrutiny to Executive, to use £38k of this the funding to support the city’s cultural sector by progressing the development and promotion of a clearly defined Cultural Strategy with the Cultural Leaders Group.

LCR 100% retention pilot for 2018/19

113. In September 2017 the Government announced a decision to proceed with the expansion of the pilot programme for 100% business rates retention for 2018/19. These pilots will run for one year only.

114. These new pilots will run alongside the current 100% pilots which have been in operation since April 2017 and are intended to test more technical aspects of 100% retention, to test authorities' strategic decision-making over wider geographical areas and also to test the administrative aspects of 100% retention.
115. An application together with the current members of the Leeds City Region (LCR) business rates pool was submitted and has been successful. On 7 December 2017 Executive approved the council's inclusion in the pilot.
116. This opportunity builds on many years of successful regional collaboration, not least through the existing pool, providing members and partners with the opportunity to further develop existing relationships and processes to help in the move towards powers, resources and decision-making being undertaken at the optimum level to deliver a growing, inclusive economy.
117. The inclusion in the 100% business rates pilot in 2018/19 means that the council will forego Revenue Support Grant (RSG) in 2018/19. The council will retain 99% of business rates but the 'tariff' and baselines are recalculated so that after taking into account the loss of RSG the effect on each individual authority is cost neutral as a starting point (excluding retained growth).
118. The benefit for the council is that between the council and the LCR pool we may retain 100% of growth and no levies on growth are payable. The table below sets out the approximate percentage of growth retained under the current and pilot scheme. Under the pilot scheme the council would retain 50% of growth compared to 27% under the current scheme.
119. In addition, the LCR pool would also receive twice as much growth. The LCR pool would allocate 50% of the monies back to the individual authorities based on population and amounts paid in. The other 50% will remain in the pool, which would be distributed on the same principles which are currently in place.

	CYC	LCR	Central Government
Current Scheme	27%	23%	50%
Pilot Scheme	50%	50%	0%

Table 12 - Allocation of retained growth

120. The governance agreement for the LCR pool sets out how the pool proposes to share and use additional business rates income, how

member authorities will work together to manage risk and the provisions for dealing with residual benefits or liabilities.

121. Further devolution of Business rates income is expected to be introduced nationally in 2020/21 and this is covered in further detail later in the report. Although the pilot is for one year only in 2018/19, it is possible that this period will be extended if the government continue to roll out the scheme nationally.
122. The benefits of the 100% retention, along with national changes to business rates in future years, will see two main impacts as set out below.
123. Firstly, an increase in the amount of growth in business rates retained by the Council, which is expected to continue for future years. This is assumed at £800k for 2018/19 and this is anticipated to continue in future years. This £800k has been used to provide an additional contingency sum for 2018/19 for adult social care, in particular winter pressures and delayed transfers of care.
124. Secondly, the council will benefit from one off gains from the pilot in relation to the 100% retention of business rate growth. As the Pilot is only for 1 year, these gains cannot be assumed as ongoing. The value of these gains is anticipated to be in the region of £2m direct to CYC. Total gains from the pilot for the LCR pool (which are to be shared amongst all pool members subject to determination by the Pool Committee) are estimated at £15m. It should be recognised that as set out elsewhere in the report there are some risks and potential future investment needs relating to York Central and social care. Additional business rates growth resulting from the pilot scheme could be utilised to support these. A further report will be brought to Members during 2018/19 once more detailed figures are available for this funding.

Reserves and Contingency

General Reserves and Contingency

125. Table 13 shows the position on the general fund reserve which, it is anticipated, will be £7.442m by the end of 2017/18. The projected reserves at the end of 2017/18 are based on the assumption that Members agree no usage of reserves in 2018/19 as part of the final recommendations to Council. It should be noted that the figures below

also assume that there will be no requirement to fund an overspend against the 2017/18 budget.

	2017/18 Projected Out-turn £'000	2018/19 Budget £'000
General Reserve at start of year	6,896	7,442
Transfer to reserves - 2016/17 underspend	546	
In Year use of reserves	0	0
General Reserve at end of year	7,442	7,442
Prudent minimum reserves	6,400	6,400
Headroom (+)/Shortfall (-) in Reserves	1,042	1,042

Table 13 – Projected General Reserves

126. In line with best practice, the council has undertaken a review of risks and known commitments in order to determine its minimum general reserve level. In considering this, it has been determined by the Deputy Chief Executive/ Director of Customer and Corporate Services that a level of £6.4m remains an appropriate figure. However in light of the risks facing the council, it is considered that headroom should remain above the minimum level. This is covered in further detail within the S151 statutory statement at the end of the report.
127. In addition to general fund reserves, the budget includes a £500k general contingency. In recent years this has always been required. As set out elsewhere in this report, it is recommended that the contingency is increased by £800k to provide additional resource to fund pressures in adult social care.
128. As mentioned earlier in the report, due to significant risks associated with major capital projects, reduction in New Homes Bonus and health budgets it is appropriate to provide an adequate contingency on an ongoing basis. This is critical in terms of the setting of a prudent budget.

Venture Fund

129. The balance on the venture fund reserve is anticipated to be £2.8m at the end of 2017/18.
130. In March 2016 Members agreed that the Venture Fund be used to fund £1.0m of the Community Stadium capital expenditure which will be

repaid from later year's leisure revenue budget savings and this advance will be provided in 2018/19. In addition, up to £300k was allocated for dealing with any early year shortfall in the revenue budget in 2018/19.

131. The revised opening balance of the Venture Fund after the above known commitments will be £1.5m.
132. The balance on the Venture Fund reserve provides some mitigation in terms of the need to consider an increase in revenue reserves given the potential risks as highlighted above.

Medium term planning

Medium Term Economic Outlook

133. The Autumn 2017 budget announced some significant changes to economic forecasts (productivity and GDP).
134. The Office for Budget Responsibility (OBR) has revised down the forecast for productivity growth and GDP growth. Future GDP growth is now expected to trend at about 1.5% rather than the previous estimate of 2.0%. The lower GDP growth forecasts have been caused by the under performance of productivity in the UK economy.
135. The downgrades in GDP growth will have an effect on public sector finances. Although this will not have an impact in the short term. In the medium term (from 2020/21) the lower growth forecasts are very likely to translate into lower increases in public sector funding.

Revenue Support Grant (RSG)

136. Since 2016/17 the government finance settlement has changed from an annual settlement to a multi-year settlement, including principles for maximum council tax increases over the same period. The current spending review period ends in 2019/20, so we can assume that there will be no significant changes to the multi year funding package which has already been announced.
137. The council's inclusion in the 100% business rates pilot in 2018/19 means that the council will forego the remaining Revenue Support Grant

(RSG) in 2018/19 of £8.6m. This is partly offset by a £4.6m increase in retained business rates. For comparison, under the old scheme the Council would have received RSG of £4.6m in 2018/19, a reduction of £4m compared to 2017/18.

138. In the Autumn 2017 budget, the Chancellor did not announce any new funding for local government services. Exceptionally, additional funding was awarded to the NHS in addition to the £10bn extra real terms funding by 2020 which the government had already committed to. It is likely that the additional funding announced for the NHS will stay within the NHS rather than helping local authorities' social care budgets.

Business Rates and Funding Reform

139. As highlighted in previous Financial Strategy reports, the government intended to phase out Revenue Support Grant (RSG) by 2020/21, to be replaced by a system which allows local government to retain 100% of business rates.

140. The government has further signalled its commitment to this principle through the extension of the 100% business rates pilot in 2018/19 and by increasing local authorities' retention of business rates from 50% to 75% from 2020/21, as announced in the recent provisional local government finance settlement.

141. Following the most recent general election, there remains some uncertainty as to exactly when this will happen because of the significant amount of legislation required for Brexit, it will be very difficult to reintroduce the Local Government Finance Bill and it would not be able to do so before 2020/21. However government will still be able to move forward with this using existing legislation and the outcome of the pilots.

142. The government are currently working on the Fair Funding Review (FFR) which focuses on the cost drivers for individual authorities. The FFR is expected to be implemented in 2020/21. As part of the funding reform, additional responsibilities will transfer to local government, potentially the administration of housing benefits for pensioners and funding of public health.

143. A further fundamental change to the operation of the business rates system announced in the Autumn budget is the change to the pattern of revaluations. After the next revaluation (in 2022/23), revaluations will

take place every 3 years. This should help to reduce volatility in the system.

Social Care Funding

144. The Social Care Green Paper will be published in Summer 2018. This is expected to consider with the longer-term challenges in adult social care, and its purpose will be to build a sustainable, long-term, reliable system. As set out elsewhere in this report there are ongoing pressures within social care funding, linked to the financial challenges within the NHS.

Use of Capital Receipts

145. The government now allow greater flexibility for councils in how they make use of capital receipts – money received when an asset such as a building is sold. Councils were previously only allowed to spend such money on capital projects. The new flexibility allows money from asset sales (excluding Right to Buy receipts) to be used on the revenue costs of reform projects, subject to certain conditions.

146. As set out in the latest Financial and Performance report elsewhere on this agenda, the Older Persons' Accommodation Project have utilised capital receipts generated by the sale of homes to offset revenue overspends in 2017/18 during the transitional period, and this will continue in 2018/19.

Medium Term Strategy and Approach to Savings

147. Under the 100% business rate retention scheme the council becomes self funded from council tax and business rates and this will continue to be the case in the future. Therefore, it is critical that the council continues to support Economic growth, recognising the significant financial benefits in the form of retained business rates, and creation of jobs.

148. The scale of savings that are required over this period will be driven by the outcomes of the devolution agenda, alongside the extent to which spending pressures affect the council. Factors that will affect the council will include potential increased costs in elderly care, inflationary pressures, implications of the capital programme and the thresholds to

increase council tax. Estimated annual savings required are anticipated to be in the region of £4m to £6m for 2019/20.

149. Specific details of future year's savings proposals will be covered in future budget reports. Looking beyond 2020 is difficult given a wide range of uncertainties, including central government funding, business rates, and pressures within social care. It is however anticipated that the scale of savings required will be lower than in recent years. However this is to a large extent dictated by the overall level of council tax increase that will be set.
150. The financial planning process has considered the scale of the challenge over the coming years, and services have been reviewing opportunities for changing the delivery of services.
151. Annex 3 sets out the strategic direction towards achievement of savings proposals for each directorate over the medium term to 2022/23. This includes the directorate approach to protecting priority areas and the type of savings or efficiencies under consideration for the medium term.

Housing Revenue Account (HRA) Budget

152. Local Authorities are required, by legislation, to keep a HRA. The Local Government and Housing Act 1989 stated that items of income and expenditure only relating to council housing must be contained within the account. Authorities have a duty to ensure that the HRA balances, to keep the budget under review and to take all reasonable steps to avoid a deficit.
153. The HRA Business Plan was updated in November 2017 taking into account latest assumptions for rents, and sales. That report showed that over the 30 year period of the plan the HRA debt of c.£139m can be fully repaid. It also identified an additional £20m investment reserve created to build new council houses funded from the working balance and housing capital resources.
154. The business plan has assumed savings of £1.5m over the period In 2018/19 the detailed budget is shown at Annex 5. The in year budget shows a net deficit of £5,715k due to the £10m investment from the working balance into providing new council houses.
155. 2016/17 to 2019/20 to partly offset lost rent from ongoing rent reductions. Previous budgets have identified savings of £1,065k and there are

proposals within this budget of further savings totalling £274k. Details of the savings are shown in Annex 6.

156. The working balance forecast for 31/03/2019 is forecast to be £22,171k. This level, in line with the latest business plan, is prudent and sustainable and is committed towards the repayment of the debt allocation taken on through self-financing.

Rent Changes 2018/19

157. Since April 2002, the rent increase has been calculated with the key aim of converging rents across all social housing providers whether local authority landlord or other registered provider. This involved a phased change in rents, known as rent restructuring, based on a formula for rent setting created by central government. This government formula rent took account of various factors including the number of bedrooms a property has, property valuation, average earnings and the date at which all rents were expected to converge.

158. Central government policy has now changed and rent restructuring has been brought to an end. The subsequent policy of increasing rents by the Consumer Prices Index (CPI) + 1% that was applied for the 2015/16 increase was due to apply for ten years but in July 2015 further changes to social rents were announced in the Welfare Reform and Work Bill 2015. All social housing rents were required to be reduced by 1% for four years from 2016/17. Government made a further announcement in October 2017 confirming that social rents can be increased by CPI + 1% with effect from 2020/21. The modelling assumes future CPI at 2%.

159. The expected effect on rent levels over the next 3 years is shown in table 14 below.

Year	Estimated Average Rent Per week	Estimated Average Decrease(-)/Increase per week
2018/19	£78.28	(£0.76)
2019/20	£77.50	(£0.78)
2020/21	£79.83	£2.33

Table 14 – HRA Rent changes

160. All rents that do not fall within the definition of “social housing rents” for the purposes of the Welfare Reform and Work Bill 2015 will have the

previous policy applied of increasing by CPI + 1% which will be an increase of 4%. This will include garages and cookers, as well as any specialist supported housing that is exempt from the rent reduction legislation.

161. The Mobile Homes Act 1983 allows the council to increase rents by RPI. However, the RPI is slightly higher than CPI +1% and therefore it is proposed to increase the Gypsy, Roma and Traveller Community site rents by CPI+1% in line with other rent increases which are exempt from the 1% reduction.

Dedicated Schools Grant (DSG) and the Schools Budget

162. The DSG is ring-fenced for funding the provision of education or childcare for 3 to 16 year olds in all settings. As such it covers funding delegated to individual LA maintained schools, academies and PVI providers through the LMS & Early Years funding formulae, plus funding for other pupil provision which is retained centrally by the LA (e.g. SEND, Behaviour Support, Home & Hospital Tuition, School Contingencies etc.).
163. For 2018/19 there have been some significant changes to DSG allocations for LAs. The DfE have introduced new national funding formulae to allocate the DSG for schools, high needs and central school services from April 2018.
164. Currently the DSG is divided into three blocks; schools, high needs and early years. From 2018/19 the DfE is introducing a fourth block, the central school services block, which will fund LAs for the statutory duties they hold for all maintained schools and academies, which are currently funded through the existing schools block.
165. The funding LAs receive in each block is now determined by a specific national funding formula (NFF), with each block subject to its own ring-fence rules. Funding for early years has been allocated through a national funding formula since the 2017/18 academic year; therefore the latest changes do not affect the early years formula.
166. The total DSG allocation for 2018/19 is estimated at £124.528m, broken down as follows:

DSG Funding Block	2018/19 £m	Increase	
		£m	%
Schools Block	94.134	5.044	5.4%
Early Years Block	10.397	-	-
High Needs Block	16.343	0.242	1.5%
Central School Services Block	3.653	(0.005)	(0.1%)
Total DSG	124.528	5.281	4.4%

Table 15 – DSG Allocation

Schools Block

167. The vast majority of the schools block DSG (£93.334m) is used to fund the local funding formula for mainstream schools (maintained and academies). The government's long-term aim is that individual schools' budgets should be set on the basis of a single 'hard' NFF; however this represents a significant change. As a result, in 2018/19 and 2019/20 the schools formula will be based on a 'soft' NFF approach.
168. Under a soft system, the DfE uses the NFF to set national budgets for each school, which are then aggregated to give the total schools block budget for each LA. LAs will continue to set a local formula to distribute their schools block funding for the time that the soft approach is adopted. After setting a local formula, LAs will then distribute their schools block allocation between maintained schools and academies in their area.
169. At its meeting in September 2017 the York Schools Forum unanimously agreed with the LA's recommendation that we should move to the new NFF funding amounts for schools immediately for 2018/19 – as opposed to a phased local transition. It was felt that the advantages of simplicity and transparency in using the information widely published by the DfE outweighed the advantage of some additional flexibility offered by the more complex transitional option.
170. However, a full detailed statutory consultation with all maintained schools and academies in the city was still required on the recommended formula for 2018/19 and 2019/20, setting out the impact of the proposed new formula on each individual maintained school and academy. This consultation was launched on the 20 November and ran for eight weeks closing on 12 January. All views and data gathered during the

consultation will in due course be published on the York's open data platform www.yorkopendata.org.

171. Fourteen schools (24%) responded to the consultation, with 13 (93%) of those in favour of the proposed formula. One response was unclear. Full details of the responses received are set out in Table 15.

	Number of Schools	Number of Responses		In Favour		Against		Not Sure	
Primary Maintained	33	8	24%	7	88%	0	0%	1	13%
Primary Academy	17	3	18%	3	100%	0	0%	0	0%
Primary Total	50	11	22%	10	91%	0	0%	1	9%
Secondary Maintained	4	1	25%	1	100%	0	0%	0	0%
Secondary Academy	5	2	40%	2	100%	0	0%	0	0%
Secondary Total	9	3	33%	3	100%	0	0%	0	0%
Total All Schools	59	14	24%	13	93%	0	0%	1	7%

Table 15 – Consultation Responses

172. The overwhelming response from schools through the consultation, and previous discussions at the Schools Forum, is to support a move to the DfE's national funding formula factors and methodology from April 2018.

173. There was some concern from some schools about other aspects of the DfE's proposals. In particular, the impact on the LA's high needs budget and its ability to support SEND pupils in schools. The LA shares this concern and will take this into account as part of the current inclusion review work.

174. The questions from schools showed some concern about the continuation of some other funding streams for schools (e.g. Infant Class Sizes, pupil growth and the minimum per pupil funding increases) from April 2020. As 2020/21 is after the next government Comprehensive

Spending Review (CSR), the DfE will give no commitments on future funding until the CSR is completed.

175. In relation to the new de-delegation for education functions introduced from September 2017, schools should note that this will be increased to a full 12 months for 2018/19. However, as agreed previously with the schools forum, an additional sum of £66 per pupil will be allocated to schools in excess of the new NFF values to ensure that this continues to have a neutral impact on school budgets.
176. Given the response to the consultation, officers recommend that York moves to the DfE's national funding formula for schools from April 2018, including the proposals for education functions de-delegations referred to above.

Early Years Block

177. York's government funding rates for 2018/19 through the Early Years block remain unchanged from the 2017/18 rates at £4.30 per hour for 3 & 4 year olds and £5.20 per hour for 2 year olds. This followed an 18% increase in funding for York in 2017/18 under the new Early Years NFF. In light of this the LA is not proposing any changes to the Early Years Single Funding Formula for York providers in 2018/19.

EYSFF Funding Rates

	Base Rate £/hour	Deprivation Rate £/hour	Nursery School Lump Sum £
3 & 4 Year Olds	4.00	0.40	107,065
2 Year Olds	5.20	Nil	Nil

Table 16 – EYSFF Funding Rates

High Needs Block

178. The high needs block DSG increases by £0.242m (1.5%) in 2018/19. It should be noted that the high needs budget is continuing to come under significant pressure due to rising demand from increased numbers of SEND pupils. This increase in funding will not be sufficient to cover the annual increase in costs of current SEND numbers. Further work, as part of the inclusion review that is currently underway, will be required to

ensure that high needs expenditure is maintained within the funding available through the high needs block of the DSG.

Central School Services Block

179. This new funding block has been created in 2018/19 from elements of the previous schools block and the former Education Services Grant (ESG). There is a small reduction of £0.005m from the equivalent allocations in 2017/18 which the LA proposes to manage by making efficiency savings within the small number of LA central services that are funded by this block. Other than this, the LA proposes no other changes to the budgets funded by the central school services block DSG.

Scrutiny

180. In accordance with constitutional practice Corporate Scrutiny and Management Policy Scrutiny Committee have considered at its meeting on 22 January 2018 what level of budget is appropriate in the coming year to support scrutiny reviews. The Committee take into account existing levels of spend in 2017/18 and the councils overall financial position. In the light of those considerations the Committee has decided to maintain the current funding level of £5k and not request any increase.

One Planet/ Equalities

181. An assessment has been completed on the overall impact of the budget proposals using the Better Decision Making Tool and this is available at annex 7. The impact assessment considers risks associated with savings proposals to ensure any negative impact for a particular group, sector or community is eliminated or counterbalanced.

182. The financial strategy will impact on all residents and has carefully considered the local demand for services whilst also ensuring the budget set is prudent, protects vulnerable people and has capacity to invest. The strategy could have a negative impact on the following communities;

- Age
- Disability
- Gender
- Carers
- Lower income groups

183. This negative impact can be mitigated by investment targeted to these same communities. The key approaches to achieving savings whilst avoiding impacts on communities of identity include;

- Ensuring that savings are made from back office functions and universal services
- Protecting statutory services and other key services for vulnerable residents
- Increasing community involvement in service redesign and delivery
- Making services self-financing wherever practicable, including external trading
- Maximising the return from externalised service provision
- Redesign of existing services and external contracts
- Placing a focus on prevention and ceasing service provision only where this is least impact
- Streamlining services to provide focussed support and reduce areas of duplication
- Supporting carers
- Integrated working with health
- Focussing growth where it is expected to have a positive effect on older or disabled people and their carers

184. By reviewing and reshaping services for young people, particularly those in relation to prevention and early intervention, the route into identifying support will be made simpler for customers and the services more tailored to the needs to each community. This will have a positive impact on young people and promote equality of opportunity for those growing up in the city.

185. Funding for carers will continue as the council aims to provide a more comprehensive set of support, reflecting the significant role of carers in allowing people to remain in their own homes and live independently as far as possible.

186. The changes within a new operating model for adult social care seek to reduce people's dependency on social care support through the provision of information and advice and earlier intervention to support, maintain or regain independence for those who are able. These changes are designed improve outcomes for customers, including those with one or more protected characteristic (particularly Age and Disability). For those who require ongoing support, the offer will be made more flexible and tailored to their needs.

Specialist Implications

187. This report has the following implications;

Financial

188. The financial implications are contained within the body of the report.

Human Resources (HR)

189. The council currently employs 2,497 (2001 FTE) non school staff. The budget proposals which are contained within this report highlight the likely reduction of approximately 30 FTE posts in 2018/19.

190. As implementation plans to achieve these post reductions are produced the specific staffing implications will be clear and staff consulted on the proposals. The type of change affecting staff in 2018/19 is likely to be a mixture of post reductions and working for redesigned services, some of which may no longer be delivered by the council.

191. The HR implications of change are managed in accordance with established council procedures. As part of this process consultation with trade unions and affected staff will continue to be undertaken and every opportunity will be explored to mitigate compulsory redundancies, such as vacancy controls, flexible working, voluntary redundancy / early retirement and extended redeployment. Where consideration is being given to the transfer of services to another provider TUPE will apply which will protect the terms and conditions of employment of transferring staff.

192. A programme of support for staff who are going through change is in place which will help staff adapt to changes to the way they will need to work or to prepare for a move into a new role.

Legal

193. The council is required to set a council tax for 2018/19 before 11 March 2018. It may not be set before all major precepts (i.e. precepts from the Police and Fire Authorities) have been issued or before 1st March 2018, whichever is the earlier. The decision to set the level of council tax is reserved to Council and cannot be taken by Executive or delegated to officers, although Executive has to recommend a budget to Council. These comments are intended to apply to both the Executive meeting and the subsequent Council meeting.

194. Before determining the level of the tax, the Council must estimate its proposed revenue expenditure, taking into account amounts required by way of contingency, any need to raise reserves and any other amounts which the Council is legally required to transfer between funds. It must also estimate its anticipated income, any relevant transfer between funds and any proposed use of reserves. It must then calculate the difference between the two which is the council tax requirement.
195. The Council's Chief Financial Officer (under s151 Local Government Act 1972) is required to report to the Council on the robustness of the estimates made for the purposes of the calculations, and the adequacy of the proposed financial reserves. The Council must have regard to the report when making decisions about the calculations in connection with which it is made. The Chief Financial Officer has a statutory duty under section 114 of the Local Government Finance Act 1988 to issue a written report if he considers that a decision taken by the Council would be unlawful and likely to cause a financial deficiency.
196. In reaching decisions on these matters, Members are bound by the general principles of administrative law. Lawful discretions must not be abused or fettered and all relevant considerations must be taken into account. No irrelevant considerations may be taken into account, and any decision made must be one which only a reasonable authority, properly directing itself, could have reached. Members must also balance the interests of service users against those who contribute to the Council's finances. The resources available to the Council must be deployed to their best advantage. Members must also act prudently. Members must also bear in mind their other statutory duties to have regard to certain matters when making decisions. In particular the "equalities duty" to have 'due regard' to the need to eliminate discrimination and to promote equality when making decisions and the need to consider any crime and disorder implications of the decision. A failure to follow these principles could open the Council to judicial review.
197. Members have a fiduciary duty to the council tax payers and others in the local authority's area. This means that members must behave responsibly in agreeing the budget. Members have no authority to make anything other than a balanced budget.
198. Among the relevant considerations which Members must take into account in reaching their decisions are the views of business ratepayers and the advice of officers. The duty to consult representatives of non-

domestic ratepayers on the Council's expenditure plans is contained in Section 65 of the Local Government Finance Act 1992.

199. In considering the advice of officers, and the weight to be attached to that advice, Members should have regard to the personal duties placed upon the Deputy Chief Executive/Director of Customer and Corporate Services as Chief Financial Officer. Members are obliged under the Code of Conduct to have regard to the advice of the Chief Finance Officer and Monitoring Officer. The Council may take decisions which are at variance with his advice, providing there are reasonable grounds to do so. However, Members may expose themselves to risk if they disregard clearly expressed advice, for example as to the level of provision required for contingencies, bad debts and future liabilities. In addition, if Members wish to re-instate savings recommended by the Deputy Chief Executive/ Director of Customer and Corporate Services in order to balance the budget, they must find equivalent savings elsewhere.
200. The Deputy Chief Executive/Director of Customer and Corporate Services is required by Section 151 of the Local Government Act 1972 and by the Accounts and Audit (England) Regulations 2011 (as amended) to ensure that the council's budgeting, financial management, and accounting practices meet relevant statutory and professional requirements. He is in addition subject to the requirements set out above.
201. Members must also have regard to, and be aware of, the wider duties placed upon the council by various statutes governing the conduct of its financial affairs. These include the distinction between revenue and capital expenditure and the requirement to set prudential indicators in line with capital investment plans that are prudent, affordable and sustainable.
202. Section 106 of the Local Government Finance Act 1992 makes it a criminal offence for any Member with arrears of council tax which have been outstanding for two months or more to attend any meeting at which a decision affecting the budget is to be made, unless the Member concerned declares at the outset of the meeting that he or she is in arrears and will not be voting on the decision for that reason. The Member concerned must not vote but may speak. The application of Section 106 of the 1992 Act is very wide and Members should be aware that the responsibility for ensuring that they act within the law at all times rests solely with the individual Member concerned.

203. If a referendum is held after the beginning of the relevant financial year, the higher rate of council tax will be payable unless and until it is overturned by a 'no' vote in the referendum. It must also provide "substitute calculations" which need to be presented to Council setting out what the alternative budget would be. This means that if a party proposes a council tax above the referendum limit they must also produce "substitute calculations" within the referendum limit, to be used in the event that the referendum would reject the increase. In the event that a referendum rejects the increase, the billing authority would be able to issue new bills, offer refunds at the end of the year or allow credits against liability the following year, although individual council taxpayers would be entitled to a refund on demand.

Council Priorities

204. This report, alongside the Capital Strategy, sets out a range of investments and savings which reflect the Council's priorities. These are covered in detail in the main body of the report.

Statutory Advice from the Deputy Chief Executive/ Director of Customer and Corporate Services

Introduction

205. The Local Government Act 2003 places responsibilities upon the council's Chief Finance Officer to advise the council on the adequacy of its **reserves** and **the robustness of the budget proposals** including the estimates contained in this document. This section also addresses the **key risks** facing the council in relation to current and future budget provision. The following paragraphs give my views on the budget (both 2018/19 and beyond), reserves and general robustness of the process.

Overall Assessment

206. The proposals in this budget give a balanced budget for 2018/19 and an overview of future years. The council has well established effective financial management, effective monitoring, and has received very favourable external audit reports in respect of its financial management. The council has managed expenditure within its overall budget in recent years, and the overall financial planning process remains sound.

207. Full scrutiny of the budget proposals for 2018/19 has taken place, in terms of their deliverability, and a proper risk assessment of a range of issues has been conducted.
208. There are significant savings contained within the budget proposals, reflecting the scale of the challenge facing the council. There should be no understatement of the scale of this challenge, both in terms of next year and beyond.
209. A key risk facing the Council relates to the large number of major complex capital schemes it is currently undertaking, and which are at the early stages of development. Should schemes not progress to full completion there remains a risk that costs currently assumed to be capable of being capitalised must be written off to revenue.
210. Another significant risk is the financial position of the Health system within York, which brings with it a number of significant challenges for adult care services in particular. This risk has increased recently, with massive financial challenges facing CCG's in particular and the position regarding the Better Care Fund both now and in the future represents a major risk. Members should consider carefully whether to allocate additional funds for Social Care in the light of these challenges, and the related implications for Council Tax.
211. There are also changes in New Homes Bonus Funding as described in the report, which will reduce the amount of NHB the Council receives in future years. Previous budget decisions have funded ongoing expenditure of £2.6m from New Homes Bonus, and moving forward the Council will need to plan for funding this expenditure from its council tax/retained business rates. This will require budget growth from 2018/19 for a period of around 5 years, at a level of approximately £400k to £500k each year.
212. Clearly, there are risks in the achievement of some of the proposed savings and, in assessing the risk of the savings proposed, I cannot guarantee that every single proposal will be achieved. I do however consider the overall package to be prudent, and I am assured of the robustness of the projected savings, and the extent of rigour in their calculation. They do however represent a major challenge to deliver, one that will only be achieved through full commitment across the organisation. Very careful monitoring of the progress of the savings programme will be essential. A risk assessment related to the individual savings proposals has been conducted, and discussed with senior

management. Where savings are not delivered, services are fully aware of the need to find compensating savings.

213. I consider that the overall estimates in the budget are sound and that the proposals to achieve a balanced budget are achievable, albeit demanding. The council has made provision for a number of corporate financial pressures. In addition provision is still included for a contingency sum of £500k, and I consider this an important factor in the overall budget assessment. In this budget it is recommended that the contingency is increased by a further £800k to fund adult social care. The Council also has strong financial health in terms of its overall level of unallocated reserves, anticipated additional one off business rates income for 2018/19, and unallocated Venture Fund provision. These sums, combined with a track record of delivery to budget, provide assurance on the robustness of the Council's overall financial position. This overall package is a realistic approach in dealing with the financial pressures facing the council next year. There is provision made for the estimated 2.0% pay award.

Looking Ahead

214. Looking ahead there remains a range of very significant pressures for the future. It is almost certain that there will be further reductions in government funding, and the major challenge facing the council in coming years will be to secure further savings and for cost pressures to be managed effectively. In doing so, the council will also need to provide capacity for additional investment in unavoidable costs and priorities.

215. The proposals in this report set out details for 2018/19, but also set out the strategic direction, and key issues facing services for the following year. There has been significant consideration of the medium term planning issues, and I am entirely satisfied with the extent to which the Council is aware of the challenges it faces, and the actions it will need to consider over coming years.

Reserves

216. In terms of reserves, the proposals seek to keep reserves to an amount of £1,042k above their minimum levels. This recognises that in difficult financial times, and alongside general uncertainty regarding the economy, it is advisable to ensure sufficient reserves are in place.

217. I believe that the council will outturn within budget for 2017/18 and this is reflected in the budget monitoring report presented to Executive at this same Executive meeting.
218. The recommended minimum reserves for 2018/19 are £6.4m. This is considered within the report. I have identified in earlier paragraphs the risks facing the Council. Last year I indicated a need to increase reserves and this was done as part of the 2016/17 year end position. During the last 12 months some risks have been reduced, for example in relation to the Community Stadium. I do not consider that reserves require any increase, but I would caution any reduction at this stage, as there remain risks within the Capital Programme and within Social Care in particular.
219. Whilst there is a degree of mitigation in that the Venture Fund has a significant balance (covered in the financial strategy report), and some other earmarked reserves could be permanently/temporarily used should there be any significant costs to be charged to revenue funds, it is essential the Council makes proper prudent provision for the risks it faces and has adequate provision in its stated "Unallocated" reserves.
220. The decision on the adequacy of the level of reserves is also linked to the general robustness of the budget process and the council's systems of budgetary control and risk management. These need to ensure that the Council will not be exposed to any unforeseen major financial problem requiring the use of reserves to resolve. In considering the overall budget position, I have taken assurance over the recent track record of the Council to manage expenditure within budget, and the fact that in very recent times financial pressures have been identified early in the financial year and through concerted action across the council the position has been brought in line with budget.

Other Issues

221. The council tax referendum limit has increased from 2% to 3% and local authorities with responsibilities for adult social care will be given an additional 3% flexibility on the current council tax referendum threshold to be used entirely for adult social care.
222. It is for members to determine the level of council tax increase, and to decide whether to set a council tax increase up to the 3% referendum limit or to take advantage of the government offer to set a tax at a higher level to be used for adult social care. Members naturally need to consider the implications of the different options very carefully. In

particular they need to note the implications of any proposal to set a council tax above the referendum limit, which is covered within this report.

223. I also would highlight the separate capital strategy report, and the issues that are set out within that. I would stress however that the overall balance in terms of capital investment, levels of borrowing, and revenue implications (and the impact on revenue expenditure) is something that is for Members to determine.

224. There is the potential for significant changes to the system of local government finance in coming years. Changes have occurred to New Homes Bonus and in the future will occur to Business Rates. The operational details of the devolution of the business rates system still need to be determined by government, and there remain a number of areas that will need to be addressed before the full implications will be known.

225. I am aware that as with all budgets there is the potential for amendments to be proposed/agreed which could change the overall package of proposals. In that respect, I would highlight that I would amend/add to my statement if a decision was proposed that lead to the council's reserves falling below the minimum level (assuming the current budget comes in line with budget). In addition, any other amendments I would consider against the scale of the overall budget and depending upon the extent of the amendment I may revise my statement.

Risk Management

226. A summary of risks attached to the budget is contained in annex 8. They will be monitored regularly throughout the year.

Contact Details

Author:

Ian Floyd
Deputy Chief
Executive/Director of
Customer and Corporate
Services

Debbie Mitchell
Corporate Finance and
Procurement Manager

Sarah Kirby
Principal Accountant

Chief Officer Responsible for the report:

Ian Floyd
Deputy Chief Executive/Director of
Customer and Corporate Services

Report
Approved

Date 30/1/18

Specialist Implications Officer(s)

Legal – Andy Docherty
HR – Trudy Forster

Wards Affected: List wards or tick box to indicate all

All

For further information please contact the authors of the report

Background Papers:

Executive 7 December 2017 – Application for 100% Business Rates
Retention Pilot in 2018/19
Budget Consultation available at www.yorkopendata.org

Annexes:

- 1 – 2018/19 Budget Summary
- 2 – 2018/19 Savings Proposals
- 3a – Health, Housing and Adult Social Care Medium Term Plan
- 3b – Children, Education and Communities Medium Term Plan
- 3c – Economy and Place Medium Term Plan
- 3d – Customer and Corporate Services Medium Term Plan
- 4 – Fees & Charges
- 5 – HRA Budget 2018/19
- 6 – HRA 2018/19 Savings Proposals
- 7 – Better Decision Making Tool

8 – Risk Analysis

9 - Background Information

Abbreviations used in this report:

ASC – Adult Social Care

BCF – Better Care Fund

CCG- Clinical Commissioning Group

HRA - Housing Revenue Account

LCR – Leeds City Region

NHB – New Homes Bonus

RSG – Revenue Support Grant

SFA – Settlement Funding Assessment

WYTF – West Yorkshire Transport Fund

WYCA – West Yorkshire Combined Authority

Annex 1 Summary of 2018/19 Budget**2018/19
£000's****Expenditure****Net Expenditure Brought Forward****119,659****Expenditure Pressures**

Unavoidable Cost Increases, Priority Areas and Creating Capacity:

- Pay and Pension Costs	1,800
- Adult Social Care Prices Inflation	1,560
- Prices Contingency	759
- Adult Social Care Demographic Growth	600
- New Homes Bonus replacement funding	400
- Education Psychology Staffing	100
- Traveller Support Service	75
- Reversal of prior year savings	200
- Increase in contingency	800
	<hr/>
	6,294

One off Investment (funded by NHB)

- Local Plan - deferral of prior year savings	200
- Local Plan - Consultancy and Inspection	173
	<hr/>
	373

Total Expenditure Pressures**6,667**

Expenditure Reductions:

- Health, Housing and Adult Social Care	(1,726)
- Children, Education and Communities	(1,274)
- Economy and Place	(342)
- Customer and Corporate Services	(852)
- Corporate Savings	(775)
	<hr/>
Total Expenditure Reductions	(4,969)

Changes in Income

- Losses in Specific Grants	1,343
	<hr/>
Total Changes in Income	1,343

One off Income

- Use of Transport Reserves (funding ongoing budget)	(450)
- New Homes Bonus (funding one off investment)	(373)
	<hr/>
	(823)

Revised Projected Budget Requirement**121,877****Funding****Funding Streams:**

- Council Tax	(85,898)
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- Business Rates	(34,353)
Projected Funding	(120,251)
One off Funding Streams:	
- Collection Fund Surplus (funding ongoing budget)	(1,626)
	(1,626)
Total Funding	(121,877)
Overall Funding Gap	0

Annex 2 2018/19 Savings Proposals

Ref	Proposal Description	2018/19 Impact £'000		2019/20 Impact £'000	Total Saving Impact £'000
		Agreed last year	New Savings		
HEALTH, HOUSING AND ADULT SOCIAL CARE					
HHASC1	Sexual Health In built 2% saving on contract		29		29
HHASC2	Sexual Health Saving on HIV support contract to be delivered through the re-tendering of the sexual health and contraception service provision.		28		28
HHASC3	Sexual Health Saving on Community Outreach contract to be delivered through the re-tendering of the sexual health and contraception service provision.		22		22
HHASC4	Infectious disease control There is no contract in place so will give notice to Harrogate CCG to finish on 31/3/18. The service covers what to do if there is an outbreak in care homes. Private sector can buy in their own support		50		50
HHASC5	Substance Misuse Reduction in post (temp post)		16		16
HHASC6	Substance Misuse The current apprentice has been retained until March 2019 and can be funded by an earmarked reserve		12		12
HHASC7	Substance Misuse - Drugs and Alcohol Targeted savings within substance misuse services from revised procurement. Profile of savings agreed by Executive August 2016.	100		213	313
HHASC8	Wellness Service Proposed new operating model for promoting sport participation and physical activity will be more focused on commissioning and partnership working with other sectors and less on CYC delivery of services. Further efficiencies will be gained by integrating some elements of service provision with the new Integrated Wellness Service		50		50
HHASC9	Stop CAB Debt Worker Cease specific housing related funding/supporting of CAB Debt Worker. Service to be provided as part of more generic debt advice, as well as additional debt advice funding through the FISG, which will be open to the CAB (second year saving shown)	18			18
HHASC10	Housing Options Reduction in Staff Reduce Support Worker staff requirements following efficiencies arising from new combined hostel at James House.		15		15
HHASC11	In source the management of the Peasholme Centre The council now directly operates the Peasholme Centre and by bringing additional rooms into use is able to increase income thereby reducing the ongoing net cost.		40		40
HHASC12	Housing Staffing The 2018/19 effect of the previously agreed saving. The Landlord Services restructure has delivered full year savings across Housing General Fund totalling £68k.	34			34
HHASC13	Housing Association Stock Additional income earned from the management of Housing Association stock		5		5
HHASC14	Housing Commercial Properties Additional income target arising from the Shops transferred from HRA to General Fund.		15		15
HHASC15	Transforming Care – Learning Disability customers Delivering innovative day support, accommodation and support solutions for learning disability customers in response to the Transforming Care agenda and the Winterbourne Concordat, bringing individuals back to the city from out of area. This will include the provision of a specialist activity base, developing supported living and implementation of Individual Service Funds (ISF) to encourage personalisation of care for these customers. This is the final year of the programme which will have reduced the cost of services by £1.575m over three years.	431			431
HHASC16	Carers £150k was invested in 2017/18 in our Carers' offer to reap greater long term benefits across the health and social care economy. The investment was used by a lead provider to expand and co-ordinate services across the voluntary sector to improve carers' mental, physical and emotional wellbeing. The financial benefit of this investment will derive from reducing carer breakdowns enabling them to continue supporting the cared for individual and avoiding formal social care.	275			275

Ref	Proposal Description	2018/19 Impact £'000		2019/20 Impact £'000	Total Saving Impact £'000
		Agreed last year	New Savings		
HHASC17	Transport of customers to services Reducing use of taxis and the fleet by working with individuals to support them to use public, voluntary and other forms of transport. This is the third year of a four year programme targeted to reduce travel costs by £272k.	50		85	135
HHASC18	Older Person's Homes (OPH) residential care fees The previous two years' saving proposal to increase the OPH weekly charge to recover the full cost of care has now been implemented. However, as the number of homes we operate reduces, we are also reducing the number of customers we can apply this charge to and as such the short term financial impact of this benefit needs reversing, hence the saving figure being negative.	(1)		(90)	(91)
HHASC19	Small Day Services Review range of services currently provided to users of in house small day services and find more innovative, community based ways of meeting their needs.		100	100	199
HHASC20	Commissioned Contracted Services Reduce Be Independent's contract value in line with the current agreement.	50			50
HHASC21	Future Focus - Initial Response Team Responding swiftly to referrals will allow approx 8% of referrals to be averted or diverted to more appropriate services	149			149
HHASC22	Future Focus - Learning Disability Package Review Review Supported Living Schemes to ensure the level of support provided in the schemes is appropriate	169			169
HHASC23	Future Focus - Homecare Review Review existing Home Care packages to ensure the level of support given is appropriate	30		30	60
HHASC24	Future Focus - Administration Charge Increase the administration charge for full fee payers from £283 to £500 to fully recover the cost of delivering that support. The increase will be phased in over 2 years.	17		14	31
HHASC25	Sheltered Housing with Extra Care Review and improve model of care within council run extra care schemes to generate savings.	23		23	47

* Future Focus proposals have replaced Adult Social Care savings HHASC14, 15, 16 and 17 totalling £717k which were agreed in last years budget

1,345	381	375	2,101
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CHILDREN, EDUCATION AND COMMUNITIES

CEC1	York Museums Trust A reduction in revenue grant support to YMT is being replaced by additional capital investment to ensure a continued level of support over the next three years.	100			100
CEC2	Neighbourhood Management Team A reorganisation of the team has delivered a saving whilst ensuring greater focus is placed on supporting the delivery of ward schemes. This is the full year effect of a saving implemented during 2017/18.	16			16
CEC3	Healthy Child Service Develop and implement the new service model as part of the locality based Early Help arrangements	100		100	200
CEC4	Prevention and Early Intervention Services - New Operating Model Following the work with schools and other organisations, continue the implementation of the new place-based operating model which incorporates all current prevention, early intervention and play services for children, young people and families.	387			387
CEC5	Early Years Services Review and restructure the Early Years services to create an integrated Early Years Sufficiency, Strategy and Quality team. This will generate savings through eliminating duplication.	40			40
CEC6	Home to School Transport Continue to explore a reduction in the number of vehicles in total by use of larger vehicles. Review the use of passenger transport assistants / escorts for SEND children, provide more support to enable SEND children to travel independently, and increase the use of personal budgets to parents for their children's transport.	206			206
CEC7	Looked After Children Invest to Save project utilising funding already approved in the CSES capital programme to develop more specialised services in the city for the small cohort of young people with very high needs currently placed in high cost settings outside York.	350			350

Ref	Proposal Description	2018/19 Impact £'000		2019/20 Impact £'000	Total Saving Impact £'000
		Agreed last year	New Savings		
CEC8	<p>The Glen Respite Care Centre / Centre Of Excellence</p> <p>An alternative new model of provision to provide targeted specialist care for children with the most complex needs, to support them to remain in the care of their own families. The proposed Centre of Excellence is designed to deliver this new model and is expected to become a regional resource with the potential to generate income.</p>	75			75

1,274	0	100	1,374
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Ref	Proposal Description	2018/19 Impact £'000		2019/20 Impact £'000	Total Saving Impact £'000
		Agreed last year	New Savings		
ECONOMY AND PLACE					
EP1	Public Protection Reduction in Staffing Removal of a vacant post from the establishment and the non replacement of a role seconded to Regional Investigation Team. We have reduced the number of routine food standards samples we take and other interventions on the composition of food (i.e. food is what it says it is). Furthermore, we have moved to a 'pay as you go' system and the help of volunteers in the community to review existing cold calling controlled zones		70		70
EP2	Environmental Management - Operational Budgets Review of non staffing budgets across service has resulted in savings. This includes reducing need for Neighbourhood Planning budget as the majority of grants provided to assist neighbourhood plans have now been issued.		28		28
EP3	Make It York Reduction of Council subsidy to Make it York to be achieved through renegotiation of the service level agreement.		100		100
EP4	Tourism Full realisation of former staffing restructure due to ending contribution to pension costs from early retirement.		10	4	14
EP5	Parking Income Increase in parking charges including: * 10p per hour general increase * Inflationary Respark increase Refer to the Fees & Charges report for full details		77		77
EP6	Land Charges Additional income arising from increase in fees and charges		7		7
EP7	Economy & Place - Policy & Performance staff restructure Savings arising from staff reductions and review of corporate subscriptions		50		50

0	342	4	346
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CUSTOMER AND CORPORATE SERVICES

CCS1	Internal Audit Reduction in fee The 18/19 effect of a previously agreed saving; Recharge of the Internal Audit time to the HRA and negotiate a reduction in audit fee and work	30		30	60
CCS2	Finance staff restructure General restructure of service and review of processes - these savings have already been achieved in the main through deletion of vacant posts, turnover and review of processes		126	100	226
CCS3	Efficiencies from the Mansion House The 18/19 effect of a previously agreed saving; To create efficiencies from the Mansion House operation once the refurbishment is completed.	35			35
CCS4	Review of services across the Legal service area The 18/19 effect of a previously agreed saving; Increased income from charges to capital schemes/external work, reductions in staff (including likely reduction in solicitor posts), restructuring within the service, and general review of operational efficiencies	50		50	100
CCS5	ICT General Efficiencies The 18/19 effect of a previously agreed saving; General Efficiencies including: development and further expansion of a commissioning model, shared service opportunities, renewal of Microsoft estate, application consolidation, reduction in support and maintenance contract levels and hours, reduction of service level agreement support hours, review of print/ mfd provision and income from external trading.	209		220	429
CCS6	Customer Service Staff Restructure - Reduction of 2 x fte's subject to completion of the channel shift and digitalisation project		37	40	77
CCS7	Financial Procedures Restructure Reduction of 1-2 fte's subject to completion of the channel shift and digitalisation and project		49		49
CCS8	HR Training and Workforce Delivery Unit (WDU) The 18/19 effect of a previously agreed saving; Change model of delivery to target a 50% reduction in staffing non-grant funded training budgets.		66		66
CCS9	Business Support Services Staff Restructure The 18/19 effect of a previously agreed saving; As more services are placed online and processes become more automated there will be a less of a need for admin support	50		50	100

Ref	Proposal Description	2018/19 Impact £'000		2019/20 Impact £'000	Total Saving Impact £'000
		Agreed last year	New Savings		
CCS10	CCS Policy and Performance Staff Restructure The 18/19 effect of a previously agreed saving; Restructure of Policy and Strategy staff	150		150	300
CCS11	Crematorium Additional income anticipated from 2.5% fee increase		40		40
CCS12	Registrars Office Additional income anticipated from 2.5% fee increase		10		10

524	328	640	1,492
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Corporate Services

CORP1	Making Best Use of Council Assets: Review of the commercial portfolio to dispose of less profitable assets, invest in higher yield assets and maximise income from West Offices. The saving for 2018/19 can be achieved from the purchase of Swinegate in 2017, and additional income from West Offices		600		600
CORP2	Treasury Management Saving on the cost of borrowing from changing debt repayment calculation as outlined in the Treasury Management report		175		175
		0	775	0	775

Total Savings	3,143	1,826	1,119	6,088
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Medium Term Financial Strategy – Health, Housing and Adult Social Care

Introduction

Adult Social Care

1. Adult social care and health are facing significant challenges to make care and support sustainable for the future. Demand for Adult Social Care rises each year. People are living longer into old age requiring support. There are more people living longer with complex long term conditions and there are increasing numbers of young adults in transition to adult services with complex needs.
2. This increased demand for services coincides with significant financial pressure arising from reduced Local Authority funding, legislative changes driven by the Care Act, an increased public expectation of Adult Social Care and an expectation of high quality, personalised and flexible support for those who are eligible for care.
3. The Government have also committed to write a green paper on the future of adult social care to be published in the Summer of 2018. The paper will set out plans for how government proposes to improve care and support for older people and tackle the challenge of an ageing population.

Early Intervention and Prevention

4. We need to find innovative ways to shift the focus of all our activities towards prevention. Our activities will need to be much more focused on behavioural change and harnessing the skills of local people and communities rather than traditional interventions. Much of this activity will be informed by Public Health professionals and we need similar thinking in relation to those already in the care system to re-able people and help them regain their independence.
5. This will require new ways of operating within communities, empowering people and facilitating solutions rather than 'cash based' services. Our investment in early intervention and prevention programmes are driving this innovation and move toward York becoming a genuine asset based area. These include: embedding Local Area Coordination and Community Facilitators, scaling up Social Prescribing, exploring a Community Catalysts model to help address loneliness through community enterprise solutions and

recent work on scaling social action through a Cities of Service impact volunteering model to help augment public services.

6. We will focus on providing Universal Information and advice to promote health and wellbeing, enable targeted and co-ordinated support for those at risk of increasing need that delivers against outcomes, maximize independence through reablement and community support and ensure personalised ongoing good quality support.
7. The national enquiry into the future of civil society provides a strong policy framework to guide our work on early intervention, prevention and asset based community development, recognising the need for a new relationship between the citizen and state and building stronger and more resilient communities that reflect the principles of co-production.

Future Focus Programme-a new operating model for Adult Social Care

8. The department is developing a model under the Future Focus programme which shifts the support from the end of the customer journey when a crisis point is reached to intervening earlier and, where possible, preventing it being reached in the first place. The successful implementation of this model is crucial to managing demand for social care services over the next four years and critical to maintain the financial stability of the Department.
9. Phase 1 has been completed which analysed what a future operating model might look like and areas where potential cashable and non-cashable savings could be achieved. (these are further described in the Savings annex 2). The key outcomes of the new operating model are:
 - Building resilience: In keeping with the council's approach to strength based approaches and creating resilient communities, the new model seeks to build resilience through strength and outcomes based conversations with people at every point in the care journey. The model will help York's citizens use community and voluntary services in concert with any required council commissioned care. This will connect people to their communities, prevent unnecessary escalation of need, keep citizens independent and in the community for longer and reduce overall demand for formal council and health provision.

- Collaboration and Co-production: The new operating model builds on key relationships with trusted partners aligning with projects and opportunities within the community and in wider health services. Support will be coordinated through a range of community and health based provision, connecting ASC staff to what is available in peoples communities.
 - Right Place – Right Time: The opportunity to work differently, reduce waiting times for people and reduce the bureaucracy associated with the current model will allow ASC to free-up resources of skills and time to be directed to areas where their expertise, professionalism and skills can have the greatest impact on people’s wellbeing
 - Improve CYC ASC financial and operational sustainability: The new model looks to re-profile care packages towards less intensive services by directing care delivered in residential, hospital and nursing settings towards care delivered in the community wherever appropriate.
10. The programme has worked with staff, partners and customer groups and co-designed an understanding of five core functions of a new model of working. These are underpinned by more fluid working and a much stronger focus on strengths-based activities within ASC to deliver the best support to York’s population:
- Accessing help in the community: Making methods of support available before contacting the council. The model requires us to focus on improving the quality and accessibility to local, up to date information. To improve and increase use of community-based support such as the Local Area Coordinators, and increase outreach offer of information, advice and guidance into the community through partners and community services.
 - Initial contact: A citizen’s first contact with the council; Where contact is made, or a referral is received from partners that a social care response is likely, an Initial Contact and Response Function will effectively triage and respond to contacts. Staff will be skilled in working with the individual and their family to look at appropriate opportunities in their communities. There is an emphasis on the importance of face to face conversations to look to address root causes of

issues in a strengths based way rather than a service based response to presenting need.

- Initial response: Where follow up action needs to be taken by the as a result of the initial contact the response function will be made up of multi-skilled professionals. Consistent, standardised guidance will be used to support staff in having the right conversations with residents and will include an upfront finance checkpoint to establish any financial impacts of statutory care.
 - Assessment: Strengths-based assessment: Underpinning all aspects of model is a new approach that has a clear focus on a person's strengths and outcomes. Any "assessment" forms will be viewed as a shared agreement between the council and resident. Systems will be redesigned and reshaped to suit the needs of residents and staff. Mobile working will allow staff to populate forms while with residents, saving time
 - Continual Support Planning:The current support planning and review functions will combine to become a new continual support planning function. A clear distinction between 'crisis' support and longer term support planning will be maintained. A principle that longer term support planning should be remain mindful of opportunities and better outcomes afforded by local communities to ensure that resilience and greater independence underpins all parts of the social care journey.
11. The successful implementation of the model will have responsive and supportive communities helping people remain independent, fulfilling their lives and reducing the need for social care intervention. The model will be implemented over the next four years.

Health and Social Care integration

12. The Government continues with its intention to integrate health and social care; The Secretary of State for Health had social care added to their portfolio in January 2018 demonstrating the importance and link between the two areas.
13. The Better Care Fund is still the vehicle primarily being used to drive the change. Additional funding was announced in 2017/18 in

the form of an additional £2bn nationally for adult social care plus the introduction of the improved Better Care Fund (iBCF). The table below shows the totality of the fund for York.

Funding source	2017/18 (£m)	2018/19 (£m)	2019/20
£2bn national allocation budget 2017	2.847	2.072	1.032
Improved Better Care Fund	0.000	1.663	3.447
Total improved Better Care Fund	2.847	3.735	4.479
Disabled Facilities Grant (capital)	1.101	1.199	1.199*
CCG's Better Care Fund contribution	11.400	11.617	11.617*
Total Better Care fund for CYC and Vale of York CCG	15.348	16.551	17.249

*2019/20 allocations not yet announced

14. The iBCF is intended to stabilise and provide extra capacity within the local health and social care economy: The grant must specifically be used to:
 - Meet adult social care needs
 - Reduce pressure on the NHS
 - Ensure the local social care market is supported

15. The additional funding to date has and will be used to stabilise the local economy by securing the continuation of services that may otherwise have stopped. Additional funding from 2018/19 onwards will buy extra care capacity, will fund a project aimed at improving seven day discharge and will fund a post to implement a city wide alcohol prevention strategy amongst other things.

16. Other key aims to be achieved through the integration with health will include;
 - Supporting the development of new pathways to reduce delayed transfers of care and facilitate early safe discharge
 - Development of integrated service and integrated commissioning with the Vale of York CCG

- Agreement on how we to work together and our organisational form in the short and medium term and how we are going to develop integrated services and integrated commissioning with the Vale of York CCG.
 - Improving our whole system approach to commissioning for outcomes
 - Working in partnership with our partners to continuously improve and personalise services so as they remain sustainable and resilient.
 - Enable people in York to make choices about the care and support they receive and have those choices supported.
17. It should be noted that £300k of the additional £900k iBCF funding in 2018/19 is at risk if York does not improve its performance in discharging people from hospital.
18. The integration with health over the coming years will be a key driver in improving the support offered to residents currently and the council will have to work with key partners, such as the NHS and Public Health to make it successful. This ambition needs to be set against the significant and mounting financial pressures in both the VoY CCG and the York & District Hospital Foundation Trust , which may hamper progress.

Older Person's Accommodation programme

19. The programme is entering its final phase. The Council currently operates two homes compared to the nine at the start of the process in April 2015 and a state of the art extra care facility has been built at Glen Lodge Independent Living scheme designed to accommodate those living with dementia.
20. There are several exciting opportunities to be pursued in the next few years, namely:
- Extension of the Marjorie Waite Court independent living scheme
 - Potential for the Oakhaven Older Person's home site to be recommissioned as an extra care scheme
 - Construction has started at the Burnholme site which will see the building of a health hub, centre and care home
 - Development of the Lowfields site in Acomb to include health and care facilities.

21. This programme is essential to managing future demand in ASC. The provision of alternative forms of care to residential care is essential for the future financial sustainability of ASC.
22. The Department is also entering the final year of a three year agreement with residential and nursing care homes which fixes the standard price the Council pays. Discussions will be held with providers in 2018/19 about agreeing a further three year agreement for 2019/20 to 2021/22 allowing the department to place people at affordable prices in a supplier controlled market.

Approach to Protecting Priority Areas

23. The Directorate continues to review all service areas and, although some areas have been protected thus far, services will continue to be reviewed and any improvement to the benefit of the customers or users of the service will be considered.

Medium Term Efficiencies and Savings

24. Budget reductions over the next four years will mainly rely on the successful implementation of the new operating model for Adult Social Care and the conclusion of the Older Person's Accommodation Programme.
25. Assessment and Care Management – The new operating model intends to reduce the volume of customers accessing social care and this will impact on the size of the assessment and care management function needed to support customers. Review in this area will also:
 - Simplify and standardise practice and process, sharing best practice where appropriate
 - Use technology to improve the productivity with which staff work
 - Encourage self assessment so customers can determine for themselves whether they are likely to be eligible for services
 - Explore opportunities for joint working with Health Colleagues where appropriate
26. Existing staff resources will be need to implement the model over the next two years. This will be reviewed as the model becomes embedded to see if any further efficiency can be made.

27. A key element of the Future Focus programme is changing the culture and expectations around how an individual manages their needs. The programme will shift the emphasis towards the individual initially considering what they and their community can do to help and support them and away from the Council being the first point of contact.
28. Savings will be generated from the approved Older Person's Accommodation Programme (OPAP) by re-providing the care and support currently given in our homes. The annual budget saving should be in excess of £500k by 2020/21. Members have and will continue to receive reports at crucial decision points.
29. The majority of the savings in this project will derive from expanding the extra care provision in the city and encouraging customers to take up this type of care rather than residential care. This is often a more appropriate setting for individuals and allows them to maintain their own tenancies and join the communities that flourish in these settings.
30. In house small day services will be reviewed and remodelled where appropriate to provide better outcomes for individuals attending these services.
31. Existing contracts will be reviewed to determine if there are any efficiencies to be achieved by retendering, commissioning with Health or exploring any other opportunities which may present themselves.

Risks and Impact Assessment

32. Current customers will be impacted by changes to the services. Customers will be fully informed and where changes make a difference to services received, the transition will be a managed process. The benefits to all current and future customers of moving to a sustainable model which promotes independence are based on the likelihood of better outcomes as well as financial sustainability. It is considered that the mitigated impacts on customers are necessary to move to a sustainable model.
33. The level of change needed will require significant resource in the transition to the new model of working. If this is not available, there is risk around the deliverability of these proposals, which could impact on services to customers and the ability to deliver savings.

34. The Public Health Grant is reducing by £211k in 2018/19 with a similar reduction anticipated in 2019/20. It has been necessary therefore to review all Public Health Contracts and spend in this area. Savings from the Substance Misuse Contract agreed in August 2016 deliver savings in 2017/18 and 2018/19. Further savings are being identified by focusing the sexual health contract on to core provision and through direct delivery of services through the Integrated Wellness Service.
35. Within Housing General Fund the service has achieved savings through a restructure of the Housing management service. Through in-sourcing the Peasholme Centre and adding additional bed capacity it has been able to increase income at the site without additional costs.

Housing Revenue Account

36. The latest update of the 30 year Housing Revenue Account business plan was approved by Members in November 2017. The key headline from the plan was that the service has identified a further £20m capital investment budget from 2018/19 to 2022/23. During 2018/19 the Housing Service will identify the priorities for building council houses over this period which will include buying stock through the new Housing Development Company, developing HRA sites and / or purchasing properties on the open market.
37. In order to manage the HRA with the reduced levels of income as a result of the rent decreases over the four year period 2016/17-2019/20 and the increased levels of sales forecast, a target of cost savings totalling £1.5m have been identified. To date £1,065k has been identified in 2016/17 and 2017/18 and further savings totalling £274k for 2018/19 are detailed in annex 5b of the report.
38. This leaves £186k of the target to be delivered in 2019/20 and it is proposed that these are found from continuing to review all HRA budgets with detailed proposals being submitted to Members in the 2019/20 budget process.
39. The Business Plan (last updated in November 2017) includes a number of assumptions particularly regarding the number and value of Right to Buy Sales and 'High Value Sales' that will impact the overall account and therefore the value of savings in future years

will need to be closely monitored and additional proposals brought forward where necessary. It should be noted that the implementation of the sale of 'high value' council homes has been delayed by the government and detail of how and if the policy will be implemented is awaited.

Decisions Required

40. The decisions that are set out in the 2018/19 savings provide the basis for moving forward over the next two years. Specific reports over the coming months will need to be considered. These will describe in more detail how the principles and intentions above will be turned into a practical way of delivering social care in the city. Investment will be needed in terms of capacity and resources to develop and implement the fundamental change in the way services are currently delivered.

Risks and Impact Assessment

41. Current customers will be impacted by changes to the services. Customers will be fully informed and where changes make a difference to services received, the transition will be a managed process. The benefits to all current and future customers of moving to a sustainable model which promotes independence are based on the likelihood of better outcomes as well as financial sustainability. It is considered that the mitigated impacts on customers are necessary to move to a sustainable model.
42. The level of change needed will require significant resource in the transition to the new model of working. If this is not available, there is risk around the deliverability of these proposals, which could impact on services to customers.

Medium Term Financial Strategy - Children, Education and Communities Directorate

Introduction

1. Children, Education and Communities Directorate in York is highly regarded and high performing. Benchmarking data shows that York are one of the cheapest children's services in the country and currently spend one of the least amounts per capita on looked after children's services in the country.
2. The directorate has effective and appropriate structures in place to deliver statutory responsibilities and also has a range of non statutory services that prevent the need for a greater spend on more expensive specialist services. Social worker caseload sizes are appropriate and there is the correct ratio of social workers to managers to ensure effective case management and professional supervision. Any reduction to these current staffing levels would result in an unacceptable level of risk.
3. There is a small central team that commissions and quality assures school improvement, any reduction of this would present a risk to effectively performing our statutory responsibilities.
4. Children's services budgets are allocated into three categories that broadly describe the focus of the services that each budget funds:
 - Achieving
 - Safer
 - Resilient
5. Communities budgets cover:
 - Sports facilities, libraries, culture and museums provision -
An extensive programme of remodelling services over recent years has led to a wide variety of new forms of service delivery including trust, social enterprise, local authority company and private sector led models. These approaches have yielded significant efficiency savings. York now has high performing services, in some cases nationally renowned, with value for money profiling against nearest

neighbour comparators showing expenditure ranging from average to lowest third

- York Learning -

These services are now funded almost entirely by external grant and user income

- Ward Budgets -

This covers the ward budgets, the Communities and Equalities Team that supports them, and a grant to York Council for Voluntary Services.

Approach to Protecting Priority Areas

6. All areas of the Directorate have been reviewed and certain service areas have been protected. It is envisaged that this will remain the case over the medium term. Protected services include:

- The Education Psychology service, which is the statutory assessment service for SEN children. Growth of £100k is included in the budget for 2018/19.
- There are no savings proposed within children's social care services. Reductions to social care staffing levels have been ruled out as this may place vulnerable children at risk.
- The early intervention fund which provides a range of small grants to voluntary sector organisations who support the Children and Young People Plan priorities
- Investment in the 'Troubled Families' programme that ensures the Council achieves its payment by results target
- Voluntary sector grants have been reviewed to ensure that all funding aligns to the Council's priorities and reductions in grants have already taken place. Funding to organisations such as York CVS and cultural organisations that receive national funding from Arts Council England will remain protected in view of their fit with the Council's priorities and the fact that the Council's funding serves to lever significant additional funding into the city.
- Ward Committee funding will remain unchanged

- The current library services contract runs to March 2019. Explore York have delivered new models of community provision and new income streams during the current contract and the opportunity will be taken through the re-tendering of this service to consider the potential to deliver efficiency savings.

Medium Term Efficiencies and Savings

7. Key approaches to achieving general fund budget reductions within Children, Education and Communities over the next two years will be as follows:

Achieving

8. The Council's early years duties linked to the sufficiency and quality of early years provision are currently delivered by two separate teams; the Childcare strategy team focuses on delivering the Council's statutory duty to ensure sufficient places in early years provision and the Early Years Learning and Welfare team which provides advice and support to early years providers to improve the quality of provision. These teams will be restructured to create a single integrated service to ensure no duplication of work with other areas and will reflect changes to central government policy.
9. A review of Home to School Transport Provision has taken place. Options include withdrawal of some services, further developing independent travel skills where appropriate and provision of more efficient transport options.

Safer

10. Reviewing our placement options and sufficiency will enable us to 'Make York Home' for most of our looked after children, although some initial investment will be required.
11. Capital and revenue investment is required to transform the focus and remit of current short breaks residential provision at The Glen respite care home. A proposal to create a Centre of Excellence for Disabled Children and their families was presented to the Executive on 25th January 2018 and would see the development of this new provision on the site of the closing Windsor House. This facility will provide a range of services to enable disabled children to remain in

their families and in their community, including flexible short break provision and a Family Intervention Rapid Response Team.

Resilient

12. Local Area Teams have been in place since January 2017. During 2017 the Healthy Child Service, incorporating health visitors and school nursing, has become an integral part of Local Area Teams. The new service has made swift progress which has been reported to CEC Scrutiny Committee.

Decisions Required

13. The decisions that are set out in the 2018/19 savings proposals provide the basis for moving forward over the next two years, as the majority of savings themes originated in 2016/17 and 2017/18. Specific reports over the coming months will need to be considered. These will include further consideration of policy in relation to home to school transport.

Risks and Impact Assessment

14. Restructuring of the early years teams requires that the new single service continues to ensure sufficiency and quality of places. There may be new pressures on the childcare market following the extension of free childcare places related to future changes in government policy.
15. There is a risk of challenge via tribunal, external challenge and significant reputational risk around changes to home to school transport provision.
16. Voluntary sector capacity (both organisations and individuals) is essential to deliver the budget reduction in many service areas. If this resource is not available this may lead to a reduction in service provision.
17. It is believed that reduction in funding to external organisations will not affect the service provision as those organisations may continue to operate with a more commercial focus. This may include additional charges to the public.

Medium Term Financial Strategy – Economy and Place Directorate

Introduction

1. The Economy and Place Directorate includes services that have undergone significant reductions in staffing and budgets in recent years whilst maintaining some of the Councils most visible frontline services, including 6 million refuse/ recycling collections, 4 million Park and Ride Journeys and maintaining and investing in the highways and transport infrastructure. From a regulatory perspective the Directorate delivers Public Protection, Planning, Development control and Highway Regulation functions thereby having a significant impact on the wider economy and people of York beyond the directly delivered services.
2. Whilst many of the services within the Directorate are statutory the level of the service could be reduced. The services though are often highly visible, front-line preventative services that are in demand from residents and have a long term impact of reducing costs elsewhere in the Council.

Approach to Protecting Priority Areas

3. All areas of the Directorate have been reviewed and certain service areas have been protected. It is envisaged that this will remain the case over the medium term. Protected services include:
 - No reductions to the Neighbourhood Working Team, providing street based services. The service is in progress of delivering £525k litter bin replacement programme.
 - There will be no introduction of additional charges or any significant changes in operations for domestic waste customers
 - No additional charges will be applied to services operating from Household Waste Recycling Centres (HWRC's) and opening times will remain as they are currently
 - As a Lead Local Flood Authority under the Flood and Water Management Act, the Council are required to deliver a range of

responsibilities for flood risk management and is working closely with the Environment Agency on delivering over £60million of investment in the City's Flood defences.

- The Highways maintenance budget including potholes, gully emptying, winter maintenance and bridge maintenance. Additional investment is also provided within the capital budget for Highways, including more sustainable LED street lighting, lamp column replacements and cycling routes.
- The Dial and Ride service which is the public transport provision for the most vulnerable in society
- School Crossing Patrols
- The Concessionary Fares scheme will remain unchanged
- The current level of subsidised bus services will be maintained

Medium Term Efficiencies and Savings

4. As a result of the savings in previous years, the Highways function has been reduced to a small revenue budget which covers day to day maintenance with the potential for only incremental savings through operational efficiencies. The Highways Capital Programme including maintenance and development delivers our statutory duties to maintain the highway network. Significant investment is proposed for capital investment within Highways over the coming years in order to slow down the deterioration of the network and the service will be implementing new working practices / technology to undertake repairs. New use of digital technology is also being used to provide greater information regarding the state of repair of the network and focusing on locations where repairs are required. The workforce has recently been reduced to ensure that a sustainable core of skills and knowledge is retained with a degree of job security and then as the Capital Programme fluctuates from year to year sub contractors are being used to complement this core staff.
5. The Waste service will be concentrating on operational efficiencies and containing cost growth. Cost pressures on the service are

principally existing budget overspends within waste collection. The service has implemented new rounds to cover recycling and garden waste from April 2017 which have mitigated these overspends however the levels of sickness and temporary staff resource is too high meaning the service is still overspending. The service is working with the workforce in order to reduce sickness levels and the need for temporary staff resources. There are no savings planned for Waste Services but in the medium term a review of residual waste rounds will be undertaken and market testing of the Service will be considered in order to ensure collection services are as efficient as possible.

6. Public Protection, Planning, Development Management, Building Control and Highway regulation are all moving towards a model in which a core of knowledge and skills is retained from anticipated fee revenues with significant fluctuations in workload managed through the use of external providers and where possible through the use of shared staff resources with other Local Authorities. This approach allows key staff to be retained and with the Parliamentary approval from 15th January 2018 for a 20% uplift in Planning Fees is a position that should be sustainable. The exception to this approach is the Local Plan development for which no direct fee revenue is attributable.
7. The most significant revenue in the Transport area is parking income totalling £7.0 million. Car parking charges are a key source of income for Transport and Highway investment and support a significant proportion of public transport options for travellers. It is therefore important that the prices of alternative public transport options are taken into account when prices are set. The budget proposes that charges will be increased in 2018/19 at most car parks by 10p per hour. There will also be inflationary increases on Respark permits.
8. Further to the consideration by Executive of the need to enhance City Centre Access arrangements in light of increased threat to public safety from the use of vehicles in a hostile manner, it is proposed that the Built Environment Investment Fund is prioritised for this work before tackling the renewal of the wider city centre public realm
9. Another area of additional revenue is civil (camera) enforcement of bus lanes. The budget recognises that a successful scheme will not generate significant income, and as such the income target is being

reduced. The service is investigating a number of other sites where enforcement would reduce delays to public transport and or risk to road users.

10. It should be noted that most other discretionary transport expenditure (excluding protected services such as Subsidised Bus Services, Concessionary Fares and School Crossing Patrols) is heavily reliant on external funding in order to undertake modal shift promotion activity. A key part of the Council's investment in Sustainable Transport is in technology and in the field of Transport it is developing rapidly in order to exploit the City's significant digital assets to put the city in the forefront of these transport innovations. The council has been very successful in gaining external funding in both these areas (including £1.2m Access funding awarded for 2017/18 to 2019/20 £2.85m Smarter Transport Evolution Programme and £3.3m ULEV 2017-18 to 2018/19) and will continue to seek opportunities for further grants.
11. Increasing community involvement has and will continue to facilitate a reduction from grounds maintenance and cleansing budgets by transferring spaces increasingly to community management (this has already happened in relation to bowling greens and allotments). The Public Realm services, like waste, will also be concentrating on operational efficiencies and containing cost growth.
12. Maximising the Shareholder value from return from externalised service provision include a proposal to reduce the grant over time to Make it York (MIY). It is expected that MIY will deliver additional income streams and efficiencies. We will also work closely with the Council's Waste Companies (Yorwaste and SJB recycling) to maximise shareholder value reporting through to the council's shareholder committee.
13. Further opportunities will continue to be reviewed over the next two years to rationalise assets, generate significant additional income, and achieve additional capital receipts (which could in turn reduce debt). This will be guided by the development and implementation of the Council's Asset Management Strategy which will include consideration of opportunities to work with the private sector, and the Executive Decision to establish a wholly owned development company. Members will need to continually review and consider its appetite for risk and return.

Decisions Required

14. The decisions that are set out in the 2018/19 savings provide the basis for moving forward over the next two years, as the majority of savings themes originate in 2016/17 and 2017/18. Specific reports over the coming months will need to be considered including further decisions regarding extending bus lane enforcement and potential restrictions to city centre access.

Risks and Impact Assessment

15. Within Waste Services, in order to achieve operational efficiencies and overcome the operational challenges that have been evident in 2017/18 a whole service review and investment in good working practices and improved cost control will be necessary. This will include but not be limited to reviewing all waste rounds, new vehicles depot and Fleet arrangement ahead of 2019/20. This needs to factor in the building of additional households as well as the need to maximise recycling. There is a risk that if these efficiencies cannot be achieved this would necessitate the requirement to reduce service levels to balance the budget. Furthermore, any delay or failure to achieve efficiency savings would jeopardise any potential benefit which may be achieved from market testing.
16. The Allerton Park Waste Recovery Plant is due to be fully operational in February 2018. The financial model assumes the council is able to maximise external income opportunities through the use of commercial waste sourced by Yorwaste. There are financial incentives to reduce waste delivered to AWRP but growth in household numbers will increase levels of residual waste. The service is affordable against planned activity however the assumptions in the financial forecasts will need to be closely monitored and managed and will from now on be reported as part of the Quarterly Monitoring reports.
17. The Directorate continues to be reliant on external income from income from sources such as Planning and Parking. These have in the past resulted in overspends within the Directorate that need to be managed. These budgeted income levels require the city to have continued development and a healthy city centre offer.

18. The Directorate is at the forefront of delivering significant capital schemes over the next four years including York Outer Ring Road and York Central (through West Yorkshire Transport Fund). This will require appropriate project management and capacity across support services and regulatory function for the council to enable timely delivery.

Medium Term Financial Strategy - Customer and Corporate Services Directorate

Introduction

1. The Directorate delivers a range of professional support (finance, legal, HR), the Councils ICT infrastructure, a wide range of customer services (customer centre, benefits,) collects income (council tax, NNDR, service related issues e.g. adult care) and manages a range of assets/facilities management.
2. The majority of services are non statutory, though there are some functions such as production of the accounts, production of a budget which are statutory responsibilities. In addition both the Chief finance officer, and the monitoring officer have statutory roles, and both require adequate resources to conduct those roles. The Chief Finance officer role has statutory powers to ask Council to provide resources sufficient to deliver the role. There are clearly also functions such as benefits, collection of council tax/NNDR which are also statutory activities.

Approach to Protecting Priority Areas

3. All areas of the Directorate have been reviewed, and all areas will contribute to savings. Certain areas have been protected wherever possible and this includes;
 - In legal services, work relating to childcare will be protected from any significant savings
 - In financial procedures work relating to financial assessments in relation to vulnerable adults will be protected
 - Core statutory services such a financial accounts, and general legal work will be protected, though there will be efficiencies in these areas over the four years
 - Information Governance e.g. FOI's, Data Management, has been protected recognising the need for this work to be maintained across the whole Council

- In Customer services, whilst there are significant savings the service has achieved in recent years. Savings going forward will be deferred to later years, with the expectation that work around the new website, and customer system will allow for efficiencies without impacting on service levels.

Medium Term Efficiencies and Savings

4. As the main cost within the Directorate is staffing, a large proportion of savings will be delivered through restructures within services. This applies across most areas of activity of the Directorate. This will have varying issues and implications, but will inevitably result in fewer staff being employed and a need to consider how service delivery can be prioritised with a view to managing staffing reductions. Clearly in many respects the need for support services is actually increased during a period of significant change/transformation. There may be a need to consider the provision of specialist support work on major projects purely on a chargeable basis.
5. As the Council over coming years will change in terms of shape and size, there will be opportunities to generate additional income through West Offices, renting space out to further external organisations. There may also be a need to push further on flexible/home working across all areas to release office space which can also contribute to income targets.

Decisions Required

6. The decisions that are set out in the 2018/19 savings provide the basis for moving forward over the next two years and if required specific reports will be considered over the coming months.

Risks and Impact Assessment

7. Impact on support services (finance, legal, ICT HR) during a period of significant transformation and change when Council services will need high degree of support staff – this is an inevitable risk in terms

of being able to support the range of projects the Council may embark upon. A flexible approach to resourcing may be needed, with additional resource (financed by the specific project) being brought in at appropriate times.

8. In relation to the corporate saving, there is a risk that the asset portfolio does not release revenue/capital receipts. Early consideration of development opportunities is required, and some additional external resource may be needed to achieve a radical review of commercial portfolio. There is also a risk that the release of West offices space does not happen as required. This will require careful monitoring, and the release of space not just from general reductions in staffing, but through more radical approaches to flexible working.

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STANDARD CHARGES FOR RESIDENTIAL CARE HOMES

Type of Service	Current Charge 2017/18 £		Charge 2018/19 £		Percentage Increase %	
	Day Care	Overnight Care	Day Care	Overnight Care	Day Care	Overnight Care
Residential Homes						
Residential Homes for Children (The Glen)	200.00	400.00	200.00	400.00	0.0%	0.0%

Specific rates can be agreed for longer term
contracts/placements

FOSTER CARE ALLOWANCES
PAYABLE FROM 1st APRIL 2018

Age	Current Weekly Allowance 2017/18 £	Assumed Weekly Allowance 2018/19 £	Percentage Increase %
0-4	£128.03	£129.31	1.0%
5-10	£141.05	£142.46	1.0%
11-15	£161.00	£162.61	1.0%
16-17	£188.02	£189.90	1.0%

CYC will always pay at least the national minimum allowance which are advised by government, The rates for 2018/19 have not been released as yet.

Assumed 1% increase on this schedule for the 2018/19 rates

Foster Carer Fees and Capacity Payments

Grade	Skill Fee £	Capacity - Total payments	
		2 £	3+ £
Accredited	31.91	15.95	31.91
Experienced	63.80	15.95	31.91
Enhanced	170.15	21.27	42.54
Advanced	496.61	62.08	124.15

Grade payments are linked to the CYC APTC pay award

The above grade fees have an assumed 2% increase for 2018/19, this will be amended in line with the pay award

ADDITIONAL FOSTER CARERS ALLOWANCES
PAYABLE FROM 1st APRIL 2018

Foster carer allowances and fees

The weekly allowance

The foster carer weekly allowance is intended to cover the average costs of looking after a child as part of the foster carer's family. No specified amounts for particular items are given since expenditure will vary from one foster household to another. The fostering allowance is designed to

- Food and accommodation (including a contribution towards heating and lighting costs)
- Clothing
- Pocket money
- Transport usually associated with any child living in a family including to and from a local
- Leisure activities
- Keeping a record of events and memories about the child
- School meals

Birthday, Festival, Holiday allowances

It is accepted that there are important events which incur additional costs for foster carers. Accordingly, a payment equivalent to one week's fostering allowance is automatically paid prior to the child's birthday and also prior to the festival period. A further amount equivalent to 3 weeks fostering allowance can be made to cover the cost of holidays through the year. This should be

Costs not covered by the foster carer weekly allowance

There may be other costs which are not covered by the weekly fostering allowance. These additional costs fall into two broad categories – those related to the child or young person in

Child related costs

a) Activities and interests

Children are encouraged to enjoy out of school activities, which enrich their leisure and play. Examples have been drama, horse riding, singing, instrument lessons, sport, swimming, dance, A foster carer can request support with the costs of an exceptional enrichment activity for an amount up to £500 per child per annum. If there is a greater cost, this should be discussed as part The cost of hobbies is usually expected to be covered by the fostering allowance. If however a hobby includes an exceptional cost for an event, for example a piece of equipment, then a foster carer may request an additional payment to cover the cost. The maximum sum will be £250 per

b) Clothing allowance (start up)

A child or young person who arrives in a new foster placement without adequate clothing is likely to incur additional clothing costs. A foster carer can claim a clothing allowance at the commencement of the placement of a newly looked after child up to a maximum equivalent to 3x

c) Clothing allowance (exceptional circumstance)

A foster carer may identify a situation in which a looked-after child has an exceptional need for clothing allowance. This might be for a special event such as a wedding or other celebration. For older teenagers this might include school proms or job interviews. Such exceptional needs should be discussed with the supervising social worker (fostering) who will forward a request to the

d) School uniform allowance

A foster carer may request a school uniform grant for a looked-after-child who has recently commenced at a new school. For planned changes in school uniform, for example in moving from

e) Work clothing and equipment

A foster carer may request a grant towards the cost of work clothing that a young person requires at the commencement of training or employment. The maximum sum will be £200 per young

ADDITIONAL FOSTER CARERS ALLOWANCES
PAYABLE FROM 1st APRIL 2018

f) Tuition

Private tuition will not be funded by the Department as it is recommended that this is dealt with in personal education planning. If there is general agreement that additional tuition will be beneficial, this will be addressed by the child's social worker in conjunction with the school and education

g) School trips

All young people will have the opportunity to take part in school trips; the cost ultimately will be supported and covered by children's services.

h) Holiday supplement

A foster carer, in common with other parents and carers must ensure that all looked after children attend school during the school term. It is noted that parents, carers and foster carers may therefore face increased costs for booking holidays during the designated school holidays. In recognition of this increased cost, a supplement is available for each looked-after-child up to a A request for payment of a holiday supplement will need to include evidence that the cost of the holiday for each child is greater than the existing holiday allowance provision.

A foster carer can claim for the costs incurred in purchasing a passport for the child and any visa, which may be required for holiday travel.

i) Nursery fees, after-school, holiday clubs

If a looked after child attends a nursery, after-school club or holiday club, consideration will be given to reimbursing additional costs incurred by foster carers. Agreement for children or young people to attend any of these settings must be made in consultation with the child's social worker and relate to the benefits for the child's educational and social interaction rather than the foster

j) Contact expenses

A foster carer may claim the reasonable costs incurred to facilitate young people maintaining and promoting contact with their parents, siblings or other significant family members

k) Health care expenses

Health care for children are generally exempt from charges under the NHS. In exceptional circumstances, foster carers may request the reimbursement of unavoidable costs, for items which

l) Other exceptional expenses

The above list cannot be exhaustive. A foster carer may request a contribution to cover the costs which may be incurred for a looked after child's participation in a special event family wedding, If a foster carer is aware of any exceptional expense, they may discuss this with their supervising social worker (fostering) in order for the Service Manager (Fostering) to consider the implications. A foster carer should not enter into the commitment to an exceptional expense without checking

Household related costs

Foster carers are expected to have the necessary physical resources within their home to enable them to provide a good quality of service to the children and young people they look after. It is expected that the need for additional equipment and the replacement of any equipment, furniture

a) Equipment and furniture

Foster carers may need additional furniture and equipment before having looked after children placed with them. This may include beds, bedding, storage for clothes, car seats, baby equipment (where applicable). Other equipment costs may be incurred when new long-term placements are organised. These might include the decoration of a bedroom or the provision of new bedding.

b) Equipment, furniture, repairs and replacement

ADDITIONAL FOSTER CARERS ALLOWANCES
PAYABLE FROM 1st APRIL 2018

Over time a foster carer there may be wear and tear on furniture, equipment and furnishings. Foster carers may request a grant towards the cost of renewing such items Where specific damage has been caused by a looked-after child then this should be reported to the supervising

c) Exceptional adaptations

A foster carer may, in exceptional circumstances request financial support for the adaptations to their house to help meet those needs such as providing a long-term placement for children with

Transport

a) Travel and transport arrangements are expected to be discussed as part of the initial planning of all placements. Where circumstances change significantly then foster carers are expected to discuss those changes with their colleagues. There is general assumption that looked after children and foster carers will undertake most journeys in their day-to-day fostering lives, by walking, cycling, and using public transport or in the foster family's car. The cost of local and family

b) Public transport and bus passes

It is assumed that young people aged 12 and over will make use of public transport where necessary for school and leisure activities. Accordingly, all young people are now eligible for an all-day bus pass for First York within the City of York area. For young people placed outside the York

c) Mileage allowance

A foster carer may request reimbursement of their mileage allowance for exceptional journeys, which are above and beyond the local school and family journeys e.g. school journeys greater than 3 miles (each way) transport to contact, hospital or other clinic appointments.

d) Bicycles

For young people aged 11 and over, the purchase of a bicycle with all safety equipment, is eligible for reimbursement if this will enable them to cycle safely to school and for their leisure time. Any proposed bicycle purchase should be fully considered and cost agreed by the Service Manager (Fostering) prior to any foster carer committing to a purchase. Provision of a bicycle should be

e) Mopeds

For young people 16 and over the purchase of a provisional driving licence for mopeds up to 50cc, Compulsory Basic Training (CBT), appropriate safety equipment can be supported. Requests for the support and funding of these items and for a contribution towards the purchase of a moped should be fully considered with relevant parties as part of the travel/transport plan and cost agreed

f) Driving lessons

For young people 17 and over the purchase of a provisional vehicle driving licence and starter pack of 10 driving lessons can be supported but should be considered with relevant parties and cost agreed by the Service Manager (Fostering) prior to any commitment to purchase is given.

ADDITIONAL FOSTER CARERS ALLOWANCES
PAYABLE FROM 1st APRIL 2018

Foster Carer Fees

After initial approval, a foster carer is assessed and reviewed under the accreditation scheme to determine the grade within the fee structure (accredited, experienced, enhanced and advanced) All foster carers on an accredited or higher level are paid a fee when they have a child or young person in placement. Payments of the fee can continue when a foster carer is temporarily without

- i) When a foster carer does not have a child in placement the fee will continue to be paid for up to 2 weeks.
 - ii) When a foster carer takes a holiday break without the foster children the fee may continue to be paid for up to 2 weeks. Foster carers are expected to give a minimum of 1 month's notice to the fostering agency.
 - iii) Foster carers may request two weeks additional fostering fee at any point in the financial year.
 - iv) A maximum of 4 weeks in total in any year will be covered by these payments.
- Foster carers who is undergoing an investigation that prevents them having children placed with them will continue to be paid a fee until the investigation is completed.

Process for claiming an additional payment

In order to ensure consistency in the application of the guidance, it is proposed that all requests for additional payments will be dealt with by the foster carer's supervising social worker. A foster carer will be expected to provide evidence of the cost incurred through receipts or estimates. This can be provided by the foster carer. When social workers, other service managers or independent reviewing officers become aware of an exceptional need or cost for a looked after child placed with a foster carer, they must refer the matter to the supervising social worker (fostering) for their consideration. The authorisation (or not) will be given by the supervising social worker.

Adoption, SGO & CAO
Allowances
PAYABLE FROM 1st APRIL 2018

Age	Current Weekly Allowance 2017/18 £	Assumed Weekly Allowance 2018/19 £	Percentage Increase %
0-4	£128.03	£129.31	1.0%
5-10	£141.05	£142.46	1.0%
11-15	£161.00	£162.61	1.0%
16-17	£188.02	£189.90	1.0%

Note: An amount equivalent to the Child Benefit entitlement will be deducted from this allowance.

SHORT BREAKS ALLOWANCES**PAYABLE FROM 1st APRIL 2018**

Time Band	Standard Sharing Care Current Weekly Allowance 2017/18 £	Standard Sharing Care Updated Weekly Allowance 2018/19 £	Allowance paid to carer of child with additional health needs (i.e.std allow. + 70% enhancement) Proposed Weekly Allowance 2018/19 £	Allowance paid to carer of child with more complex care needs (i.e.std allow. + 60% enhancement) Proposed Weekly Allowance 2018/19 £
0-4 hours	17.77	18.13	30.81 (i.e. 18.13 + 12.69)	29.00 (i.e. 18.13 + 10.88)
4-8 hours	26.60	27.13	46.12 (i.e. 27.13 + 18.99)	43.41 (i.e. 27.13 + 16.28)
8-12 hours	35.48	36.19	61.52 (i.e. 36.19 + 25.33)	57.90 (i.e. 36.19 + 21.71)
12-24 hours	53.18	54.24	92.21 (i.e. 54.24 + 37.97)	86.79 (i.e. 54.24 + 32.55)

The above payments have an assumed 2% increase for 2018/19, this will be amended in line with the pay award

Contract Care Scheme

	Weekly Allowance 2017/18 £	Assumed Weekly Allowance 2018/19 £
Contract Carers	361.06	368.28

The above payemtns have an assumed 2% increase for 2018/19, this will be amended in line with the pay award

ENVIRONMENTAL HEALTH	2017/18	2018/19	
	Charge (Before VAT) £	Charge (Before VAT) £	Percentage Increase £
<u>HEALTH & SAFETY</u>			
<u>SKIN PIERCERS</u>			
a) Tattoosists	157.00	184.00	17.2%
b) Skin Piercers	157.00	184.00	17.2%
c) Premises	157.00	184.00	17.2%
¼ly payment available by Standing Order			
<u>ENVIRONMENTAL PROTECTION (VAT EXEMPT)</u>			
<u>Substantial Changes s10 and s11</u>			
Standard Process	1,005.00	1,050.00	4.5%
Service Station/dry cleaners	98.00	102.00	4.1%
Waste oil burners < 0.4MW	N/A	N/A	N/A
<u>FOOD & SAFETY UNIT</u>			
Export Certificates	62.00	67.30	8.5%
<u>ANIMAL HEALTH</u>			
Pet Shop	140.00	150.00	7.1%
Animal Boarding	140.00	150.00	7.1%
Home Boarding Licence	115.00	122.00	6.1%
Dog Breeding Establishment	140.00	150.00	7.1%
Dangerous Wild Animals - valid for 2 years (excluding vet fees)	235.00	251.00	6.8%
Riding Establishments (excluding vet fees)	210.00	171.00	-18.6%
Performing Animals Registration	90.00	95.00	5.6%
Zoos Licence Grant (4 Year Licence)	221.00	276.00	24.9%
Zoos Licence Renewal (6 Year Licence)	291.00	369.00	26.8%

TRADING STANDARDS	2017/18	2018/19	
	Charge (Before VAT)	Charge (Before VAT)	Percentage Increase
FEES FOR THE TESTING AND VERIFICATION OF WEIGHING AND MEASURING INSTRUMENTS			
Standard Hourly Charge	66.40	67.30	1.4%
<u>Consultancy and Court Cases (per hour)</u>			
Officer (Grade 8)	54.56	55.26	1.3%
Officer (Grade 9)	60.05	60.78	1.2%
Officer (Grade 10)	66.40	67.30	1.4%
Officer (Grade 11)	74.56	75.67	1.5%
Officer (Grade 12)	79.96	83.79	4.8%

REGULATORY SERVICES	2017/18	2018/19	
	Charge (Before VAT)	Charge (Before VAT)	Percentage Increase
<u>STREET TRADING CONSENTS</u>			
INSIDE CITY WALLS			
Ice Cream	Fees assessed by individual location		
Food			
Non Food			
Artists	2,100.00	2,100.00	0.0%
Buskers 1 day	20.00	20.00	0.0%
Buskers 5 days	60.00	60.00	0.0%
Buskers 10 days	100.00	100.00	0.0%
Buskers 1 month	198.00	198.00	0.0%
OUTSIDE CITY WALLS			
Ice Cream	1,680.00	1,680.00	0.0%
Food	1,575.00	1,575.00	0.0%
Non Food	750.00	750.00	0.0%
OCCASIONAL			
Food	55.00	55.00	0.0%
Non Food	40.00	40.00	0.0%
Charities	15.00	15.00	0.0%
<u>CAR BOOT SALES (commercial)</u>			
Less than 15 traders	75.00	75.00	0.0%
15 - 50 traders	148.00	148.00	0.0%
50 - 100 traders	300.00	300.00	0.0%
More than 100 traders	410.00	410.00	0.0%
*if the operator is paying rent for using private land the fees are reduced by half			
Charities	15.00	15.00	0.0%
<u>SEX ESTABLISHMENTS</u>			
Grant sex shop/cinema - application fee	617.00	820.00	32.9%
Grant sex shop/cinema licence fee - grant	408.00	453.00	11.0%
Grant sexual entertainment venue - application fee	1,016.00	1,197.00	17.8%
Grant sex entertainment venue licence fee - grant	511.00	586.00	14.7%
Renewal sex shop/cinema	536.00	725.00	35.3%
Renewal sexual entertainment venue	924.00	1,142.00	23.6%
Trans/Vary sex shop/cinema	617.00	820.00	32.9%
Trans/Vary sexual entertainment venue	1,016.00	1,197.00	17.8%
<u>Scrap Metal Dealers - renewable 3 yearly</u>			
Grant / renewal site licence	460.00	468.00	1.7%
Grant / renewal site licence (2 sites)	612.00	645.00	5.4%
Grant / renewal site licence (3 sites)	770.00	788.00	2.3%
Grant / renewal collectors licence	255.00	316.00	23.9%
Variation	122.50	142.00	15.9%
Variation change of name / address	56.50	81.00	43.4%
<u>Miscellaneous</u>			
Hypnotism Licence	70.00	70.00	0.0%
Film Classification	85.00	85.00	0.0%
Replacement Charitable Collection Permit	10.50	10.50	0.0%
<u>Consultancy and Court Cases (per hour)</u>			
Officer (Grade 5)	39.74	45.25	13.9%
Officer (Grade 6)	42.76	48.35	13.1%
Officer (Grade 7)	45.50	51.16	12.4%
Officer (Grade 8)	49.20	54.95	11.7%
Officer (Grade 9)	54.58	60.48	10.8%
Officer (Grade 10)	60.93	66.99	9.9%

TAXI LICENSING	2017/18	2018/19	
	Charge £	Charge £	Percentage Increase %
PRIVATE HIRE LICENCE FEES			
Driver's licence - new application (3 Year Licence) application fee	263.00	139.00	6.1%
Driver's licence - new application (3 Year Licence) grant fee	n/a	140.00	
Knowledge test fee	18.00	25.00	38.9%
Driver's licence - renewal (3 Year Licence) and (applications over 3 months late charged at	174.00	199.00	14.4%
Vehicle licence - new application	179.00	182.00	1.7%
Vehicle licence - renewal (applications over 3 months late charged at new app fee)	141.00	158.00	12.1%
Vehicle licence - new plate renewal (change every 3 years)			
Vehicle inspection	47.00	52.00	10.6%
Vehicle re-test	31.00	35.00	12.9%
Change of vehicle fee	31.00	36.00	16.1%
Drivers badge - replacement charge	10.50	11.00	4.8%
Internal vehicle plate - replacement charge	8.00	9.00	12.5%
Vehicle plates - cost to new apps (includes internal plate)	39.00	46.00	17.9%
Vehicle plates - replacement charge (set of 2)	31.00	37.00	19.4%
Operator's licence - 1 - 10 vehicles (5 Year Licence)	134.00	163.00	21.6%
11 - 50 vehicles (5 year licence)	n/a	231.00	n/a
51 - 90 vehicles (5 year licence)	n/a	367.00	n/a
90+ vehicles (5 Year Licence)	423.00	435.00	2.8%
change of company name	26.00	27.00	3.8%
transfer of licence	26.00	27.00	3.8%
Vehicle licence transfer fee	26.00	27.00	3.8%
Duplicate licence fee	15.00	15.00	0.0%
Change of name or address	15.00	15.00	0.0%
Administration charge for various activities including bounced cheques	31.00	31.00	0.0%
HACKNEY CARRIAGE LICENCE FEES			
Driver's licence - new application (3 Year Licence) - application fee	263.00	139.00	6.1%
Driver's licence - new application (3 Year Licence) - grant fee	n/a	140.00	
Knowledge test (new charge)	18.00	25.00	38.9%
Driver's licence - renewal (3 Year Licence)	174.00	199.00	14.4%
Vehicle licence - new application	191.00	187.00	-2.1%
Vehicle licence - renewal (applications over 3 months late charged at new app fee)	153.00	168.00	9.8%
Horse drawn hackney carriage vehicle licence	131.00	153.00	16.8%
Vehicle inspection	47.00	52.00	10.6%
Vehicle re-test	31.00	35.00	12.9%
Change of vehicle fee	31.00	36.00	16.1%
Driver's badge - replacement charge	10.50	11.00	4.8%
Internal vehicle plate - replacement charge	8.00	9.00	12.5%
Vehicle plate - replacement charge	28.00	30.00	7.1%
Vehicle licence transfer fee	26.00	27.00	3.8%
Duplicate licence fee	15.00	15.00	0.0%
Change of name or address	15.00	15.00	0.0%
Administration charge for various activities including bounced cheques	31.00	31.00	0.0%

HOUSING - HRA		2017/18	2018/19	
		Current Charge	Charge	Percentage Increase
		£	£	%
Garages				
Normal	Council tenant	7.14	7.43	4.0%
	Private **	8.58	8.92	4.0%
High Demand	Council tenant	8.6	8.94	4.0%
	Private (local connection) **	20.08	20.88	4.0%
	Private (no local connection) **	25.25	26.26	4.0%
Low Demand	All tenures	3.61	3.75	4.0%
Cookers				
Charges are based on current prices plus a %. No new cookers are rented to tenants		2016/17 charge plus 2%	2017/18 charge plus 4%	

** Charges include VAT

HOUSING - GENERAL FUND		2017/18	2018/19	
		Current Charge	Charge	Increase
		£	£	£
House in Multiple Occupancy	Copy of Register	100.00	500.00	400.0%

COMMUNITY SAFETY		2017/18	2018/19	
		Current Charge	Charge	Increase
		£	£	£
Littering	Littering Fine	75.00	100.00	33.3%
	Littering Fine early repayment	50.00	75.00	50.0%
Stray Dogs	Reclaim Fee (Statutory fee)	60.00	60.00	no change
	Kennels Fees - Statute only allows the	9.75	9.75	no change

TRANSPORT	2017/18	1st April 2018	
	Charge (exc VAT) £	Proposed Charge (exc VAT) £	Percentage Increase %
Bus Stop			
Installation & removal of temporary bus stop	92.40	96.00	3.9%
Removal of permanent bus stop during work	174.00	179.00	2.9%
Damage to bus stop or unauthorised removal	174.00	179.00	2.9%
Road Safety			
Local Authority School Children: (cost per child)			
Pre Basic Cycle Training Level 1	3.40	4.00	17.6%
Basic Cycle Training Level 2	17.00	17.00	0.0%
Cycle Training Level 1 and 2 combined	20.00	20.00	0.0%
Advanced Cycle Training Level 3	8.50	8.50	0.0%
Adults (cost per person):			
1:1 adult training (first hour)	25.50	32.00	25.5%
1:1 adult training (90 minutes)	38.25	48.00	25.5%
Pedestrian Training:			
School training by class (2 x 1.5hr class)	76.50	100.00	30.7%
Replacement charge for YOzone card & ENCTS cards	7.50	10.00	33.3%
Highways Adoption Fees	8% of scheme costs	8% of scheme costs	n/a
Checking Developers Plans	£500 + 2% of estimated works	£500 + 2% of estimated works	n/a
White Bar Markings			
Application and Initial Placement	122.00	125.00	2.5%
Refreshment (to new and existing)	77.00	79.00	2.6%
Scaffold & Hoarding licences			
Initial consent and 1 month permission	89.00	91.00	2.2%
Each additional month or part thereof	58.00	59.00	1.7%
Late notification fee (less than 5 working days)	35.00	36.00	2.9%
Retrospective Application/Failure to comply with terms of licen	72.50	75.00	3.4%
Skip/ Container/ Building Materials licence for 14 days	47.50	49.00	3.2%
Late notification fee (less than 3 working days)	35.00	36.00	2.9%
Failure to comply with terms of licence	24.00	25.00	4.2%
Additional fee for dealing with unlicensed skips/ scaffolding	95.00	97.00	2.1%
Cherry picker licence - up to 1 day	70.00	72.00	2.9%
Cherry picker licence - more than 1 day	104.00	107.00	2.9%
Vehicle Crossing Fees (Assessment & Inspection Fee)	70.00	140.00	100.0%
Road Closures, dependant on scale (exc VAT and advertising costs) (Non-Commercial/ Charitable Events may be exempt or reduced, advertising costs will still be chargeable)	min 460 max 1,380	min 473 max 1,421	0.0%
Temporary Waiting Restrictions (exc cost of work, coning & advertising)	169.00	174.00	3.0%
Authority to contravene Moving Traffic Order	23.00	24.00	4.3%
Annual Parking Waiver	81.00	83.00	2.5%
Waiver to contravene a Parking Order			
1 day	23.00	24.00	4.3%
2 - 7 days	57.00	58.00	1.8%
8 - 14 days	112.00	115.00	2.7%
Brown Sign Applications			
1 sign	300.00	309.00	3.0%

TRANSPORT	2017/18	1st April 2018	
	Charge (exc VAT) £	Proposed Charge (exc VAT) £	Percentage Increase %
2 signs	500.00	515.00	3.0%
Charge per sign for each additional sign over 2 signs	100.00	103.00	3.0%
Additional charge for signs on the trunk road network	750.00	772.00	2.9%
Any additional works costs per sign	per application	per application	n/a
Noticeboard/structure (in highway)	250.00	257.00	2.8%
Licence to plant	250.00	257.00	2.8%
Approval consent for House Builder signs			
4 signs or less	353.00	363.00	2.8%
5 to 8 signs	412.00	424.00	2.9%
9 signs or more	469.00	483.00	3.0%
Pavement Cafe Licences	628.00	646.00	2.9%
General Solicitor Highway Enquiries			
Simple	81.00	83.00	2.5%
Medium	107.00	110.00	2.8%
Complex	214.00	220.00	2.8%
NRSWA (Set Nationally)			
Section 50 Licence Administration	300.00	300.00	0.0%
Special Permission Inspections	300.00	300.00	0.0%
Utility sample fee	50.00	50.00	0.0%
Investigatory/ Third Party	68.00	68.00	0.0%
Defect Inspections fee	47.50	47.50	0.0%
Special Permissions	£800 or 6%	£800 or 6%	n/a
Charges for Casualty Accident Data			
Statistic Only Requests - Upto 10 years Statistics			
Single Junction and/or upto 200m	38.50	42.00	9.1%
Single Junction and/or upto 600m	66.00	73.00	10.6%
Roundabouts upto 6 arms and 200m	93.50	103.00	10.2%
Roundabouts upto 6 arms and 1.6km	121.00	133.00	9.9%
Upto 16km e.g. A1237	187.00	206.00	10.2%
Upto 32km e.g. A64	242.00	266.00	9.9%
Whole of York	308.00	339.00	10.1%
Extra Plan by vehicle type pr pedestrian	38.50	42.00	9.1%
Standard Collision Requests			
Accident Request - upto 5 years			
Single Junction and/or upto 200m	77.00	85.00	10.4%
Single Junction and/or upto 600m	104.50	115.00	10.0%
Roundabouts upto 6 arms and 200m	143.00	157.00	9.8%
Roundabouts upto 6 arms and 1.6km	187.00	206.00	10.2%
Upto 16km e.g. A1237	242.00	266.00	9.9%
Upto 32km e.g. A64	308.00	339.00	10.1%
Whole of York	363.00	399.00	9.9%
Extra Plan by vehicle type or pedestrian	66.00	73.00	10.6%
Accident Request - upto 10 years			
Single Junction and/or upto 200m	121.00	133.00	9.9%
Single Junction and/or upto 600m	187.00	206.00	10.2%
Roundabouts upto 6 arms and 200m	242.00	266.00	9.9%
Roundabouts upto 6 arms and 1.6km	308.00	339.00	10.1%
Upto 16km e.g. A1237	363.00	399.00	9.9%
Upto 32km e.g. A64	429.00	472.00	10.0%
Whole of York	484.00	532.00	9.9%
Extra Plan by vehicle type pr pedestrian	121.00	133.00	9.9%
Traffic Survey Data			
Automatic traffic count data (ATC): per site for 1 years data broken down by date, direction and hour	100.00	110.00	10.0%
Classified count data	50% of the survey cost	50% of the survey cost	0.0%

WASTE SERVICES	2017/18	2018/19	
	Charge (inc VAT if applicable)	Proposed Charge (inc VAT if applicable)	Percentage Increase
	£	£	%
Charges for Replacement Bins/Containers			
180L	42.00	43.00	2.4%
240L	47.00	48.00	2.1%
360L	52.00	54.00	3.8%
Recycling box	6.00	6.00	0.0%
Hazel Court - Household Waste Recycling Centre			
Material Charges:			
Brick/rubble per bag	2.00	2.00	0.0%
Bonded Asbestos per sheet (less than 1.8m by 0.6m)	6.00	6.00	0.0%
Bonded Asbestos per sheet (more than 1.8m by 0.6m)	12.00	13.00	8.3%
Bonded Asbestos per bag (able to be lifted by one person)	6.00	6.00	0.0%
Plasterboard per bag	6.00	6.00	0.0%
Gas bottles up to 10Kg	7.50	8.00	6.7%
Gas bottles up to 20Kg	12.00	13.00	8.3%
Gas bottles large (over 20kg) or specialised	38.50	40.00	3.9%
Garden Waste (additional bin collection charge)	37.00	38.00	2.7%

DEVELOPMENT MANAGEMENT**Section A - Advice as to whether permission / consent is required**

Category	Current Fee 2017/18 £	Proposed 2018/19 £	Percentage Increase %
Householder Enquiry (ie house extensions, garages/sheds, etc)	66.00	68.00	3.0%
Other Commercial Development (to establish if "development" or whether "permitted development" or not	66.00	68.00	3.0%

Section B - Advice in relation to the prospects of permission / consent being granted**Category - Minor Development**

Proposed Development Type	Current Fee 2017/18 £	Proposed 2018/19 £	Percentage Increase %
Householder	66.00	68.00	3.0%
Advertisements	66.00	68.00	3.0%
Commercial (where no new floorspace)	98.00	100.00	2.0%
Change of Use	98.00	100.00	2.0%
Telecommunications	134.00	138.00	3.0%
Other (See note 3)	134.00	138.00	3.0%
Small Scale Commercial Development (Incl shops offices, other commercial uses)			
* Upto 500m2	340.00	350.00	2.9%
* 500-999m2	680.00	700.00	2.9%
Small Scale Residential			
* less than 4 Dwellings - fee per dwelling	134.00	138.00	3.0%
* 4-9 Dwellings	680.00	700.00	2.9%

Note 1 - All Fees are subject to VAT

Note 2 - With site visit and meeting if Development Management Officer considered to be required

Note 3 - Includes all other minor development proposals not falling within any of the categories such as variation or removal of condition, car parks and roads and certificates of lawfulness

Category - Major Developments

Proposed Development Type	Current Fee 2017/18 £	Proposed 2018/19 £	Percentage Increase %
Major new residential			
Student accommodation developments (10 or more students)			
* 10-25 Dwellings	1,190.00	1,220.00	2.5%
* 26-199 Dwellings - additional fee per dwelling	46.00	48.00	4.3%
Small Scale Commercial Development (inc shops, offices, other commercial uses)			
* 1,000 m2 to 3,000m2	2,050.00	2,110.00	2.9%

Note 1 - All Fees are subject to VAT

Note 2 - With site visit and meeting if Development Management Officer considered to be required

DEVELOPMENT MANAGEMENT**Category - Very Large Scale Developments**

Proposed Development Type	Current Fee 2017/18 £	Proposed 2018/19 £	Percentage Increase %
* Development of over 200 dwellings (A further bespoke charge may be required depending on complexity of the development & the range of issues that need to be addressed in the pre-app process)	Minimum fee of £46 per dwelling	Minimum fee of £48 per dwelling	2.2%
* Single use or mixed use developments involving sites of 1.5 ha or above * Development of over 3,000m2 of commercial floorspace * Planning briefs / Masterplans	Fee to be negotiated with a minimum fee of £3,690	Fee to be negotiated with a minimum fee of £3,800	2.5%

Note 1 - All Fees are subject to VAT

Note 4 - With multiple meetings including a lead officer together with Development Management case officer and other specialist officer inputs as required for a period of upto 12 months

Note 5 - The fee for pre-application advise expected to be not less than 20% of anticipated planning fee for a full application for the development proposal

Exemptions

Advice sought in the following categories is free

- * Where the enquiry is made by a Parish Council or Town Council
- * Where the development is for a specific accommodation/facilities for a registered disabled person
- * Advice on how to submit a planning application
- * Enquiries relating to Planning Enforcement

Section C - Section 106 Confirmation Letters

Category	Current Fee 2017/18 £	Proposed 2018/19 £	Percentage Increase %
Section 106 Confirmation Letter (Simple) (ie does not require site visit or document retrieval)	30.00	31.00	3.3%
Section 106 Confirmation Letter (Complex) (ie requires site visit and/or document retrieval)	100.00	105.00	5.0%

Section D - Building Control

Category	Current Fee 2017/18 £	Proposed 2018/19 £	Percentage Increase %
Letter of confirmation } Completion Certificates } Approvals }	46.00	48.00	4.3%
Note: vat is chargeable at the appropriate rate			

Section E - Commons Registration

Category	Current Fee 2017/18 £	Proposed 2018/19 £	Percentage Increase %
Processing & Registration under section 15A(1) of the Commons Act 2006	210.00	350.00	66.7%
Processing & Registration of the Highway Statement & Highway Declaration under section 31(6) of the Highways Act 1980 (Other fees are available on request)	210.00	310.00	47.6%

PARKING SERVICES		2017/18			2018/19		2018/19		2018/19	
		Standard Charge	Discounted Rate*	Premium Rate**	Standard Charge		Discounted Rate*		Premium Rate**	
Note : VAT is chargeable at the appropriate rate		Charge £	Charge £	Charge £	Proposed Charge £	% Increase %	Proposed Charge £	% Increase %	Proposed Charge £	% Increase %
Household Permit	-Standard *	98.50	49.25	133.00	99.95	1.5%	49.98	1.5%	136.00	2.3%
	Quarterly charge *	30.00	15.00	40.00	30.50	1.7%	15.25	1.7%	41.00	2.5%
	-Second	177.00			182.50	3.1%				
	Quarterly charge	55.50			57.25	3.2%				
	-Third	355.00			370.00	4.2%				
	Quarterly charge	97.00			100.00	3.1%				
	-Fourth	710.00			750.00	5.6%				
	Quarterly charge	190.00			200.00	5.3%				
Visitor	-Standard	1.20			1.25	4.2%				
	-Concessionary	0.30			0.30	0.0%				
Special Control Permit	-Standard *	110.00	55.00	137.50	112.00	1.8%	56.00	1.8%	140.00	1.8%
	Quarterly charge *	32.50	16.25	42.00	33.00	1.5%	16.50	1.5%	42.50	1.2%
Special Additional Permit	-Standard *	110.00	55.00	137.50	112.00	1.8%	56.00	1.8%	140.00	1.8%
	Quarterly charge	32.50	16.25	42.00	33.00	1.5%	16.50	1.5%	43.00	2.4%
Business Permit *		400.00	200.00		420.00	5.0%	210.00	5.0%		
Guest House Authorisation Card		400.00			420.00	5.0%				
Multiple Occupancy Permit *	-Standard *	160.00	80.00		165.00	3.1%	82.50	3.1%		
	Quarterly charge *	45.00			46.50	3.3%				
Landlord's Permit *		160.00	80.00		165.00	3.1%	82.50	3.1%		
Community Permit *		54.50	27.25		55.50	1.8%	27.75	1.8%		
Day use Community Permit	- Standard	1.30			1.35	3.8%				
	- Charities	0.30			0.30	0.0%				
Authorisation Card without Permit		3.00			3.10	3.3%				
Property Renovation Permit	- Quarterly *	117.00	58.50		120.00	2.6%	60.00	2.6%		
	- Daily *	3.10	1.55		3.20	3.2%	1.60	3.2%		
Commercial Permit *		580.00	290.00		600.00	3.4%	300.00	3.4%		
Commercial Permit (Specific Zone) *		150.00	75.00		155.00	3.3%	77.50	3.3%		
Penalty Charge Notice (PCN) Full (Higher/ Lower)		70.00/ 50.00			70.00/ 50.00	0.0%				
PCN Discounted (Higher/ Lower)		35.00/ 25.00			35.00/ 25.00	0.0%				
PCN Enforced (Higher/ Lower)		105.00/ 75.00			105.00/ 75.00	0.0%				
Vehicle Removal Charge		107.50			110.00	2.3%				
Vehicle Storage Charge	Daily	12.00			12.50	4.2%				
Vehicle Disposal Charge		25.00			26.00	4.0%				
Admin Fee		50.00			50.00	0.0%				
Replacement Permit Respark	First Replacement									
	Second Replacement	177.00			182.50	3.1%				
Regular User Discount Permit (2 Year)		20.00			20.00	0.0%				

* discount available for vehicles 2.7m or less in length or a low emission vehicle within Ultra Low Emission Definition

** additional charge for high emission vehicles within DVLA band J,K,L or M.

PARKING SERVICES - SCHEDULE OF SEASON TICKET CHARGES

		2017/18	2018/19	
		Current	Proposed	Increase
		Charge	Charge	
		£	£	%
Annual Season Ticket*	Standard Car Parks	1,125.00	1,160.00	3.1%
	Discount vehicle rate	562.50	580.00	3.1%
Monthly Season Tickets				
Standard Stay car parks	Standard rate	150.00	155.00	3.3%
	Discount vehicle rate	75.00	77.50	3.3%
Weekly Season Tickets				
Preferential phone rate only				
Standard Stay car parks	Standard rate	61.50	63.50	3.3%
	Discount vehicle rate	30.75	31.75	3.3%
Contract Parking (Bulk) *				
Foss Bank - Annual		550.00	570.00	3.6%
Hotel Scratchcards				
Standard Stay Car Parks	Per Book of 30	246.00	255.00	3.7%
Contract Parking (City Centre Resident 24 hour)				
Foss Bank - Monthly	Standard rate	79.00	81.50	3.2%
	Discount vehicle rate	36.00	37.00	2.8%
Foss Bank - Annual	Standard rate	820.00	845.00	3.0%
	Discount vehicle rate	380.00	390.00	2.6%
Surface - Monthly	Standard rate	73.00	75.00	2.7%
	Discount vehicle rate	31.00	32.00	3.2%
Surface - Annual	Standard rate	810.00	835.00	3.1%
	Discount vehicle rate	337.00	347.50	3.1%

Note

Standard Car Parks exclude use of Castle, Bootham Row, Piccadilly and Esplanade

* discount available for vehicles 2.7m or less in length or a low emission vehicle within Ultra Low Emission Definition

* ie 10 or more purchased at the same time

Proposed Parking Tariffs from April 2018

a) Off-Street Car Parks

Note			Daytime Charges (0800 - 18:00)							Evening Note 4	24 hour	
			< 30 Mins	Upto 1 hr	1-2 Hours	2-3 Hours	3-4 Hours	4-5 Hours	Over 5 hours	6.00pm to 08.00am	Charge using mobile phone	
Short Stay	1	Discounted	Mob Phone	N/A	£2.30	£4.60	£6.90	£9.20	£11.50	£2.30 per addnl hour	free	
		Standard		N/A	£2.60	£5.20	£7.80	£10.40	£13.00	£2.60 per addnl hour	£2.00	
		Standard		N/A	£2.50	£5.00	£7.50	£10.00	£12.50	£2.50 per addnl hour	£2.00	
Standard Stay	2/4	Discounted	Mob Phone	N/A	£1.70	£3.40	£5.10	£6.80	£8.50	£13.00	free	£13.00
		Standard		N/A	£2.30	£4.60	£6.90	£9.20	£11.50	£13.00	£2.00	£13.00
		Standard		N/A	£2.20	£4.40	£6.60	£8.80	£11.00	£13.00	£2.00	£13.00
Foss Bank	3			£1.40 per hour								
			Mob Phone	£1.30 per hour								
Bishopthorpe Rd	3			N/A	£0.40	£0.80	£1.50	Maximum stay of 3 hours			free	
East Parade	3			£0.30	£0.70	£4.60	£6.90	Parking for over 2 hours is only allowed after 3pm.			free	
Moor Lane	5	Discounted		£3.50 all day charge							n/a	
		Standard		£4.00 all day charge							n/a	

Note 1 - Bootham Row, Castle, Esplanade and Piccadilly (Piccadilly closes at 6:30pm and so there is no evening charge)

Note 2 - Marygate, Monk Bar, Nunnery Lane, St. Georges, Union Terrace. The £13.00 (over 5 hours fee) allows parking until 8am the next day.

Note 3 - There are no discounts or evening charges at Foss Bank, Bishopthorpe Road or East Parade. The charges only apply until 18:00 except at Foss Bank where they apply until 20:00.

Note 4 - Evening parking charges for Regular Discount User Permit Holders on Fridays and Saturdays in Standard Stay Car Parks to commence at 5pm

Note 5 - Flat charge to cover full day

b) Coach Parking

	Summer (1/4/18 - 31/10/18)			Winter (1/11/18 - 31/3/19)	
	<1 Hour	<3 Hours	Over 3 hrs	<1 Hour	Over 1 Hr
Union Terrace and St George's Field Coach Parks	£6.50	£11.00	£13.00	£6.50	£9.50

c) On Street Parking

				Daytime Charges				Evening	Streets Included
				< 30mins	<1 Hour	1-2 Hours	2-3 Hours	6.00pm to 08.00am	
Standard Rate	6	Discounted		N/A	£2.30	£4.60	£6.90	free	Carmelite St, Lawrence Street, Lord Mayor's Walk, North Street, Palmer Lane, Piccadilly, Skeldergate, Tanner's Moat, Toft Green, Walmgate.
		Standard		N/A	£2.30	£4.60	£6.90	£2.00	
Micklegate	6 & 7	Discounted		£0.40	£0.80	£4.60	£6.90	free	
	6 & 7	Standard		£0.40	£0.80	£4.60	£6.90	£2.00	
Priory Street	6 & 7	Discounted		N/A	£2.30	£4.60	£6.90	free	
	6 & 7	Standard		N/A	£2.30	£4.60	£6.90	£2.00	
City Centre Footstreets		Discounted						free	Fossgate, Piccadilly, St Deny's Road, The Stonebow, Walmgate.
		Standard						£2.00	
Respark Shared Use Areas		Non-Permit Holders		N/A	£1.00			Charges Apply 8am - 8pm	Bishophill Senior, Clifton, Cromwell Rd, Cumberland St, Garden St, George St, Huntington Rd, Lawrence St, Lead Mill Lane, Lower Friargate, Lower Priory St, Lowther St, Margaret St, Marygate, Park Grove, Penleys Grove St, Queen Anne's Rd, The Crescent, The Mount, Townend St, Union Terrace, Walmgate.

Note 6 - There is no discount available on-street except that parking after 6pm is free at discounted rate. Parking for over 2 Hours is only allowed after 3pm

Note 7 - No charges on Sundays between 8am and 1pm in Micklegate and Priory Street

d) On-Street Parking for large vehicles

	< 2 Hours	2- 5 Hours	5-12 Hrs	Market Traders with Permit
Foss Islands Road	£4.20	£6.30	£10.50	£2.20

Adult Social Care fees and charges

	2017/18	2018/19		Explanation
	Charge	Proposed Charge	Percentage Change	
	£	£	%	
Residential Care				
Older Person's Homes (per week)	649.07	681.52	5.0%	Customers are financially assessed and only pay what they can afford. The proposed increase would increase the charge to approx 18 self funders in our homes.
22 The Avenue (Mental Health residential care) - emergency respite (per week)	626.35	662.07	5.7%	Customers attending 22 The Avenue on an emergency basis are financially assessed under fairer charging and only pay as much as they can afford.
22 The Avenue (Mental Health residential care) - planned placement (per week)	195.23	192.50	-1.4%	Customers residing at 22 The Avenue on a planned basis are able to claim Housing Benefit. The major element of the weekly charge is rent which has decreased in line with the Council Tenant's Rent decrease resulting in a small fall in the weekly charge.
Community Support				
Home care support in CYC Extra care schemes (per hr)	16.81	17.31	3.0%	Inflated in line with likely external home care fee increases
Home care support provided by the overnight team (per hr)	25.21	25.97	3.0%	Inflated in line with likely external home care fee increases. The principle is that overnight care is charged at one and a half times the day rate.
Day Support provided in CYC small day services (per hr)	14.35	14.78	3.0%	Inflated to match external support hourly cost for learning disability customers. This keeps the charge in line with the budget we offer to customers organising their own care. The increase would only affect full fee payers.

Adult Social Care fees and charges

	2017/18	2018/19		Explanation
	Charge	Proposed Charge	Percentage Change	
Income Services Team charges				
Full fee payers administration charge (per annum)	283.90	500.00	76.1%	<p>If a self funder makes the decision that they want the council to help them organise care at home, the Care Act allows the council to charge an arrangement fee to cover the cost incurred in arranging care, but the council must not make a profit. This can include the cost of negotiating and/or managing the care contract with a provider and covers any administration costs incurred. The Care Act Statutory Guidance suggests it may be appropriate to charge a flat rate fee for arranging non-residential care, in order to help ensure people have clarity about the costs they will face if they ask the council to arrange their care. York has a high proportion of self-funders, with 70% of those receiving homecare in the city paying for their own services. CYC have historically managed the care for a portion of self-funders for a yearly charge which currently stands at £283.90. An opportunity exists to revisit the charge to ensure CYC maximises the income generated from offering a management service alongside preferential rates.</p> <p>It is estimated by KPMG during their work at CYC that an appropriate fee for arranging care would be £500, this was based upon a selection of charges benchmarked from other local authorities.</p>
Additional reconciliation charge for full fee payers (per reconciliation)	6.15	6.25	1.6%	Income Services can charge full fee payers for any reconciliations of their account they request above the annual reconciliation.
Deferred Payment Agreements additional costs:				
Deferred Payment set up charge (one off)	697.60	700.50	0.4%	<p>The Care Act permits customers to defer payment for the cost of their care. The local authority can recover their costs for setting up this arrangement. The element of the charge relating to Income Services has been increased in line with the proposed local authority pay increase for 2018/19. Additional legal disbursements will be charged in line with charges levied by the Land Registry for registration of charge, which is dependent upon whether the property is already registered, and the valuation of the property. These costs will be passed to the customer at the rate charged.</p>

Adult Social Care fees and charges

	2017/18	2018/19		Explanation
	Charge	Proposed Charge	Percentage Change	
Monthly invoice generation and distribution	1.00	1.00	0.0%	The Care Act allows local authorities to recover the costs of activities associated with administering deferred payments.
Monthly management, monitoring and application of interest	2.50	2.50	0.0%	
Half yearly statement of account	2.50	2.50	0.0%	
Legal team costs de-registration and file closure	30.00	30.00	0.0%	
Final account preparation and account closure	8.00	8.00	0.0%	
Revaluation Costs	subject to actual cost of valuation			
Court of Protection				
Appointment of Deputy Fee	745.00	745.00	0.0%	Cost of administering financial affairs for those who the authority has responsibility for under the Court of Protection. The rates are set by the Office of the Public Guardian and the authority cannot charge more than these rates. Updated rates for 2018/19 have not yet been received.
Year 1 Management Fee	775.00	775.00	0.0%	
Year 2 Management Fee	650.00	650.00	0.0%	
Year 3 Management Fee	650.00	650.00	0.0%	
Property Sale Fee	300.00	300.00	0.0%	
Estate Administration Fee	353.50	353.50	0.0%	
Annual Report Fee	216.00	216.00	0.0%	
Assets less than £16k	4%	3.5%	0.0%	
Basic HMRC Return	70.00	70.00	0.0%	
Complex HMRC Return	140.00	140.00	0.0%	
Travel rates ph	40.00	40.00	0.0%	
Corporate Appointee Charge	3.5% or £5.5 per week	3.5% or £5.5 per week	0.0%	

Burnholme Sports Facilities	2017/18	2018/19	
	Charge (excl VAT)	Proposed Charge (excl VAT)*	% Increase
	£	£	£
Sports hall - Full hall	27.50	28.50	3.6%
Sports hall - 1 /2 hall	14.00	14.50	3.6%
School hall	27.50	28.50	3.6%
Gym	16.50	17.00	3.0%
3G 1/3	22.00	23.00	4.5%
Full 3G	54.00	56.50	4.6%
Grass pitches @ Burnholme (90 minutes)	8.50	9.00	5.9%
Training Room	16.50	17.00	3.0%
Tennis	7.50	8.00	6.7%
Knavesmire, Hempland Lane, Victoria Park and Chesney Field pitches			
- seasonal pitch hire	95.00	96.00	1.1%
- changing rooms per match	16.50	17.00	3.0%

BUDGET 2017/18 £'000	Expenditure:	BUDGET 2018/19 £'000
	Repairs & Maintenance	
4,963	Jobs General	4,980
1,023	Projects	1,076
30	Estate Improvements	30
51	Decoration Allowance	50
30	Rechargeable Repairs	30
6,097		6,166
	General Management	
61	Tenant Support and Information	51
2,347	Recharges	2,275
105	AD Housing and Public Protection	107
2,167	Landlord Services	2,318
1,229	Building Services	1,171
30	HRA Training	30
5,939		5,952
	Special Services	
772	Sheltered Housing	612
78	Energy Costs	78
546	Temporary Accommodation	528
379	Grounds Maintenance	333
252	Caretaking Costs	252
20	Cleaning Costs	21
41	Lifts	41
6	Contribution to Energy Efficiency	6
2,094		1,871
	Rents etc.	
43	Rent & Rates	43
205	Insurance	205
1	RTB Legal Fees	1
249		249
	Provision for Bad and Doubtful Debts	
424	Council Housing	424
424		424
	Capital Charges	
8,293	Depreciation	8,099
50	Debt Management	50
8,343		8,149
23,146	TOTAL EXPENDITURE	22,811

BUDGET 2017/18		BUDGET 2018/19
	Income:	
	Rents	
-31,357	Council Housing	-30,757
-298	Temporary Accommodation	-295
<u>-31,655</u>		<u>-31,052</u>
	Non Dwellings Rents	
-322	Council Garages	-332
-17	General Rents	-17
<u>-339</u>		<u>-349</u>
	Charges for Services and Facilities	
-83	Fees & Charges - Council Housing	-81
-85	- Legal Fees	-84
-671	- Sheltered Housing	-671
-2	- Temporary Accommodation	-2
-18	Cookers	-14
-90	Leaseholder Admin Charge	-90
<u>-949</u>		<u>-942</u>
	Contribution Towards Expenditure	
-12	- Sheltered Housing	-12
-25	- Rechargeable Repairs	-25
<u>-37</u>		<u>-37</u>
	Supporting People Income	
-339	- Temporary Accommodation	-339
<u>-339</u>		<u>-339</u>
<u>-33,319</u>	TOTAL INCOME	<u>-32,719</u>
<u>-10,173</u>	NET COST OF SERVICE	<u>-9,908</u>
4,575	Loan Interest Paid	4,575
-1	Mortgage Interest	-1
-265	Revenue Cash Interest Received	-265
1,064	Capital Expenditure financed from Revenue	1,314
-446	Contribution to/(from) MRR	0
0	Contribution to/(from) Earmarked Reserves	10,000
<u>-5,246</u>	(SURPLUS) / DEFICIT IN YEAR	<u>5,715</u>
-22,640	(SURPLUS) / DEFICIT BROUGHT FORWARD	-27,886
-5,246	(SURPLUS) / DEFICIT IN YEAR	5,715
-27,886	(SURPLUS) / DEFICIT CARRIED FORWARD	-22,171

Annex 6 2018/19 HRA Savings Proposals

Ref	Proposal Description	2018/19 Impact £'000		19/20 Impact £'000	Total Saving Impact £'000
		Agreed last year	New Savings		
HRA1	Housing Repairs Reduced expenditure on subcontractors as a result of improved productivity within CYC workforce - linked to effective mobile working.		50		50
HRA2	Landlord Services Restructure Savings arising from revised structure across Landlord Services focussing on new area based provision	49			49
HRA3	Housing Registrations Reduce Housing registrations budget by £50k over two years	25			25
HRA4	OAP Garden Scheme Saving attributed to new Garden Assistance Scheme agreed by Executive Member for Housing and Community Safety (20th Nov 2017)		46		46
HRA5	General Management Cash limit of central establishment recharges (to reflect savings made in corporate services) and other non essential supplies and services.		25	25	50
HRA6	Ordnance Lane Saving on maintenance in line with reprovision of service	25			25
HRA7	Housing Management Reduce number of "Streets Ahead" publications from 3 to 2 per year.		10		10
HRA7	Housing Management Delete unfilled Mediation Co-ordinator post. This post has remained vacant for 2 years and the duties and responsibilities are covered within the Housing Landlord Services structure.	0	19		19
Total		99	150	25	274

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Annex 7 - Better Decision Making Tool for Financial Strategy 2018/19 to 2022/23



'Better Decision Making' Tool
Informing our approach to sustainability, resilience and fairness

The 'Better Decision Making' tool has been designed to help you consider the impact of your proposal on the health and wellbeing of communities, the environment, and local economy. It draws upon the priorities set out in our Council Plan and will help us to provide inclusive and discrimination-free services by considering the equalities and human rights implications of the decisions we make. The purpose of this tool is to avoid decisions being made in isolation, and to encourage evidence-based decision making that carefully balances social, economic and environmental factors, helping us to become a more responsive and resilient organisation.

Please complete all fields. If you wish to enter multiple paragraphs in any of the boxes, hold down 'Alt' before hitting 'Enter'.

Introduction

Service submitting the proposal:

Corporate Finance

Name of person completing the assessment:

Sarah Kirby

Job title:

Principal Accountant

Directorate:

Customer & Corporate Services

Date Completed:

29/01/2018

Date Approved (form to be checked by head of service):

29/01/2018

Section 1: What is the proposal?

1.1	Name of the service, project, programme, policy or strategy being assessed?
	Financial Strategy 2018/19 to 2022/23 and Capital Strategy 2018/19 to 2022/23.
1.2	What are the main aims of the proposal?
	The Strategy sets out the revenue and capital expenditure plans for the period 2018/19 to 2022/23. The revenue budget includes proposals for 2018/19 and sets out savings/ efficiencies of almost £5m in order to set a legally balanced budget.
1.3	What are the key outcomes?
	<ol style="list-style-type: none">1. Confirm the council tax increase for 2018/192. Identify revenue savings for 2018/193. Ensure a financially prudent budget is set, addressing known budget pressures , including pay awards and inflationary pressures4. Confirm changes (increase/ decrease) to fees and charges5. Confirm the HRA budget and HRA rents6. Confirm capital expenditure plans for 2018/19 to 2022/23

Section 2: Evidence

2.1	What data / evidence is available to support the proposal and understand its likely impact? (e.g. hate crime figures, obesity levels, recycling statistics)
	There were 828 respondents to the budget consultation referred to below in 2.2. Individual savings proposals are too numerous to comment on but are based on service specific customer data. Each individual saving proposal will undergo an assessment of the impact.

2.2	<p>What public / stakeholder consultation has been undertaken and what were the findings?</p> <p>The budget consultation was launched on 13 October 2017 and closed on 1 December 2017 for paper surveys and 15 December 2017 for online surveys. Further details are included in the main body of the budget report. A statutory consultation with all maintained schools and academies was launched on 20 November and closed on 12 January. All views and data gathered during the consultation will be published on the York open data platform www.yorkopendata.org.</p>
2.3	<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 different project or policy?)</p> <p>The Capital Strategy 2018/19 to 2022/23 report proposals will produce a combined impact with the Financial Strategy and therefore both are covered within this assessment.</p>

Section 3: Impact on One Planet principles

Please summarise any potential positive and negative impacts that may arise from your proposal on residents or staff.
 This section relates to the impact of your proposal on the ten 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?	Positive	The council has a statutory duty to consult businesses on the council's budget. This was undertaken as part of the consultation referred to in section 2.2. As identified several times in the Financial Strategy report the council's priority is to support economic growth to increase business rates and create jobs. The Capital Strategy includes major capital schemes that will benefit the economy.
3.2	Provide additional employment or training opportunities in the city?	Positive	As above.

3.3	Help improve the lives of individuals from disadvantaged backgrounds or underrepresented groups?
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Mixed	The budget process adopted a risk based approach, and in particular prioritised statutory services to vulnerable adults and children, and key frontline services. Whilst all areas were asked in 2015 to consider the long term implications of up to a 30% reduction in their net spend over a 4 year period, assessment of options, risks, and links with priorities took place in formulating the final proposals.
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Health & Happiness

Does your proposal?
3.4 Improve the physical health or emotional wellbeing of residents or staff?
3.5 Help reduce health inequalities?
3.6 Encourage residents to be more responsible for their own health?

Impact	What are the impacts and how do you know?
Neutral	Saving proposals are included in relation to some public health services but it is expected that these will be achieved through re tender of the service or new operating models and are not likely to have a negative impact.
Positive	The changes within a new operating model for adult social care seek to reduce people’s dependency on social care support through the provision of information and advice and earlier intervention to support, maintain or regain independence for those who are able. These changes are designed improve outcomes for customers, including those with one or more protected characteristic (particularly Age and Disability). For those who require ongoing support, the offer will be made more flexible and tailored to their needs.
Neutral	As stated in 3.4 saving proposals are included in relation to some public health services which includes substance abuse but it is expected that these will be achieved through re tender of the service or new operating models and are not likely to have a negative impact.

3.7	Reduce crime or fear of crime?	Neutral	There are no specific proposals included within the Financial Strategy which are likely to impact in this area.
3.8	Help to give children and young people a good start in life?	Positive	By reviewing and reshaping services for young people, particularly those in relation to prevention and early intervention, the route into identifying support will be made simpler for customers and the services more tailored to the needs to each community. This will have a positive impact on young people and promote equality of opportunity for those growing up in the city.

Culture & Community

Does your proposal?		Impact	What are the impacts and how do you know?
3.9	Help bring communities together?	Neutral	There are no specific proposals included within the Financial Strategy which are likely to impact in this area.
3.10	Improve access to services for residents, especially those most in need?	Positive	As already mentioned, the changes within a new operating model for adult social care seek to reduce people's dependency on social care support through the provision of information and advice and earlier intervention to support, maintain or regain independence for those who are able.
3.11	Improve the cultural offerings of York?	Neutral	Although there is a saving proposal to reduce revenue grant support to Yorkshire Museum Trust (YMT) it is being replaced by additional capital investment to ensure a continued level of support over the next two years. This package of support will enable YMT to improve its visitor facilities and product and, in consequence, income streams and longer-term self-sufficiency. The Strategy recommendations include funding for a Cultural Strategy to support the city's cultural sector.
3.12	Encourage residents to be more socially responsible?	Neutral	There are no specific proposals included within the Financial Strategy which are likely to impact in this area.

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 and / or reduce the amount of energy we pay for? E.g. through the use of low or zero carbon sources of energy?	Positive	The Financial Strategy does not include any specific proposals to reduce energy usage or cost, but there are likely to be a positive impact as a result of individual savings requirements to achieve efficiencies, particularly in relation to building related savings targets. For eg The savings target to maximise income from West Offices (by reducing the council usage) will provide some reduction in the amount of energy we use. Capital schemes such as the older persons accommodation review or The Guildhall would be assessed on an individual basis. The Capital Scheme includes an energy efficiency fund, the purpose of which is to seek to compliment existing/new capital schemes, to enable the schemes deliver higher environmental benefits than may otherwise be the case in other projects such as the building of homes, or within some of other projects such as the Guildhall or York Central.
3.14	Minimise the amount of water we use and/or reduce the amount of	Positive	As above

Zero Waste

Does your proposal?		Impact	What are the impacts and how do you know?
3.15	Reduce waste and the amount of money we pay to dispose of waste by maximising reuse and/or recycling of materials?	Neutral	The Financial Strategy does not include any specific proposals to reduce waste. However, there are no funding reductions proposed for Waste and Recycling Services, which includes the provision of customer information and education on recycling.

Sustainable Transport

Does your proposal?		Impact	What are the impacts and how do you know?
3.16	Encourage the use of sustainable transport, such as walking, cycling, ultra low emission vehicles and public transport?	Positive	The Capital Strategy includes increased investment in sustainable transport schemes such as an electric bus scheme and the national cycle network.
3.17	Help improve the quality of the air we breathe?	Unsure	As mentioned above there are sustainable transport schemes which will have positive benefits on air quality but the overall impact on air quality is unknown as this will depend on other factors such as potential increase in traffic or congestion.

Sustainable Materials

Does your proposal?		Impact	What are the impacts and how do you know?
3.18	Minimise the environmental impact of the goods and services used?	Unsure	There are no specific proposals included within the Financial Strategy which are likely to increase the use of non renewable resources. The Capital Strategy schemes may impact this area but will require assessment on an individual basis.

Local and Sustainable Food

Does your proposal?		Impact	What are the impacts and how do you know?
3.19	Maximise opportunities to support local and sustainable food initiatives?	Neutral	There are no specific proposals included within the Financial Strategy which are likely to impact in this area.

Land Use and Wildlife

Does your proposal?		Impact	What are the impacts and how do you know?
3.20	Maximise opportunities to conserve or enhance the natural environment?	Unsure	There are no specific proposals included within the Financial Strategy which are likely to impact in this area. However capital schemes are likely to have an impact in this area and would be assessed on an individual basis.
3.21	Improve the quality of the built environment?	Unsure	There are no specific proposals included within the Financial Strategy which are likely to impact in this area. However capital schemes are likely to have an impact in this area and would be assessed on an individual basis.
3.22	Preserve the character and setting of the historic city of York?	Unsure	There are no specific proposals included within the Financial Strategy which are likely to impact in this area. However capital schemes are likely to have an impact in this area and would be assessed on an individual basis.
3.23	Enable residents to enjoy public spaces?	Unsure	There are no specific proposals included within the Financial Strategy which are likely to impact in this area. However capital schemes are likely to have an impact in this area and would be assessed on an individual basis.

3.24	Additional space to comment on the impacts

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?
4.1	Age	Mixed	<p>Older People: A redesign of how the Council operates within Adult Social Care could impact on customers and staff. This should have a positive impact as resources are targeted to priority areas. As the project progresses a specific assessment will continue to take place. Continued Investment in Adult Social Care, Telecare, Extra Care Sheltered Housing and Disability Support should have a positive impact on older people. Any increase in fees and charges could adversely impact on older people and their standard of living. Financial assessments are completed for Adult Social Care customers to ensure that people only contribute an amount they can afford.</p> <p>Younger People: A new operating model for Prevention and Early Intervention could impact on customers and staff. This should have a positive impact as resources are targeted to priority areas. Any reduction in the level of home to school transport could have a negative impact on young people. As these projects progress assessments will continue to take place.</p>

4.2	Disability	Mixed	<p>A redesign of how the Council operates within Adult Social Care could impact on customers and staff. This should have a positive impact as resources are targeted to priority areas. As the project progresses a specific assessment will continue to take place.</p> <p>Continued Investment in Adult Social Care, Telecare, Extra Care Sheltered Housing and Disability Support should have a positive impact on disabled people.</p> <p>Any increase in fees and charges could adversely impact on disabled people and their standard of living. Financial assessments are completed for Adult Social Care customers to ensure that people only contribute an amount they can afford.</p>
4.3	Gender	Mixed	<p>Customer data shows that a higher proportion of females use social services, and that a higher proportion of carers are also female. Some of these carers will also be council staff. Therefore proposed investment will have a positive impact. However, this also means that females will be more adversely affected by any savings in these areas. The impacts identified under 'older people' will apply.</p>
4.4	Gender Reassignment	Neutral	It is not expected that there will be any impact
4.5	Marriage and civil partnership	Neutral	It is not expected that there will be any impact
4.6	Pregnancy and maternity	Neutral	It is not expected that there will be any impact
4.7	Race	Neutral	It is not expected that there will be any impact
4.8	Religion or belief	Neutral	It is not expected that there will be any impact
4.9	Sexual orientation	Neutral	It is not expected that there will be any impact

4.10	Carer	Mixed	A redesign of how the Council operates within Adult Social Care could impact on customers and staff. This should have a positive impact as resources are targeted to priority areas. As the project progresses a specific assessment will continue to take place. Continued Investment in Adult Social Care, Telecare, Extra Care Sheltered Housing and Disability Support should have a positive impact on disabled people. Any increase in fees and charges could adversely impact on disabled people and their standard of living. Financial assessments are completed for Adult Social Care customers to ensure that people only contribute an amount they can afford.
4.11	Lowest income groups	Mixed	Although there are increases in council fees and charges, the Financial Strategy includes a provision for a York Living Wage to Council staff and includes a reduction in social housing rents
4.12	Veterans, Armed forces community	Neutral	It is not expected that there will be any impact

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	It is not expected that there will be any impact
4.14	Right not to be subjected to torture, degrading treatment or punishment	Neutral	It is not expected that there will be any impact
4.15	Right to a fair and public hearing	Neutral	It is not expected that there will be any impact

4.16	Right to respect for private and family life, home and correspondence	Neutral	It is not expected that there will be any impact
4.17	Freedom of expression	Neutral	It is not expected that there will be any impact
4.18	Right not to be subject to discrimination	Neutral	It is not expected that there will be any impact
4.19	Other Rights	Neutral	It is not expected that there will be any impact

4.20	Additional space to comment on the impacts		

Section 5: Planning for Improvement

What have you changed in order 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)

5.1

Due to the financial constraints of reduced government funding, there is no option but to implement savings or efficiencies. The financial strategy will impact on all residents and has carefully considered the local demand for services whilst also ensuring the budget set is prudent, protects vulnerable people and has capacity to invest. The strategy could have a negative impact on individuals from disadvantaged backgrounds or under represented groups. This negative impact can be mitigated by investment targeted to these same communities. The key approaches to achieving savings whilst avoiding impacts on communities of identity include;

- Ensuring that savings are made from back office functions and universal services
- Protecting statutory services and other key services for vulnerable residents
- Increasing community involvement in service redesign and delivery
- Making services self-financing wherever practicable, including external trading
- Maximising the return from externalised service provision
- Redesign of existing services and external contracts
- Placing a focus on prevention and ceasing service provision only where this is least impact
- Streamlining services to provide focussed support and reduce areas of duplication
- Supporting carers
- Integrated working with health
- Focussing growth where it is expected to have a positive effect on older or disabled people and their carers

Specific positive impacts within The Financial Strategy include investment in key priority front line services, (including growth in adult and children's services), growth to fund a Living Wage for Council staff and a reduction in social housing rent.

5.2	What have you changed in order to improve the impact of the proposal on equalities and human rights? (please consider the questions you marked either mixed or negative, as well as any additional positive impacts that may be achievable)
	As above

5.3	Going forward, what further evidence or consultation is needed to ensure the proposal delivers its intended benefits? e.g. consultation with specific vulnerable groups, additional data)
	Going forward, as individual capital schemes or saving proposals progress, assessments will be undertaken to assess the impact of specific schemes where mixed or negative impact is recorded.

5.4 **Please record any outstanding actions needed to maximise benefits or minimise negative impacts in relation to this proposal?** (Expand / insert more rows if needed)

Action
See response to 5.3

Person(s)	Due date
Capital Scheme Managers	Ongoing

In the One Planet / Equalities section of your Executive report, please briefly summarise the changes you have made (or intend to make) in order to improve the social, economic and environmental impact of your proposal.

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RISK ASSESSMENT

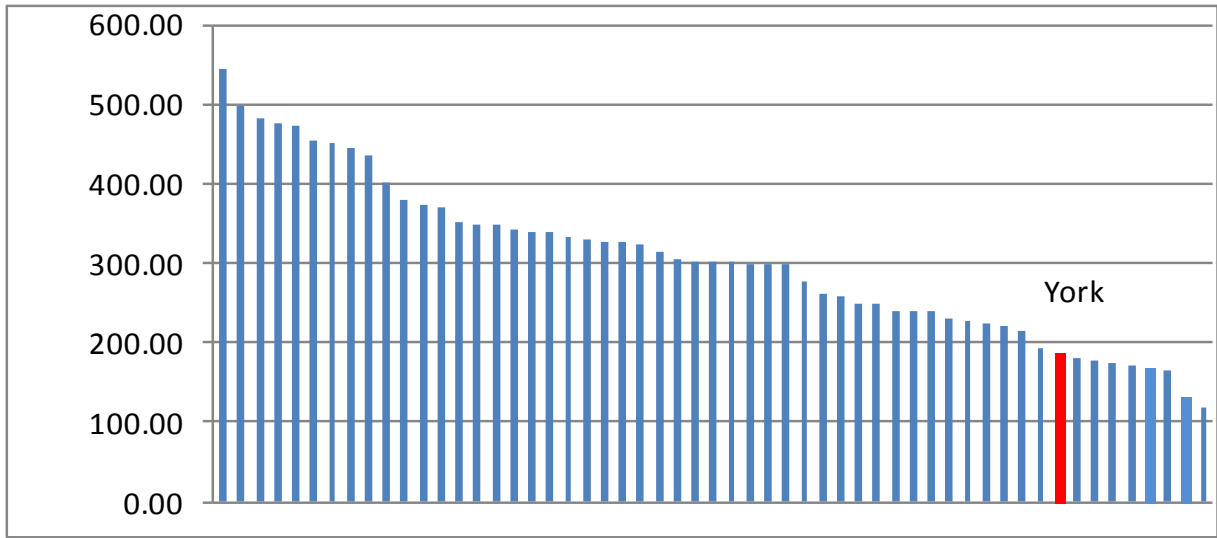
Risk	Likelihood	Seriousness	How we will manage the risk
Budgets across the Council are overspent due to external pressures eg increased clients in adult care	Medium	High	<ul style="list-style-type: none"> • regular monitoring with corrective action
Budgets across the Council are overspent due to mitigations not being delivered as outlined in monitoring reports	Medium	High	<ul style="list-style-type: none"> • regular monitoring with corrective action
All Savings are not achieved, or delayed, due to reduced management and support services capacity to deliver	High	High	<ul style="list-style-type: none"> • regular budget monitoring focused on high risk areas to identify issues at an early stage • where savings are not achieved ensure alternative savings identified • regular monitoring with corrective action at DMTs • effective project management
Delays in implementing new operating models mean that savings are not delivered in the timescales forecast	High	Medium	<ul style="list-style-type: none"> • regular monitoring with corrective action at relevant DMTs and CMT • effective project management
Underperformance of Better Care Fund schemes results in additional costs for Adult Social Care.	High	High	<ul style="list-style-type: none"> • regular monitoring with corrective action • effective project management

Continued pressure on income budgets	Medium	Medium	<ul style="list-style-type: none"> • regular budget monitoring to identify trends
Potential for reserves to go below minimum levels due to budgets being exceeded	Low	High	<ul style="list-style-type: none"> • ensure minimum levels are maintained • robust financial management/prudent budget setting
Costs of redundancy/retirement as a result of service changes exceed budget	Low	Medium	<ul style="list-style-type: none"> • provision made for costs of retirement/redundancy in budgets
Capital costs may have to be charged to revenue, should a scheme not progress to completion.	Medium	High	<ul style="list-style-type: none"> • ensure adequate levels of reserves maintained • effective project management

Background Information

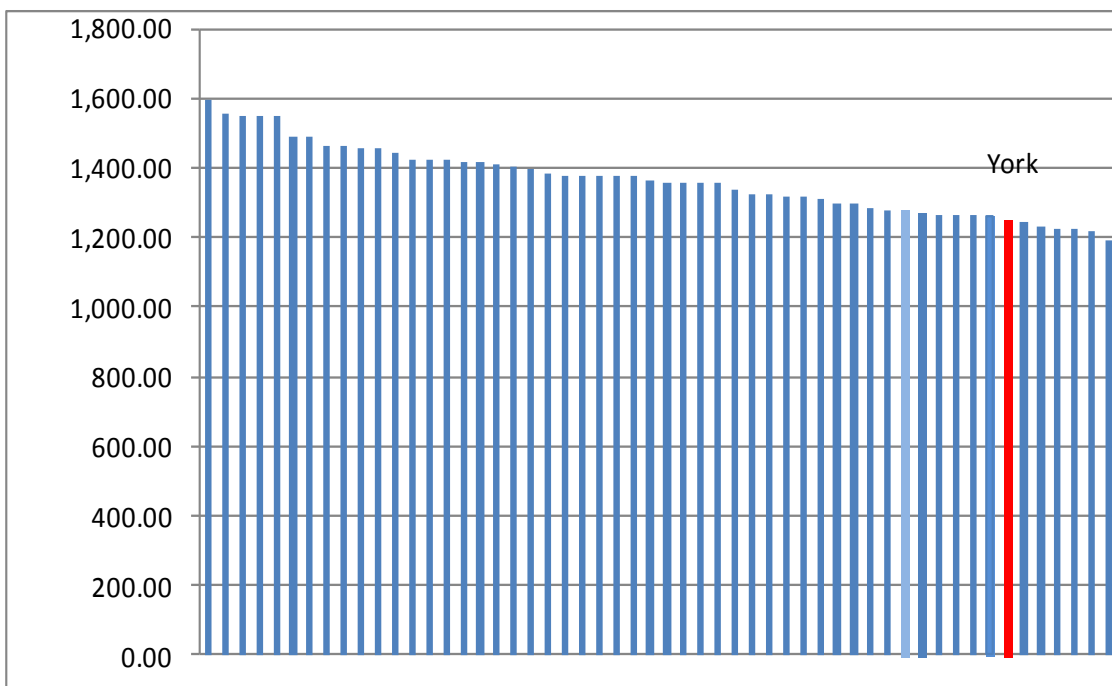
2017/18 Settlement Funding Assessment (SFA) Per Head

The following graph shows York as the 9th lowest SFA per head of population in comparison to other unitary authorities. This uses the allocations and population data relating to the 2017/18 announcement.



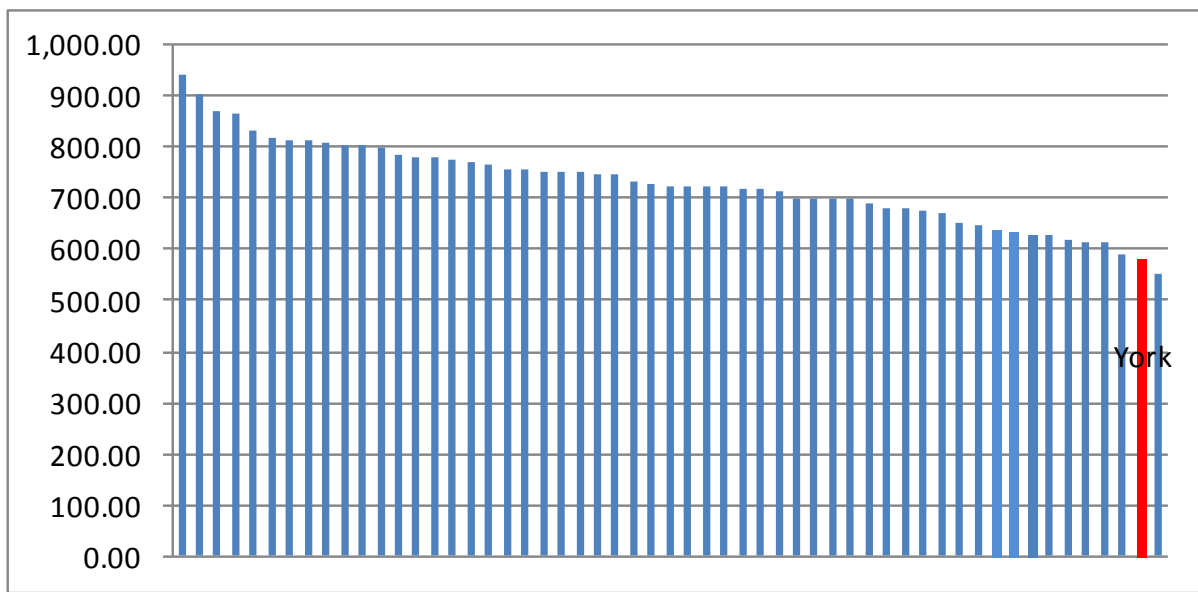
2017/18 Basic Band D Council Tax

The following graph shows York has the 7th lowest basic Band D Council Tax in comparison to other unitary authorities. This uses the approved 2017/18 levels.



2017/18 Net Budget Spend Per Head

The following graph shows York has the 2nd lowest net budget spend per head in comparison to other unitary authorities. This uses the approved 2017/18 information.



Data Tables

The following pages provide the supporting detail for the graphs and provides the most up to date information where possible, i.e. population data.

2017/18 Settlement Funding Assessment (SFA) Per Head

	<u>Population</u>	<u>2017/18 SFA (£k)</u>	<u>SFA/Hd (£)</u>
Blackpool	139,195	75,845	545
Middlesbrough	140,398	69,759	497
Kingston upon Hull	260,240	125,387	482
Hartlepool	92,817	44,281	477
Blackburn with Darwen	147,049	69,640	474
Stoke-on-Trent	253,226	115,232	455
Nottingham	325,282	146,766	451
Leicester	348,343	155,131	445
Halton	126,903	55,292	436
Redcar and Cleveland	135,404	54,548	403
North East Lincolnshire	159,144	60,627	381
Torbay	133,883	49,836	372
Durham	522,143	193,647	371
Isle of Wight Council	139,798	49,161	352
Telford and the Wrekin	172,976	60,354	349
Portsmouth	214,832	74,769	348
Derby	256,233	87,441	341
Luton	216,791	73,370	338
Bristol	454,213	153,715	338
Peterborough	197,095	65,430	332
Northumberland	316,002	104,529	331
Plymouth	264,199	86,599	328
Southampton	254,275	83,199	327
Darlington	105,646	34,250	324
Slough	147,181	46,190	314
Thurrock	167,025	51,063	306
Cornwall	553,687	167,922	303
Brighton & Hove	289,229	87,245	302
Bedford	168,751	50,832	301
Southend-on-Sea	179,799	53,639	298
North Lincolnshire	170,786	50,869	298
Stockton-on-Tees	195,681	58,265	298
Reading	162,666	44,917	276
Milton Keynes	264,479	69,034	261
Medway	278,542	72,156	259
Herefordshire	189,309	47,347	250
Shropshire	313,373	78,313	250
Bournemouth	197,657	47,663	241
East Riding of Yorkshire	337,696	80,887	240
Cheshire West and Chester	335,680	80,209	239
Swindon	217,905	50,375	231
North Somerset	211,681	48,286	228
Bracknell Forest	119,447	26,687	223
Warrington	208,809	45,865	220

South Gloucestershire	277,623	59,755	215
Bath & North East Somerset	187,751	36,102	192
York	208,367	39,195	188
Wiltshire	488,409	87,705	180
Central Bedfordshire	278,937	49,596	178
Cheshire East	376,695	65,268	173
Poole	151,500	25,822	170
Rutland	38,606	6,469	168
West Berkshire	156,837	26,095	166
Windsor and Maidenhead	148,814	19,269	129
Wokingham	161,878	19,069	118

Unitary Authority Band D council tax figures 2017/18

	<u>Basic</u> <u>Band D</u> <u>2017/18</u> <u>(£)</u>
Nottingham	1,593.03
Northumberland	1,558.10
Bristol	1,548.66
Rutland	1,546.94
Hartlepool	1,546.26
Middlesbrough	1,491.93
Reading	1,490.56
Isle of Wight Council	1,464.86
Brighton & Hove	1,461.81
Redcar & Cleveland	1,458.61
Stockton-on-Tees	1,457.87
Durham	1,443.04
Blackpool	1,425.75
Central Bedfordshire	1,421.88
Leicester	1,421.69
Bedford	1,417.72
North East Lincolnshire	1,415.26
Plymouth	1,407.47
Southampton	1,406.68
Cornwall	1,398.70
Blackburn with Darwen	1,383.15
Darlington	1,379.30
Cheshire West and Chester	1,379.02
West Berkshire	1,378.91
Torbay	1,376.93
Herefordshire	1,376.50
North Lincolnshire	1,361.75
South Gloucestershire	1,359.62
Wokingham	1,359.27
Bournemouth	1,357.65
Luton	1,355.98
Wiltshire	1,334.63
East Riding of Yorkshire	1,327.10
Cheshire East	1,324.92
Poole	1,320.57

Warrington	1,315.90
Halton	1,312.27
Derby	1,298.17
Medway	1,296.56
Bath & North East Somerset	1,284.33
Portsmouth	1,279.12
Slough	1,274.54
Kingston-upon-Hull	1,268.17
Southend-on-Sea	1,265.94
North Somerset	1,265.81
Milton Keynes	1,265.74
Shropshire	1,259.51
Swindon	1,251.29
York	1,244.93
Peterborough	1,231.57
Thurrock	1,226.61
Telford & Wrekin	1,222.10
Stoke-on-Trent	1,218.96
Bracknell Forest	1,194.39
Windsor & Maidenhead	961.46

Unitary Authority 2017/18 spend per head

	<u>Population</u>	<u>2017/18 Net Budget (£k)</u>	<u>Spend/ Hd (£)</u>
Blackpool	139,195	131,336	944
Isle of Wight	139,798	126,334	904
Hartlepool	92,817	81,019	873
Northumberland	316,002	273,006	864
Redcar and Cleveland	135,404	112,820	833
Halton	126,903	104,036	820
Torbay	133,883	109,222	816
Stoke-on-Trent	253,226	205,494	812
Cornwall	553,687	449,103	811
Kingston upon Hull, City of	260,240	208,908	803
Middlesbrough	140,398	112,594	802
Bedford	168,751	134,931	800
North East Lincolnshire	159,144	125,135	786
County Durham	522,143	407,801	781
Rutland	38,606	30,052	778
East Riding of Yorkshire	337,696	262,158	776
Bristol, City of	454,213	350,545	772
Leicester	348,343	267,651	768
Blackburn with Darwen	147,049	111,598	759
Southend-on-Sea	179,799	135,759	755
Reading	162,666	122,506	753
Brighton and Hove	289,229	217,693	753
Telford and Wrekin	172,976	129,694	750
South Gloucestershire	277,623	207,938	749
Nottingham	325,282	242,497	745
North Lincolnshire	170,786	124,864	731
Stockton-on-Tees	195,681	142,772	730
Bracknell Forest	119,447	86,583	725
Herefordshire, County of	189,309	137,141	724
North Somerset	211,681	153,182	724
Darlington	105,646	76,335	723
Cheshire West and Chester	335,680	241,624	720
Shropshire	313,373	224,995	718
West Berkshire	156,837	112,330	716
Peterborough	197,095	138,287	702
Central Bedfordshire	278,937	195,324	700
Plymouth	264,199	184,429	698
Poole	151,500	105,753	698
Derby	256,233	177,043	691
Swindon	217,905	148,735	683
Wokingham	161,878	109,865	679
Cheshire East	376,695	254,385	675
Wiltshire	488,409	328,305	672
Southampton	254,275	165,739	652

Slough	147,181	95,514	649
Thurrock	167,025	106,463	637
Bath and North East			
Somerset	187,751	119,266	635
Warrington	208,809	131,406	629
Bournemouth	197,657	124,159	628
Medway	278,542	172,314	619
Portsmouth	214,832	131,773	613
Luton	216,791	132,964	613
Milton Keynes	264,479	156,389	591
York	208,367	120,539	578
Windsor and Maidenhead	148,814	82,381	554



Executive

8 February 2018

Report of the Deputy Chief Executive/ Director of Customer and Corporate Services (Portfolio of the Leader of the Council and Deputy Leader of the Council)

CAPITAL STRATEGY 2018/19 to 2022/23

Summary

1. This report set out the Capital Strategy for 2018/19 to 2022/23, and in particular sets out new capital schemes.
2. The Council Plan for 2015-19 was formally approved by Full Council on Thursday 8 October 2015 following consultation with residents, businesses and staff, based on our statutory responsibilities and the priorities of our administration. The plan is built around 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
3. As set out within this report and the Revenue Strategy report also on this agenda, the budget reflects significant investment in a number of critical areas, with a focus on frontline services such as highways, housing, drainage and street lighting, alongside making affordable investment in the developing the economy of York through major regeneration schemes. This report sets out £54.767m of new investment over the 5 year period, of which £11.530m is externally funded, and £32.611m met

from the Housing Revenue Account, with £10.626m to be funded by the Council Key priority areas of investment include:

- Transport schemes – Increased investment of £7.977m over the next 5 years including areas such as an electric bus scheme, Smarter travel evolution programme and Local transport plan road safety scheme.
 - Highways - Increased investment of £4.407m over the next 5 years
 - Housing - new investment of £32.611m over the next 5 years
 - Information Technology Development – Increased investment of £3.020m
 - Disabled Facilities Grants – Increased investment of £2.458m
4. It should be noted that a number of other major schemes not considered in detail within this report will be brought forward as individual reports to Members, including the Guildhall, York Castle Gateway, and York Central, York Outer Ring road and Housing Delivery as set out at paragraphs 90 - 102)

Recommendations

5. The Executive is requested to recommend that Council:
- Agree to the revised capital programme of **£314.611m** that reflects a net overall increase of **£54.767m** (as set out in paragraph 81 table 10 and in Annex B). Key elements of this include
 - Extension of prudential borrowing funded Rolling Programme schemes totalling £8.270m as set out in table 3 and summarised in table 10;
 - New schemes totalling £8.506m including an increase in prudential borrowing of £2.356m as set out in table 4 and summarised in table 10;
 - Extension of externally funded Rolling Programme schemes totalling £5.380m as set out in table 5 and summarised in table 10;
 - An increase in HRA funded schemes totalling £32.611m funded from a combination HRA balances/Right to Buy receipts as set out in table 6 and summarised in table 10

- Approve the full restated programme as summarised in Annex A totalling **£314.611m** covering financial years 2018/19 to 2022/23 as set out in table 11 and Annex A

Background

6. The current 2017/18 –2021/22 capital programme was approved by Council on 23 February 2017. Since then a number of amendments have taken place as reported to the Executive up to and including the 2017/18 Capital Monitor 3 report also on this agenda. The changes made as a result of the above reports have resulted in a current approved capital programme for 2017/18 – 2021/22 of £348.430m, financed by £211.551m of external funding and Council controlled resources of £136.879m. Table 1 illustrates the current approved capital programme profile from 2017/18 – 2021/22 as of capital monitor 3 2017/18.

	2017/18	2018/19	2019/20	2020/21	21/22	Total
	£m	£m	£m	£m	£m	£m
Gross Capital Programme	95,543	119,897	58,302	43,513	38,132	348,430
Funded by:						
External Funding	44,324	61,947	45,446	35,449	29,723	211,551
Council Controlled Resources	51,219	57,950	12,856	8,064	8,49	136,879
Total Funding	95,543	119,897	58,302	43,513	38,132	348,430

Table 1 – Capital Programme Funding and Receipts Position

Funding Position of approved 2017/18 – 2021/22 programme

7. There are some specific earmarked receipts that are critical, in particular in relation to the older persons programme. Additionally Members decided to ultimately finance the purchase of property at Hospital Fields Road and Swinegate from Capital receipts. Therefore all future capital receipts are assumed to be used for this purpose in the medium term. This strategy will deliver significant revenue savings, and reduce the need for savings within the revenue budget.

Options

8. This report sets out the new capital investment proposals for the 5 year period covering 2018/19 to 2022/23. Members can consider the proposals to make additions and amendments to the existing capital programme contained within the report and choose to approve or reject them.. Members can choose to approve or reject the recommendations made to Council as a result of the amendments contained in this report. It should be noted that it is a statutory requirement for the Council to set a capital budget for the forthcoming year (2018/19) per Local Government Act 2003 (revised).

Summary of Proposed Capital Investment

9. The Capital Budget Process invited proposals from the departments asking to submit requests for the Councils main capital priorities. Of the 38 proposals going forward 26 are asking for direct Council funding, this is comprised of 15 proposals for extensions to existing rolling programme schemes and 11 proposals for new schemes.
10. In total, proposals have been made that would increase the existing 18/19 – 22/23 Capital Programme by **£54.767m**. The proposals are comprised as follows:
 - General Fund schemes requiring financing by Council borrowing **£10.626m**
 - General Fund Schemes financed entirely by external funds **£11.530m** (**£11.530m** Government grant)
 - Housing Revenue Account schemes financed by HRA funds **£32.611m** (**£32.611m** HRA funds)

Key scheme proposals

11. The table below summarises the key proposals that result in a new increase of **£54.767m** by type. Further details of the individual schemes can be found later in the report at the following references:

Type	Total Value	Further Details
	£m	
Rolling Programme – Prudentially Borrowed	8,270	Table 3
New Schemes – Prudentially Borrowed	2,356	Table 4
New Schemes – Externally Funded	6,150	Table 5
Existing Schemes – Externally Funded	5,380	Table 6
Housing Revenue Account (HRA) Schemes – Funded by HRA balances	32,611	Table 7
Total Increase in Capital Programme	54,767	

Table 2 – Summary of New Proposals and Increase in Capital Programme

12. Overall this report proposes new capital schemes totalling **£54.767m** which result in a net increase to the Capital Programme of the same amount. Details of all schemes can be seen in the accompanying annex that sets out the purpose of each scheme and is summarised on table 9.

Detailed Consideration of Proposed Investment, and Financial Implications

Rolling Programme Schemes – Prudential Borrowing

13. The 2017/18 – 2021/22 capital programme contained a number of rolling programme schemes that require funding on an ongoing basis. This report extends the rolling capital programme to 2022/23 and also proposals have been received to increase the level of currently approved rolling programme schemes by adding additional years across a number of financial years, these schemes are set out in the table below:

Scheme Type / Description	Total Value	Financial Year
	£000	
Contingency	250	18/19
Asset Maintenance & Critical Repairs	220	22/23
Concrete Street Lighting Column replacement	578	22/23
Project Support Fund	200	22/23
City Fibre Network	200	18/19 – 21/22
Highways Drainage Works	200	22/23
Disability Support Budget	270	20/21 – 22/23
Major Equipment for Disabled Customers	156	18/19 – 22/23
Telecare Equipment	301	19/20 – 22/23
Disabled Facilities Grant	475	22/23
IT Development Plan	3,020	18/19 – 22/23
York City Walls – Repair & Renewal	300	22/23
Highways Resurfacing & Reconstruction	750	22/23

Highway, Footway & Cycleway Improvement Acceleration	1,000	22/23
Drainage Investigation & Renewal	350	18/19 – 20/21
Total Rolling Programme Schemes	8,270	

Table 3 – Summary of Rolling Programme Proposals Requiring Prudential Borrowing Funding

14. All of the £8.270m of rolling programme schemes will require revenue growth to fund (to support the prudential borrowing), the revenue implications are contained in the Financial Strategy 18/19 – 22/23 report on this agenda.
15. An overview of each scheme being proposed is set out in the following paragraphs:
16. **Capital Contingency (£250k 18/19)** – The continuation of a prudent single year capital contingency to address any unexpected capital pressures in year. The current balance remaining in the capital contingency fund for 2017/18 as detailed in the Capital Monitor 3 report also on this Agenda is 385k.
17. **Asset Maintenance & Critical Repairs (£220k 22/23)** – Extend existing rolling programme in 22/23 to fund the rolling programme scheme of works to retained buildings. The fund is intended to be directed to fund Maintenance and critical repairs on specific properties which have been identified as being retained for service delivery and/ or delivering Council objectives through the Asset Management Strategy and individual service reviews
18. **Concrete Street Lighting Column Replacement Programme (£578k 22/23)** - To extend the existing rolling programme into 22/23 to fund an ongoing concrete column replacement programme to accelerate the upgrading of age expired street City of York street lighting concrete column stock to tubular steel street lighting columns following an ongoing upgrade programme based on inspections condition data.

19. **Project Support Fund (£200k 22/23)** – To extend the existing Rolling Programme into 22/23 to allow the continuation of the capacity to provide professional advice to support the Capital programme, and in particular major complex regeneration/building schemes including York Central, Castle Gateway, and the Older Persons Accommodation Programme. The fund will also continue to be used to provide ongoing funding for corporate project management assurance further strengthen assurance around project management and delivery.
20. **City Fibre Network (£200k 22/23)** – To continue to support the city wide roll out of the Dark Fibre network. It was previously anticipated the scheme would take 3 years to install the required infrastructure, however a further provider has now commenced installation of their infrastructure along the cities footway assets. The provider ensures the footpath assets are restored to their current condition, however where the assets are close to the end of their life the Council is requesting they are improved, This budget will fund the material cost of the upgraded assets while the provider will carry out the work.
21. **Highways Drainage Works (£200k 22/23)** – to continue funding the restoration of the Council’s drainage infrastructure supporting the findings of the Surface Water Management Plan. This funding reflects the amount of work that can realistically be done using the available resources within the Council where there is extensive local knowledge.
22. **Disability Support Budget (£10k increase 20/21, £20k increase 21/22, £240k 22/23)** – To continue to provide discretionary assistance for disabled customers who need financial help. The assistance (loans and grants) given helps disabled people and parents with disabled children to adapt their homes to continue living there and maintain their independence
23. **Major Equipment for Disabled Customers (£17k 18/19 – 21/22, £139k 22/23)** - Allows the continuation of the funding for specialist equipment to stock the loans store. The equipment will be purchased by Be Independent but CYC will retain ownership of the assets.
24. **Telecare Equipment (£42k 18/19 – 21/22, £259k 22/23)** – Allowing the continuation of the installation of sensors in vulnerable customers homes

to deal with specific assessed risks. The equipment will be purchased by the new Be Independent but CYC will retain ownership of the assets

25. **Disabled Facilities Grant (£475k 22/23)** - To allow payment of mandatory disabled facilities grants (DFGs) in line with statutory requirements (The Housing Grants, Regeneration and Construction Act 1996). The funding enables older and disabled persons to remain safely in their home and maximises their independence

26. **IT Development Plan (£1.050m 18/19 – 20/21, £1.970m 22/23)** – The continuation of the rolling programme IT development plan for an additional year. The funding will support a strong and coordinated approach to the change programme and the fundamental review and redesign of processes and systems to ensure that its services meet the needs of its customers. The increase to budget in early years will cover additional costs in relation to the digital programme as well as the provision to fund additional upgrades where deemed appropriate, including a new parking management system; a new Waste services ICT system; and Highways & fleet IT systems including:
 - **Exor** – This system is used to store and evaluate key highways asset data. It is used to manage data used in the delivery of highways inspection and maintenance.
 - **Tranman** – This software is used to manage our operational fleet and needs upgrading.
 - **Gaist** – This system is used to provide remote asset data collection across all footways and carriageways. The outputs from this system drive the annual maintenance programme.

27. **York City Walls Rolling Repair Programme £300k 22/23)** - Ensuring that continuing essential repairs and restoration are undertaken on York City Walls.

28. **Highways R&R (£750k 22/23)** – The continuation of the programme for the resurfacing and reconstruction of the City's roads and footways established to maintain the asset in the best condition possible with the anticipated level of capital available.

29. **Highway, Footway & Cycleway Improvement Acceleration (£1m 22/23)** – To continue to deliver a range of Highway, Footway & cycleway schemes informed by the outputs of the 2016 GAIST work in order to prevent any further deterioration.
30. **Drainage Investigation & Renewal (£100k 18/19-19/20, £250k 20/21)** – To continue the investigation work which began in 2015/16 to address the current state of the 42,000 known gulley assets in the City of York Council area and deliver any renewal works identified as part of the survey.

New Schemes – Prudential Borrowing

31. As part of this year's capital budget process a number of proposals have been received that require discretionary prudential borrowing. These are set out in **table 4** below.

Scheme Type / Description	Total Value	Financial Year
	£000	
Fleet & Workshop Operational Equipment	86	18/19
Fordlands Road Flood defences	500	18/19 – 19/20
Highways materials specialist storage	80	18/19
National Cycle Network 65 Targeted repairs	500	18/19-19/20
Non Illuminated structural asset renewal	100	18/19
Hazel Court – Conversion of storage area to Operational hub	100	18/19

CCTV Asset Renewal	290	18/19-19/20
Public Realms footpaths	50	18/19
Shambles Health & Safety	150	18/19
Energise Roof	250	18/19
One Planet Council - Energy Efficiency	250	18/19
New Proposals Requiring Prudential Borrowing	2,356	

Table 4 – Summary of New Proposals Requiring Prudential Borrowing Funding

32. An overview of each new scheme being proposed is set out in the following paragraphs:
33. **Fleet & Workshop Operational Equipment (£86k in 18/19)** – This scheme would fund equipment and tools required to meet the standards and compliance of the operator licence. These are required to provide information and intelligence specifically for vehicle engineers to carry out component testing which is required to meet the standards required for the vehicle service and MOT tests. This equipment includes Mid tronics, Air leak detection and air flow detection, along with equipment to provide accurate driver information on the payload/ gross weight of the vehicle
34. **Fordlands Road Flood defences (£200k in 18/19, £300k in 19/20)** - High level designs have identified three potential solutions to ensure Fordlands Road bridge is resilient to future flood events.

35. The proposals mirror the existing works on the A19 to ensure this main arterail road remains accessible during future flood events and the works were presented to the Executive Member for the Environment in July 2017, with recommendations were made to identify funding opportunities and to develop the Fordlands Road proposals further.
36. The most likely approach would be a similar scheme to that being developed on the A19 where bunds and walls would be used to ensure the road surface is kept dry when levels in Germany Beck rise. Indicative funding is shown as £500k including an element for further investigation and appraisal. Further work would be required to refine the works and costs.
37. Additional measures are being considered as part of the Environment Agency 5 Year Flood Plan to mitigate flood risks to people and property in the Fordlands Road area, funding would therefore need to be targeted to these outcomes but co-design of works may lead to the delivery of a scheme that increases the flood resilience of the Fordlands Road bridge. The requested funding may therefore be considered to contribute to a wider flood alleviation scheme delivering multiple benefits and outcomes.
38. **Highways materials specialist storage (£80k 18/19)** – This bid would fund a project to replace the age expired ‘hot boxes’ (currently 10 years old) situated at Hazel Court Eco depot. The hot boxes provide a storage vessel for the daily delivered hot material – large boxes that hold up to 20 tons of hot material at the correct temperature, allowing the front line teams to let the material maintain the correct consistency and temperature
39. **National Cycle Network 65 (NCN65) Targeted Repairs (£250k 18/19, £250k 19/20)** – The National Cycle Network 65 (NCN65) passes through 7 of the City’s 21 Wards and links villages on the outskirts of the city (Skelton and Bishopthorpe) through the suburban areas to the city centre. Many sections of the route are now between 20 and 30 years old and are deteriorating due to wear and tear, floods or damage by adjacent vegetation discouraging some cyclists from using them. Damage has now reached a level where intervention is required to restore to a good working level.

40. This scheme would fund a developed list of works and measures on the Network addressing the worst areas of disrepair
41. **Non Illuminated structural asset renewal (£100k 18/19)** –This project would fund a scheme to identify and log street furniture assets on the authority's asset database and ensure all are structurally tested as per TR22 maintaining a vital asset. Structural issues with un-illuminated sign posts can carrying significant weight making them potentially dangerous on major traffic routes if suitable maintenance is not carried out. As these assets have been introduced to the network without a custodian to monitor or record the asset, the asset team are unaware of the total number but are estimating @ 13,000 units. This includes signage of all types and sizes being supported by 1,2 or 3 tubular steel posts for mounting purposes..
42. **Hazel Court – Conversion of storage area to Operational Hub (£100k 18/19)** – The rationale behind this project is to centralise the front line service intelligence through creating a centralised operational hub.
43. This will require the rationalisation of hazel court available space, the construction of a intelligence hub providing IT equipment and provision for 8 desks and reception area to issue work daily for frontline teams. The available space identified is located within the stores area currently being occupied by Highways services. The construction work would require the Ancient Monuments store to be converted from a storage area into operational office space by:
 - removing the garage door and replacing with glass fronted doors
 - provision of It intelligent systems for Waste , Highways, Public Realm.
 - A monitor wall and general office systems and furniture.
44. Bringing the services together will allow the application of business intelligence into operational systems bringing front facing teams together under appropriate management structures for each function so that the council can share and deploy services more efficiently, eg procurement and administration. Bringing together similar work will mean that

duplication can be removed, processes can be streamlined, best practices can be adopted, allow more control over resources, help to focus on our priorities, and create more efficient back-office and front-line services

45. **CCTV Asset Renewal (££180k 18/19, £110k 19/20)** – The public space surveillance asset consists of approximately 200 CCTV cameras on street around York, as well as associated control equipment, columns and software. A portion of this asset is life expired and in need of replacement. As of November 2017, the life expired assets are unlikely to be maintainable and any faults that appear will result in the equipment remaining out of action until a solution is found. This solution is likely to be removal of the equipment if no funding can be acquired to replace the asset.
46. The Data Protection Act states that such equipment must be fully functional if it is to be used. It is for this reason, and to prevent reputational damage, that faulty equipment must be removed if there is no immediate solution available.
47. To prevent the gradual removal of CCTV cameras around York, this project aims to replace that portion of the public space CCTV asset that is life-expired. This will involved replacing cameras, columns, power and comms links, instation software and hardware. A process has already been carried out to review the need and efficacy of each camera location, and those few sites that are no longer required will be removed rather than replaced as part of this project (after appropriate consultation and decision if required).
48. Such equipment would be purchased as capital expenditure through the existing corporate security contract, that being the approved method to purchase all new CCTV equipment within the Authority
49. **Public Realms Footpaths (£50k 18/19)** – Across the public realm estate there are a number of non adopted surfaced footpaths outside of the main parks which, if they were adopted highway would merit intervention. Using a Risk Based Asset Management approach these paths need

bringing up to adopted path stand in order to reduce the likely of future claims.

50. The majority of the parks path network is in good order as a result of lottery and 106 investment. This scheme is to fund paths that have already been identified as requiring works:
- The diagonal path across Scarcroft Green
 - From Racecourse Bridge south towards Bustardthorpe changing room (Not the responsibility of the racecourse)
 - From Bustardthorpe changing room towards the Racecourse Coach park (Not the responsibility of the racecourse)
51. **Shambles Health & Safety (£150k 18/19)** – The purpose of this scheme is to fund costs associated with carrying out surveys to identify compartmentation issues (structure of rooms to prevent fire spreading) and estimated costs associated with a fire alarm replacement.
52. The fire alarm system is circa 25 years old and consequently may need to be upgraded due to age and faults. Consideration will also be given to the inclusion of all properties on the shambles not just those that are CYC owned, which the current system purely serves. This is to ensure suitable awareness of early warnings of fire for the whole street, a fire in any part could mean losing all of the Shambles. It should be noted that additional funds may be required should significant issues with compartmentation be identified by the surveys.
53. The Council currently owns approximately 70% of the properties in the area therefore it is proposed that the work will also consider fire alarm systems across the non CYC properties to ensure the whole area has adequate up to date fire protection
54. **Energise Roof (£250k 18/19)** – Temporary repairs to the Energise swimming pool roof over the past 12 months have been unsuccessful and leaks are now becoming worse. The Council are now under contract with GLL to operate Energise and the leaks are now at risk of impacting GLL's day to day operation. The Council's property team have advised that a replacement roof covering is the only long term solution. It is currently

anticipated that the centre can remain operational during the period of works

55. **One Planet Council - Energy Efficiency (£250k 18/19)** – The purpose of these funds is to seek to compliment existing/new capital schemes, to enable the schemes deliver higher environmental benefits than may otherwise be the case in other projects such as the building of homes, or within some of other projects such as the Guildhall or York Central. Specific allocations will be recommended for approval to the Executive as part of the ongoing monitoring processes

New Schemes – Externally Funded

56. As part of this year’s capital budget process proposals have been received that will be funded by external sources. These are set out in **table 5** below:

Scheme Type / Description	External Funding Value	Financial Year
	£000	
<u>New General Fund Schemes External Funding</u>		
Smarter Travel Evolution Programme	2,850	18/19-19/20
Electric Bus Scheme	3,300	18/19
<u>Total New General Fund Schemes External Funding</u>	6,150	

Table 5 – Summary of New Proposals Funded by External sources

57. **Smarter Travel (£1.425m 18/19, £1.425m 19/20)** – This DfT funded programme will run for 2 years from April 2018 and will deliver a complete revolution in the way York collects travel data, monitors roads and traffic,

stores and manipulates data and undertakes transport modelling, traveller information and network management. It will see York develop into one of the most advanced cities in the country, in terms of transport data collection and technology, and build on the work we have already been doing

58. **Electric Bus Scheme (£3.3m £18/19)** – The £3.3m from DfT is a contribution towards 24 low emission buses (£2.7m) and funding towards the cost of the charging infrastructure associated with the operation of the vehicles (£600k). Increasing the number of low emission buses will reduce air pollution from buses and reduce reliance on fossil fuels for transport. This is in line with a report taken to Executive on 25th January 2018 setting out proposals for a local bus based Clean Air Zone which would see improvements to bus emissions in the York area.

Additional Schemes - Externally Funded + HRA Funded

59. In addition to those schemes set out in tables 2 and 3, schemes that are fully externally funded are proposed as part of this budget process. This table shows the level of external funding that is increasing existing schemes and which year the change takes effect in:

Scheme Type / Description	External Funding Value	Financial Year
	£000	
<u>Existing General Fund Schemes</u> <u>New External Funding</u>		
Highways Resurfacing & Reconstruction	1,827	22/23
Local Transport Plan - Integrated Transport	1,570	22/23
Disabled Facilities Grant	1,983	18/19 - 22/23
<u>Total Existing General Fund Schemes</u> <u>New External Funding</u>	5,380	

Table 6 – Summary of New External Funding

60. An overview of the new schemes being proposed is set out in the following paragraphs:
61. **Highways Resurfacing & Reconstruction (£1.827m)** – indicative funding settlement 2018/19 to 22/23
62. **Local Transport Plan – Integrated Transport (£1.570m)** –indicative funding in 22/23
63. **Disabled Facilities Grant (£196k 18/19- 21/22, £1.199m in 22/23)** - indicative funding settlement.
64. The latest **Housing Revenue Account (HRA)** Business plan 2017 to 2047 report contains an overview of the HRA Business plan for the next 30 years and provides detail of the key priorities for the next five years, including the use of the investment fund to support the delivery of more affordable new homes. Table 8 updates the capital investment strategy and shows the overall movement (growth) against the existing approved expenditure plans.

Scheme Type / Description	Total Scheme Value	HRA/ Reserve Funding Value	Financial Year
	£000	£000	
<u>New Investment for the HRA</u>			
Major Repairs Allowance Schemes	8,515	8,515	18/19 – 22/23
Modernisation of Local Authority Homes	3,873	3,873	18/19 – 22/23
Assistance to Older and Disabled People	477	477	18/19 – 22/23

Water Mains Upgrades	(424)	(424)	18/19 – 22/23
Housing Environmental Improvement Programme	170	170	22/23
Local Authority Homes – New build project	20,000	20,000	19/20 – 22/23
<u>New Investment for the HRA Total</u>	32,611	32,611	

Table 7 – Summary of HRA investment

65. The key investment areas are shown in table 6 and shows new investment of over £12.611m that will see key schemes delivered including:
66. **Major Repairs Allowance (£8.515m in total 18/19 – 22/23)** - The focus of this area of investment is about ensuring the integrity external fabric of dwellings is maintained in terms of weather resistance, coupled with modernising key internal components of kitchens, bathrooms, heating and electrical wiring. This benefits tenants in a number of way (eg: having modern facilities, improved safety and security, reduced energy costs etc) whilst ensuring the Council meets the Decent Homes standard. A breakdown of the type and value of works for 18/19 is provided below
- 67.

	2018/19 budget £'000	Description of works 18/19
Tenants Choice (incl voids)	3,204	Replacement kitchen, bathroom and rewire to 325 properties per year
Heating/Boilers	1,436	Replacement heating systems to 611 domestic properties together with upgrades to the commercial heating installations at the Independent Living sites of Glen Lodge, Lincoln Court and Barstow House
Roof Replacements	385	Replacement roofs and removal of asbestos-containing fascias / soffits to c 78 properties

External Doors	441	Replacement of c530 external doors with high performance door sets
Window Replacements	60	Replacement of windows at Lincoln Court
Other	236	One- off kitchen or bathroom refurbishments, various programmes of repair to the external structure of dwellings and communal areas

Table 8 – Breakdown of MRA scheme types

68. **Modernisation of Local Authority Homes (£3.873m in total 18/19 – 22/23)** – This will see investment in a number of different projects, including:

- Structural damp remediation works to c110 properties in 18/19, with a further 100+ properties requiring treatment over the life of the 5 year proposal
- Soundproofing to eliminate sound nuisance between flats
- Renewal of door access systems
- Upgrading communal corridor lighting to flatted blocks
- Various external works to improve parking, boundary walls and fences and upgrading drying areas
- Energy Conservation projects, focusing on un-insulated vertical hung external wall facades
- Health and safety works such as remedial works arising from Fire Risk Assessments and Asbestos surveys and fixed electrical testing
- Adaptations to Council owned properties to assist existing tenants with physical disabilities to be able to more easily access the property and use the facilities within it, particularly the bathing facilities
- The programme also includes funding for the major project that concerns 5 blocks of 8 flats on the Bell Farm estate. These properties require major works to the existing defective pre-fabricated bathrooms that were added on in the 1970's. Current options include a demolish/rebuild of the bathroom, or conversion of 2 flats into one enlarged house.

69. The intention of these projects are to ensure the Council continues to upgrade the overall standard of the housing stock and in doing so

meet/exceed customer expectations whilst ensuring legislative requirements are satisfied

70. **Assistance to Older and Disabled People (£477k 18/19 – 22/23)** – This will see continued investment in undertaking adaptations to properties following needs assessment of tenants and their dependants who have some sort of disability, ensuring they can remain in their property and lead as near normal life as possible
71. **Water Mains Upgrade (Reduction of £424k in total 18/19 -22/23)** - Work is still ongoing to ascertain the likely costs associated with this complex project. Analysis shows that c75% of the properties affected by this project are owner occupiers who have bought under the RTB scheme, with responsibility for maintenance of the pipes remaining with the Council and owners being obliged to pay for any repairs. The total budget figure represents the Council's liability, as the assumption is that the vast majority of costs will be funded from owner occupiers financial contribution to the works however estimates will require further revision. It is intended that a small scale pilot project will be undertaken in 18/19 in an attempt to resolve a number of technical issues which we do not currently have solutions for, which will assist in the development of the fuller project.
72. Additional issues concern the Council's capacity to consult on and collect monies from owner occupiers and deal with issues arising from what will be a sensitive process, together with decisions on our approach to the laying of new pipe work ie: whether to use in house labour or to outsource. At this stage the budget has been taken out of the capital programme until a business case is developed with known costs and delivery timetable.
73. **Housing Environmental Improvement Programme (£170k 22/23)** – This scheme replaces an existing HRA revenue scheme and will take a more strategic approach to improvements. This new scheme will take a longer term view of works to improve areas for residents and has the potential to link in with other wider schemes to deliver for all residents to make a bigger impact and realise economies of scale. Improvements may include new parking areas, new security fencing or new storage areas in blocks of flats. Residents Associations can link into the ward decision

making processes on behalf of residents so that the voice of Council tenants is heard when allocating funding to individual schemes. The process has been running since April 2017 and a variety of schemes have been agreed.

74. **IT Infrastructure (No budget change – Total £600k 18/19 – 22/23)**– The ICT infrastructure improvements programme totals £1.722m over the period 2017/18 to 2021/22. A major review of current systems has been undertaken and it is recommended the current Housing systems are replaced by an integrated Housing and Building Services management system which incorporates housing management, asset management and building repairs. The reduced overall capital budget proposed reflects the initial results of the review
75. The majority of the funding will be allocated to the acquisition of an integrated Housing and Building Services management system, which will enable the Council to exploit significant opportunities to improve performance and customer satisfaction whilst reducing costs. These include: delivering corporate and strategic objectives, transforming customer service, eliminating waste and duplication, increasing income and cash flow, better informed decision making and planning for the future, using scarce resources wisely, making sound investment choices, targeting people in most need, partnership working and supporting future initiatives.
76. The Housing ICT Programme is now in the Initiate phase and detailed business requirements and a technical specification are being developed, with a view to issuing an Invitation To Tender (ITT) for the new integrated ICT solution during Q2 2018. A comprehensive Benefits Realisation plan will be developed and some of the potential benefits should be realised as early as 2019/20.
77. **Local Authority Homes – New Build Project (£20m 19/20- 22/23)** –The latest Housing Revenue Account (HRA) Business plan 2017 to 2047 outlined an investment fund of £20m to spend on building new homes for rent and redevelopment of existing stock. These are to be funded from £10m HRA working balance, £9m housing capital receipts and £1m commuted sums. Details are being developed and reports will be brought to Executive to be agreed

78. None of the schemes detailed in table 7 have an impact on prudential borrowing.

Funding Position – Council Prudential Borrowing

79. The budget proposals in terms of CYC prudential borrowing adds to existing rolling programme schemes totalling £8.270m (of which £8.270m impacts Council Tax) and adds new schemes totalling £8.506m (of which the £2.356m, impact on Council Tax). This results in a total increase in the level of debt (the underlying need to borrow for capital investment purposes only) of £10.626m over the 5 year programme. Table 9 shows the financial impact on a year by year basis and over the 5 year period.

	18/19 £m	19/20 £m	20/21 £m	21/22 £m	22/23 £m	Total £m
Rolling Programme	699	459	680	101	6,331	8,270
New Schemes	1,696	660	-	-	-	2,356
Net Increase in PB	2,395	1,119	680	101	6,331	10,626

Table 9 – Net Funding Position of Prudential Borrowing Schemes

80. The revenue costs of the new schemes funded by prudential borrowing is estimated at £744k over the 5 year budget period, assuming borrowing of £10.626m. Actual borrowing is likely to not be taken during 2018/19 and therefore costs are unlikely to affect the revenue budget until at the earliest 19/20 therefore no Treasury Management growth is required for 18/19.

Summary of Analysis

81. This table summarises the additions and amendments made as part of this report (outside of re-profiling) split by rolling programme schemes and new schemes (by funding type) showing an overall increase in the capital programme **of £54.767m.**

	18/19 £m	19/20 £m	20/21 £m	21/22 £m	22/23 £m	Total £m
1) Rolling Programme Schemes Funded by CYC Pru Brrw (table 3)	699	459	680	101	6,331	8,270
2) Existing Schemes Funded Externally by External Grant (table 6)	196	196	196	196	4,596	5,380
3) New CYC Schemes Funded by CYC Pru Brrw (table 4)	1,696	660	-	-	-	2,356
4) New CYC Schemes Funded Externally by External Grant (table 5)	4,725	1,425	-	-	-	6,150
6) HRA Schemes (table 7) Funded by HRA	1,501	5,580	5,819	5,644	14,067	32,611
Total Net Increase to Capital Programme	8,817	8,320	6,695	5,941	24,994	54,767

**Table 10 – Summary of Expenditure and Funding Movements
18/19 – 22/23**

82. The outcome of the proposals outlined above if accepted are illustrated in the next table which sets out the proposed capital budget for each directorate over the next 5 years and in detail in Annex A.

Gross Capital Programme	2018/19	2019/20	2020/21	2021/22	2022/23	Total
	£m	£m	£m	£m	£m	£m
Children, Education & Communities	10,388	8,988	9,142	8,500	-	37,018
Health, Housing & Adult Social Care – Adult Social Care	3,144	1,116	595	616	638	6,109
Health, Housing & Adult Social Care – Housing & Community Safety	25,361	17,984	15,903	15,652	15,741	70,641
Economy & Place – Transport, Highways and Environment	42,864	31,799	22,663	17,065	6,225	120,616
Economy & Place – Regeneration & Asset Management	14,944	860	220	220	220	16,464
Community Stadium	26,802	3,445	-	-	-	30,107
Corporate Schemes	1,321	250	250	250	200	2,271
IT development plan	3,890	2,320	1,435	1,770	1,970	11,385
Total Capital Programme	128,714	66,762	50,208	44,073	24,994	314,611

Table 11 – Proposed Capital Programme 2018/19 – 2022/23

Other Capital Issues

83. There are a range of other major schemes within the Capital programme which will come through as individual reports during the year. Some of the key issues are referred to below, to give members a full picture of the scale of the Capital programme and some of the issues that will need to be considered during 2018
84. **Built Environment Fund** - There remains a balance of £1.337m on the fund for 2017/18 as reported in the capital monitor 3 report elsewhere on this Agenda which is being carried forward into 2018/19. Members originally agreed in May 2017 that £1.187m of this fund was to be allocated to public realm investment for economic growth. It is proposed that this is to be reallocated to be considered for economic growth and city transport access measures, subject to a report to the Executive.
85. **Older Persons Accommodation Programme** – The programme continues to make good progress, with the 27 home extension to Glen Lodge completed. The Centre at Burnholme is halfway through construction and work on the new access road nearly complete. A contract to deliver a new care home on this same site has been awarded and an agreement to lease land for a new GP surgery will deliver improved health care facilities for Burnholme, Heworth & Tang Hall.
86. During 2017/18 a number of further schemes under this programme were agreed including investment of £6.7m in the extension of Marjorie Waite Court extra care scheme, and £0.4m in sports pitches and related facilities on land at Askham. Following consultation with residents, Executive have also secured the long term provision of care at Haxby Hall, with a commitment to deliver improved care facilities on the site
87. **Community Stadium** – In November 2017 all contracts relating to the build and operation of the new Community Stadium and leisure complex were signed. Alongside these contracts agreement for leases were formality entered into with local charity York Against Cancer and the NHS Trust to take units within the new facilities.
88. This marked a major milestone in the Community Stadium project, allowing Greenwich Leisure Ltd and their building contractor Buckingham Group to formally take possession of the Monks Cross site and start construction works in December 2017.

89. Once complete the new Community Stadium Leisure Complex will comprise of an 8,000 all-seat community sports stadium to host professional football and rugby league games. There will also be new leisure facilities incorporating a swimming pool, gym, dance studio, indoor and outdoor climbing facilities and a sports hall with spectator seating. A commercial development on the stadium site will also feature a cinema complex, including an IMAX screen, five restaurants and up to three retail units. On top of this, NHS outpatient services will be offered on site from a community hub and there will be a new Explore library and a York Against Cancer retail unit.
90. The new stadium, leisure facilities and the community hub will all open from June 2019 along with the new cinema and commercial units. Updates will be provided to Members as part of the ongoing monitoring regime

Other Major Projects under consideration

91. In addition to the schemes set out in this report, and existing capital projects, there are a number of other projects which will come forward as individual reports, and which contribute significantly to developing the Economic prosperity of the City. These include:-
92. **York Castle Gateway-** In January 2017 the Executive approved the vision for the regeneration of the Castle Gateway and a series of recommendations to allow the production of, and public consultation on, a preferred masterplan for the area. Having appointed BDP as masterplanning consultants and Deloitte as commercial advisors in spring 2017, a series of ideas for the area were tested with the public in November and December 2017 through the My Castle Gateway engagement project. The outcome of this consultation on these ideas, alongside further viability testing and technical appraisals, is currently being used by BDP to produce a preferred masterplan to be taken to the Executive in April 2018.
93. The report to Executive will also set out potential options to deliver the preferred masterplan. These will explore the risks and opportunities associated with different delivery models, and seek approval to progress the preferred masterplan to outline planning application stage, alongside

potential detailed planning applications for the first phase of development that is necessary to unlock the rest of masterplan.

94. As identified in the Executive report of January 2017 there will be further funding requirements to progress the Castle Gateway from preferred masterplan stage, and these will be identified in the April 2018 Executive report. The level of investment required will be dependent on the delivery model that is approved by members
95. **Guildhall** - Following Executive approval in March 2017 and a competitive (OJEU compliant) procurement, Interserve Construction Ltd were appointed as the construction contractor at the end of August. They formally commenced Early Contractor Involvement on 2 October (the second tender stage) to provide and agreed target cost, should be submitted by late February. The Guildhall complex will be refurbished and sensitively extended to provide: a serviced office and business club venue with 1350m² of office, meeting room and business lounge space wrapped around the existing historic core; the main hall with a new foyer space and toilets, and the council chamber, retained for council meetings and civic / community events. A new restaurant and riverside courtyard space is also being created. It is anticipated that construction will start in April 2018 completing in summer 2019. The scheme is being funded by a combination of CYC prudential borrowing and grants from West Yorkshire Combines Authority. Regular updates on the project will be provided back to Members as part of the regular capital monitoring regime
96. **York Central** - The York Central Project is progressing well achieving a major milestone in November 2017 with CYC Executive approval of the York Central Partnership's preferred access option following public consultation and technical evaluation undertaken by the YCP. This approval also released a further £1.9m of development funding. The YCP is now focussed on progressing the Master Planning work with further Public Engagement in early 2018 and detail design work on the agreed access option progressing, through further stages of consultation, towards the submission of planning applications (outline for the Masterplan and detail for the access) in August. Early pre-application engagement with the council's Planning / Highways teams is also underway. The consultancy fees for this work are forecast to meet the project spend targets enabling the drawdown of external grant / loan match funding. An exception report has been submitted to WYCA to advise on the revision to the proposed access option to safeguard the Transport Funding

committed to this project. Initial Design work on the preferred access option and site infrastructure is being progressed and a report will be prepared for March 2018 Executive to agree the procurement of a delivery partner

York Outer Ring Road (WYTF)

97. A report about the management and governance of the project was submitted to the Executive in July 2017. Executive endorsed that future decisions on the programme of improvements are taken by the Executive Member for Transport and Planning, for example over matters concerning the purchase of land, consultation and phasing of works.
98. Since then work has progressed on detailed design, land acquisition and progress through the WYCA programme management process. A consultation process is currently in progress for the upgrade of the Wetherby Road junction. Once this process has been completed, and any comments are incorporated into the design, it is intended to submit a report to the Executive Member Decision Session in March to gain approval to proceed.
99. Detailed design on the Haxby Road and Strensall Road junctions will commence in May 2018 and it is planned to submit planning applications for these in September 2018

Future Considerations

100. In addition, some longer term issues that Members should note include:-
Housing Delivery - On 7th December 2017, Executive approved two reports relating to the Housing Delivery Programme. The first report, **'Housing Delivery Programme – establishing a delivery model and the scope of the programme'**
101. This report agreed in principle to the creation of a Housing Delivery Company and that business plans for housing delivery be provided at a number of key sites across the city. The report also agreed to the appointment of an interim Managing Director to assist in the formation of the company. The report highlighted that the company developing sites would lead to a significant investment required by the council to fund upfront development costs and that this would need to be considered on a

site by site basis. On the same agenda Members agreed to further consider the Lowfields site as one suitable for initial development subject to a business case.

102. A further report will be brought before Executive in summer/autumn 2018 which will contain full details of the proposed development company including a five year business plan

Council Plan

103. The Capital Budget process ensures that all bids received for capital funding address the aspirations of the Council Plan with each proposal addressing at least one corporate priority. The capital schemes put forward for consideration are derived from the service and area asset management plans which look at the capital needs and requirements of the service. All schemes that have progressed through for further consideration in this report have demonstrated through the Capital budget process that they directly contribute toward the achievement of the Council Plan, as referred to in paragraph 2.

Implications

Financial Implications

104. The financial implications are considered in the main body of the report.

Human Resources Implications

105. There are no HR implications as a result of this report.

Equalities Implications

106. A Communities Impact Assessment (CIA) has been completed on the overall impact of the budget proposals and this is available as an annex to the Financial Strategy report elsewhere on this agenda. This assessment has been developed as a result of individual impact assessments for services which are undergoing changes. The impact assessment examines the benefits of recommended growth and capital investment alongside the risks associated with any savings proposals to ensure any negative impact for a particular group, sector or community is eliminated or counterbalanced. Where a screening of the potential implications has

identified it appropriate, a full CIA will be completed for individual proposals. In addition, all capital schemes have considered any potential equalities implications prior to being included in this report.

Legal Implications

107. The Council is legally required to set a balanced 3 year capital programme but to assist with Medium Term Financial Planning sets a 5 year programme.

Crime and Disorder

108. There are no crime and disorder implications as a result of this report.

Information Technology

109. The information technology implications are contained in the main body of this report.

Property

110. The property implications of this paper are included in the main body of the report which covers the funding of the capital programme from the disposal of Council assets.

Risk Management

111. 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.
112. Additional risk exists in relation to existing schemes in the Capital programme whereby costs are incurred in developing a project, however no asset is achieved. Such costs may then need to be written off to the

revenue account. The risks in relation to this are referred to separately in the Revenue Budget Report also on this Agenda.

Authors:	Cabinet Member & Chief Officer Responsible for the report:		
Emma Audrain Technical Accountant Corporate Finance 01904 551170 emma.audrain@york.gov.uk	Ian Floyd Deputy Chief Executive/ Director of Customer & Corporate Services		
Debbie Mitchell Corporate Finance Manager 01904 554161	Report Approved		Date
Wards Affected: <i>All</i>			
For further information please contact the author of the report			

Specialist Implications:
Legal – Not Applicable
Property – Not Applicable
Information Technology – Not Applicable

Wards Affected:

All

For further information please contact the author of the report

Annexes

Annex A – Capital Programme 2018/19 – 2022/23

Annex B – Growth Summary 2018/19 – 2022/23

	2018/19 Budget £000	2018/19 Revised Budget £000	2018/19 Budget £000	2019/20 Revised Budget £000	2018/19 Budget £000	2020/21 Revised Budget £000	2018/19 Budget £000	2021/22 Revised Budget £000	2018/19 Budget £000	2022/23 Revised Budget £000	Gross Capital Programme To be Funded 18/19 - 22/23 £000
CEC - Children, Education & Communities											
CEC - Children & Education											
NDS Devolved Capital		284		228		195		0		0	707
DIE Maintenance		1,913		1,136		1,000		0		0	4,049
Basic Need		5,494		7,227		7,750		8,500		0	28,971
Huntington Secondary School - New Block		0		0		0		0		0	0
Universal Infant Free School Meals		0		0		0		0		0	0
Fulford School Expansion		0		0		0		0		0	0
Carr Junior Expansion		0		0		0		0		0	0
St Barnabas Primary Expansion		0		0		0		0		0	0
Schools Electrical Supply Upgrade		0		0		0		0		0	0
Family Drug & Alcohol Assess/Recovery Facility		100		0		0		0		0	100
Knivesmire Classroom Expansion		0		0		0		0		0	0
Expansion and Improvement of Facilities for Pupils with SEND		647		197		197		0		0	1,041
Investment in Community Based Premises		0		0		0		0		0	0
Children & Young Peoples services & Building based provision review		0		0		0		0		0	0
Southbank Expansion		1,000		0		0		0		0	1,000
Capital Maintenance Works to Schools - Ventilation & Electrical		0		0		0		0		0	0
CEC - Communities											
York Explore Phase 2		0		0		0		0		0	0
York Explore - Haxby Library		0		0		0		0		0	0
Haxby Library Reprovision		500		0		0		0		0	500
Castle Museum Development Project		200		200		0		0		0	400
York Museums Trust Visitor Facilities and Product Development		0		0		0		0		0	0
Energise Roof	250	250		0		0		0		0	250
York Theatre Royal		0		0		0		0		0	0
TOTAL GROSS EXPENDITURE	250	10,388		8,988		9,142		8,500		0	37,018
TOTAL EXTERNAL FUNDING	0	5,336		8,788		9,142		8,500		0	31,766
TOTAL INTERNAL FUNDING	250	5,052		200		0		0		0	5,252
HH&ASC - Adult Social Care & Adult Services Commissioning											
Joint Equipment Store	-1	129	2	127	6	131	10	135	139	139	661
Disabled Support Grant		200		210	10	220	20	230	240	240	1,100
Telecare Equipment		433	7	237	14	244	21	251	259	259	1,424
OPH Infrastructure Works		0		0		0		0		0	0
Changing Lives Grant + Autism Grants		0		0		0		0		0	0
Older Person's Accommodation Review		2,375		542		0		0		0	2,917
Burton Stone Community Centre		0		0		0		0		0	0
30 Clarence Street - Sycamore House		7		0		0		0		0	7
PF National Specialist Family Service		0		0		0		0		0	0
Little Knivesmire Pavilion		0		0		0		0		0	0
TOTAL GROSS EXPENDITURE	-1	3,144	9	1,116	30	595	51	616	638	638	6,109
TOTAL EXTERNAL FUNDING	0	0	0	0	0	0	0	0	0	0	0
TOTAL INTERNAL FUNDING	-1	3,144	9	1,116	30	595	51	616	638	638	6,109
HH&ASC - Housing & Community Safety											
Modernisation of Local Authority Homes	1,853	4,322	1,044	2,160	264	1,377	-228	1,127	940	940	9,926
Assistance to Older & Disabled People	8	420	6	430	3	440		450	460	460	2,200
MRA Schemes	-360	5,887	-239	6,140	659	6,868	983	7,206	7,472	7,472	33,573
Local Authority Homes - Phase 1		2,342		0		0		0		0	2,342
Water Mains Upgrade		721	-231	0	-107	25	-111	25	25	25	796
Building Insulation Programme		0		160		0		0		0	160
Disabled Facilities Grant (Gfund)	196	1,674	196	1,674	196	1,674	196	1,674	1,674	1,674	8,370
IT Infrastructure		1,050		150		150		0		0	1,350
Empty Homes (Gfund)		0		0		0		0		0	0
Housing Environmental Improvement Programme		240		170		170		170	170	170	920
James House		2,900		0		0		0		0	2,900
Shared Ownership Scheme		2,820		0		0		0		0	2,820
Local Authority Homes New Build project		0	5,000	5,000	5,000	5,000	5,000	5,000	5,000	5,000	20,000
Extension to Marjorie Waite Court		2,900		2,100		199		0		0	5,199
Extension to Glen Lodge		85		0		0		0		0	85
TOTAL GROSS EXPENDITURE	1,697	25,361	5,776	17,984	6,015	15,903	5,840	15,652	15,741	15,741	90,641
TOTAL EXTERNAL FUNDING	-164	9,209	207	7,589	1,105	8,317	1,429	8,655	8,921	8,921	42,691
TOTAL INTERNAL FUNDING	0	1,861	16,152	10,395	4,910	7,586	4,411	6,997	6,820	6,820	47,950
Economy & Place - Transport, Highways & Environment											
Highway Resurfacing & Reconstruction (Struct Maint)		2,843		2,767		2,691		2,577	2,577	2,577	13,455
Targeted Investment for Highways Improvement		100		100		100		100		0	400
Highway, Footway & Cycleway Improvement Acceleration		1,000		1,000		1,000		1,000	1,000	1,000	5,000
Special Bridge Maintenance (Struct Maint)		600		200		200		0		0	1,000
Replacement of Unsound Lighting Columns		578		578		578		578	578	578	2,890
LED Lighting Replacement Programme		0		0		0		0		0	0
Watercourse Restoration		0		0		0		0		0	0
Highways Drainage Works		200		200		200		200	200	200	1,000
Drainage Investigation & Renewal	50	250	50	250	250	250		0		0	750
Highways, Road Adoption and Drainage Fund		0		0		0		0		0	0
Pothole Spotter Trial		0		0		0		0		0	0
Wheeled Bins in Back Lane and Terraced Areas		0		0		0		0		0	0
Built Environment Fund		1,787		0		0		0		0	1,787
Harewood Whin Transfer Station		0		0		0		0		0	0
Fleet Acquisition		0		0		0		0		0	0
Parks and Open Spaces Development		0		0		0		0		0	0
War Memorial		0		0		0		0		0	0
Better Play Areas		0		0		0		0		0	0
Public Conveniene Facilities		0		0		0		0		0	0
River Safety		0		0		0		0		0	0
Litter Bin Replacement Programme		175		175		0		0		0	350
Knivesmire Culverts		266		0		0		0		0	266
Better Bus Area Fund		200		0		0		0		0	200
Local Transport Plan (LTP)		2,170		1,570		1,570		1,570	1,570	1,570	8,450
York City Walls - Repairs & Renewals (City Walls)		90		90		90		90		0	360
York City Walls Restoration Programme		400		300		300		300	300	300	1,600
Access York		0		0		0		0		0	0
Flood Defences		317		0		0		0		0	317
Highways Improvements		0		0		0		0		0	0
Scarborough Bridge		4,208		0		0		0		0	4,208
Hungate and Peasholme Public Realm		0		0		0		0		0	0
WYTF - YORR		9,260		11,400		8,100		4,400		0	33,160
WYTF - York Central Access		12,170		10,800		7,300		6,200		0	36,470
WYTF - Dualling Study		195		0		0		0		0	195
National Productivity Improvement Fund		0		0		0		0		0	0
Potholes		184		184		184		0		0	552

	2018/19 Budget £000	2018/19 Revised Budget £000	2018/19 Budget £000	2019/20 Revised Budget £000	2018/19 Budget £000	2020/21 Revised Budget £000	2018/19 Budget £000	2021/22 Revised Budget £000	2018/19 Budget £000	2022/23 Revised Budget £000	Gross Capital Programme To be Funded 18/19 - 22/23 £000
Silver Street & Coppergate Toilets	250	0		0		0		0		0	0
Osbalwick Beck Maintenance		0		0		0		0		0	0
Fleet & Workshop Operational Equipment	86	0		0		0		0		0	86
Fordlands Road Flood Defences	200	200	300	300		0		0		0	500
Highways Materials Specialist storage	80	80		0		0		0		0	80
National Cycle Network 65 Targeted Repairs	250	250	250	250		0		0		0	500
Non Illuminated Structural asset renewal	100	100		0		0		0		0	100
Hazel Court conversion of storage area to operational hub	100	100		0		0		0		0	100
CCTV Asset Renewal	180	180	110	110		0		0		0	290
Public Realm footpaths	50	50		0		0		0		0	50
Smarter Travel Evolution Programme	1,425	1,425	1,425	1,425		0		0		0	2,850
Electric Bus Scheme	3,300	3,300		0		0		0		0	3,300
City Fibre Network	50	100	50	100	50	100		50		0	350
TOTAL GROSS EXPENDITURE	5,871	42,864	2,185	31,799	300	22,663	50	17,065	6,225	6,225	120,616
TOTAL EXTERNAL FUNDING	4,725	34,272	1,425	27,396	0	19,095	0	13,997	3,397	3,397	98,157
TOTAL INTERNAL FUNDING	1,146	8,592	760	4,403	300	3,568	50	3,068	2,828	2,828	22,459
Economy & Place - Regeneration & Asset Management											0
LCR Revolving Investment Fund		0		0		0				0	0
York Central		4,549		0		0				0	4,549
29 Castlegate Repairs		0		0		0				0	0
Decent Home Standards Works		0		0		0				0	0
Fishergate Postern		0		0		0				0	0
Holgate Park Land – York Central Land and Clearance		0		0		0				0	0
Asset Maintenance + Critical H&S Repairs		220		220		220		220	220	220	1,100
Community Asset Transfer		155		0		0				0	155
River Bank repairs		181		0		0				0	181
Stonebow House Freehold		0		0		0				0	0
Small Business Workshops		0		0		0				0	0
Castle Gateway (Picadilly Regeneration)		0		0		0				0	0
Guildhall		9,415		640		0				0	10,055
Critical Repairs and Contingency		274		0		0				0	274
23 & 36 Hospital Fields Road		0		0		0				0	0
Commercial Property Acquisition incl Swinegate		0		0		0				0	0
Shambles Health & Safety	150	150		0		0				0	150
Air Quality Monitoring (Gfund)		0		0		0				0	0
TOTAL GROSS EXPENDITURE	150	14,944		860		220		220	220	220	16,464
TOTAL EXTERNAL FUNDING	0	755	0	0	0	0	0	0	0	0	755
TOTAL INTERNAL FUNDING	150	14,189	0	860	0	220	0	220	220	220	15,709
Customer & Corporate Services - Community Stadium											0
Community Stadium		26,802		3,305		0		0		0	30,107
TOTAL GROSS EXPENDITURE		26,802		3,305		0		0		0	30,107
TOTAL EXTERNAL FUNDING		16,840		3,305		0		0		0	20,145
TOTAL INTERNAL FUNDING		9,962		0		0		0		0	9,962
Customer & Corporate Services											0
Fire Safety Regulations - Adaptations		102		0		0		0		0	102
Removal of Asbestos		100		50		50		50		0	250
Hazel Court - Office of the Future Improvements		0		0		0		0		0	0
Mansion House Restoration		169		0		0		0		0	169
Project Support Fund		200		200		200		200	200	200	1,000
Low Carbon and Solar Panels Investment		0		0		0		0		0	0
Photovoltaic Energy Programme		250		0		0		0		0	250
One Planet Council - Energy Efficiency	250	250		0		0		0		0	250
West Offices - Admin Accom		0		0		0		0		0	0
West Offices - Major repairs		0		0		0		0		0	0
Capital Contingency											0
Capital Contingency	250	250		0		0		0		0	250
- External Funding		0		0		0		0		0	0
- Internal Funding	250	250		0		0		0		0	250
TOTAL GROSS EXPENDITURE	0	500	1,321	250		250		250	200	200	2,271
TOTAL EXTERNAL FUNDING	0	96	0	0	0	0	0	0	0	0	96
TOTAL INTERNAL FUNDING	500	1,225	0	250	0	250	0	250	200	200	2,175
Customer & Corporate Services - IT											0
IT Development plan	350	3,890	350	2,320	350	1,435		1,770	1,970	1,970	11,385
IT Superconnected Cities		0		0		0		0		0	0
TOTAL GROSS EXPENDITURE	350	3,890	350	2,320	350	1,435	0	1,770	1,970	1,970	11,385
TOTAL EXTERNAL FUNDING	0	0	0	0	0	0	0	0	0	0	0
TOTAL INTERNAL FUNDING	350	3,890	350	2,320	350	1,435	0	1,770	1,970	1,970	11,385
Gross Expenditure by Department											
CEC - Children, Education & Communities	250	10,388	0	8,988	0	9,142	0	8,500	0	0	37,018
HH&ASC - Adult Social Care & Adult Services Commissioning	-1	3,144	9	1,116	30	595	51	616	638	638	6,109
HH&ASC - Housing & Community Safety	1,697	25,361	5,776	17,984	6,015	15,903	5,840	15,652	15,741	15,741	90,641
Economy & Place - Transport, Highways & Environment	5,871	42,864	2,185	31,799	300	22,663	50	17,065	6,225	6,225	120,616
Economy & Place - Regeneration & Asset Management	150	14,944	0	860	0	220	0	220	220	220	16,464
Customer & Corporate Services - Community Stadium	0	26,802	0	3,305	0	0	0	0	0	0	30,107
Customer & Corporate Services	500	1,321	0	250	0	250	0	250	200	200	2,271
Customer & Corporate Services - IT	350	3,890	350	2,320	350	1,435	0	1,770	1,970	1,970	11,385
Total by Department	8,817	128,714	8,320	66,622	6,695	50,208	5,941	44,073	24,994	24,994	314,611
Total External Funds by Department											
CEC - Children, Education & Communities	0	5,336	0	8,788	0	9,142	0	8,500	0	0	31,766
HH&ASC - Adult Social Care & Adult Services Commissioning	0	0	0	0	0	0	0	0	0	0	0
HH&ASC - Housing & Community Safety	-164	9,209	207	7,589	1,105	8,317	1,429	8,655	8,921	8,921	42,691
Economy & Place - Transport, Highways & Environment	4,725	34,272	1,425	27,396	0	19,095	0	13,997	3,397	3,397	98,157
Economy & Place - Regeneration & Asset Management	0	755	0	0	0	0	0	0	0	0	755
Customer & Corporate Services - Community Stadium	0	16,840	0	3,305	0	0	0	0	0	0	20,145
Customer & Corporate Services	0	96	0	0	0	0	0	0	0	0	96
Customer & Corporate Services - IT	0	0	0	0	0	0	0	0	0	0	0
Total External Funds by Department	4,561	66,508	1,632	47,078	1,105	36,554	1,429	31,152	12,318	12,318	193,610
Total CYC Funding required by Department											
CEC - Children, Education & Communities	250	5,052	0	200	0	0	0	0	0	0	5,252
HH&ASC - Adult Social Care & Adult Services Commissioning	-1	3,144	9	1,116	30	595	51	616	638	638	6,109
HH&ASC - Housing & Community Safety	1,861	16,152	5,569	10,395	4,910	7,586	4,411	6,997	6,820	6,820	47,950
Economy & Place - Transport, Highways & Environment	1,146	8,592	760	4,403	300	3,568	50	3,068	2,828	2,828	22,459
Economy & Place - Regeneration & Asset Management	150	14,189	0	860	0	220	0	220	220	220	15,709

ANNEX A Capital Budget 2018/19 to 2022/23

	2018/19 Budget £000	2018/19 Revised Budget £000	2018/19 Budget £000	2019/20 Revised Budget £000	2018/19 Budget £000	2020/21 Revised Budget £000	2018/19 Budget £000	2021/22 Revised Budget £000	2018/19 Budget £000	2022/23 Revised Budget £000	Gross Capital Programme To be Funded 18/19 - 22/23 £000
Customer & Corporate Services - Community Stadium	0	9,962	0	0	0	0	0	0	0	0	9,962
Customer & Corporate Services	500	1,225	0	250	0	250	0	250	200	200	2,175
Customer & Corporate Services - IT	350	3,890	350	2,320	350	1,435	0	1,770	1,970	1,970	11,385
Total CYC Funding required	4,256	62,206	6,688	19,544	5,590	13,654	4,512	12,921	12,676	12,676	121,001

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Capital Budget Process 2018/19 - 2022/23

Growth Only

Table 1

Directorate	Portfolio	Council Priority	Note Ref	Rolling Programme Schemes - Additional Years/Amendments Funded by CYC Borrowing
Place	Env	A focus on frontline services	a)	Highway Drainage Works
Place	T&P	A prosperous city for all	b)	York City Walls - Restoration programme
Place	T&P	A prosperous city for all	c)	Highway, Footway & Cycleway Improvement Acceleration
Place	T&P	A prosperous city for all	d)	Highways Resurfacing & Reconstruction (CYC element only) *
Place	T&P	A focus on frontline services	e)	Concrete Street lighting column replacement program
Place	AM	A focus on frontline services	f)	Asset Maintenance + Critical H&S Repairs
Place	T&P	A focus on frontline services	g)	City Fibre Network
Place	Envir	A focus on frontline services	h)	Drainage investigation and renewal
H&W	ASC & H	A focus on frontline services	i)	Disability Support budget
H&W	ASC & H	A focus on frontline services	j)	Major items of disability equipment
H&W	ASC & H	A focus on frontline services	k)	Telecare equipment
H&W	HSN	A focus on frontline services	l)	Disabled Facilities Grant (CYC element only)
Corporate	F&P	A focus on frontline services	m)	IT Development Plan
Corporate	F&P	A focus on frontline services	n)	Project support fund
Corporate	F&P	A focus on frontline services	o)	Contingency

TOTAL - Funded by CYC Prudential Borrowing

Incremental Revenue Growth

Table 2

Directorate	Portfolio		Ref	Rolling Programme Schemes - Additional Years/Amendments Funded Externally (Government Grant)
Place	T&P	A prosperous city for all	d)	Highways Resurfacing & Reconstruction (Grant element only) *
Place	T&P	A focus on frontline services	p)	Local Transport Plan - Road Safety Scheme Programme
H&W	HSN	A focus on frontline services	l)	Disabled Facilities Grant (Grant element only)

TOTAL - Funded Externally

Incremental Revenue Growth

Table 3

Directorate	Portfolio		Ref	New Schemes - CYC Funded
Place	T&P	A prosperous city for all	q)	Fleet & Workshop operational equipment
Place	Envir	A focus on frontline services	r)	Fordlands Road flood defences
Place	T&P	A prosperous city for all	s)	Highways materials specialist storage
Place	T&P	A prosperous city for all	t)	National Cycle Network 65 Targeted repairs
Place	T&P	A prosperous city for all	u)	Non Illuminated structural asset renewal
Place	Envir	A focus on frontline services	v)	Hazel Court conversion of storage area to Operational hub
Place	T&P	A prosperous city for all	w)	CCTV Asset renewal
Place	T&P	A prosperous city for all	x)	Public Realm footpaths
Place	AM	A focus on frontline services	y)	Shambles Health and Safety
Place	AM	A focus on frontline services	y)	Energise roof
Corporate	F&P	A prosperous city for all	z)	One Planet Council - Energy Efficiency

TOTAL - Funded by CYC Prudential Borrowing

Incremental Revenue Growth

Table 4

Directorate	Portfolio		Ref	New Schemes - Externally Funded
Place	T&P	A focus on frontline services		Smarter Travel Evolution Programme
Place	T&P	A focus on frontline services		Electric Bus Scheme

Growth above existing approved budget

18/19 £000	19/20 £000	20/21 £000	21/22 £000	22/23 £000	Total £000
-	-	-	-	200	200
-	-	-	-	300	300
-	-	-	-	1,000	1,000
-	-	-	-	750	750
-	-	-	-	578	578
-	-	-	-	220	220
50	50	50	50	-	200
50	50	250	-	-	350
-	-	10	20	240	270
(1)	2	6	10	139	156
-	7	14	21	259	301
-	-	-	-	475	475
350	350	350	-	1,970	3,020
-	-	-	-	200	200
250	-	-	-	-	250
699	459	680	101	6,331	8,270

49 32 48 7 443 579

£000	£000	£000	£000	£000	£000
				1,827	1,827
-	-	-	-	1,570	1,570
196	196	196	196	1,199	1,983
196	196	196	196	4,596	5,380

n/a n/a n/a n/a n/a n/a

£000	£000	£000	£000	£000	£000
86	-	-	-	-	86
200	300	-	-	-	500
80	-	-	-	-	80
250	250	-	-	-	500
100	-	-	-	-	100
100	-	-	-	-	100
180	110	-	-	-	290
50	-	-	-	-	50
150	-	-	-	-	150
250	-	-	-	-	250
250	-	-	-	-	250
1,696	660	-	-	-	2,356

119 46 0 0 0 165

£000	£000	£000	£000	£000	£000
1,425	1,425				2,850
3,300					3,300

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TOTAL

4,725	1,425	-	-	-	6,150

Table 5

Directorate	Portfolio			HRA Schemes
H&W	HSN	A focus on frontline services	1)	MRA Schemes
H&W	HSN	A focus on frontline services	2)	Modernisation of Local Authority Homes
H&W	HSN	A focus on frontline services	3)	Water Mains Upgrades
H&W	HSN	A focus on frontline services	4)	Asst to Older and Disabled People
H&W	HSN	A focus on frontline services	5)	IT infrastructure
H&W	HSN	A focus on frontline services	6)	Housing Environmental Improvement Programme
H&W	HSN	A focus on frontline services	7)	Local Authority Homes - New build project

TOTAL - HRA Funded

£000	£000	£000	£000	£000	£000
(360)	(239)	659	983	7,472	8,515
1,853	1,044	264	(228)	940	3,873
-	(231)	(107)	(111)	25	(424)
8	6	3	-	460	477
-	-	-	-	-	-
-	-	-	-	170	170
-	5,000	5,000	5,000	5,000	20,000
1,501	5,580	5,819	5,644	14,067	32,611

Table 6

Funded Split
Total CYC Prudential Borrowing
Other Internal Funding
Total External Funding
Total HRA Funding
Overall Increase in Capital Programme

18/19	19/20	20/21	21/22	22/23	Total
£000	£000	£000	£000	£000	£000
2,395	1,119	680	101	6,331	10,626
-	-	-	-	-	-
4,921	1,621	196	196	4,596	11,530
1,501	5,580	5,819	5,644	14,067	32,611
8,817	8,320	6,695	5,941	24,994	54,767

Table 7

Revenue Impact
Incremental Revenue Growth of CYC Prudential Borrowing
Overall Revenue Impact (Cost to CYC)

168	78	48	7	443	744
168	78	48	7	443	744

*** To Note -**

The revenue costs in 18/19 will be lower as no actual borrowing is likely to be taken in 18/19, and no budget increase is proposed. The figure shown is the full year implications which ultimately be a cost in future years.



Executive

8 February 2018

Report of the Deputy Chief Executive / Director of Customer and Corporate Services, Portfolio of the Executive Leader (incorporating Finance & Performance)

Treasury Management Strategy Statement and Prudential Indicators for 2018/19 to 2022/23

Report Summary

1. The purpose of this report is to seek the recommendation of Executive to Full Council for the approval of the treasury management strategy and prudential indicators for the 2018/19 financial year.

Recommendations

2. Executive are asked to recommend that Council approve:
 - The proposed Treasury Management Strategy for 2018/19 including the annual investment strategy and the minimum revenue provision policy statement;
 - The prudential indicators for 2018/19 to 2022/23 in the main body of the report;
 - The specified and non-specified investments schedule (annex B)
 - The scheme of delegation and the role of the section 151 officer (annex D)

Reason: To enable the continued effective operation of the treasury management function and ensure that all Council borrowing is prudent, affordable and sustainable.

Background

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

the borrowing need of the Council, essentially the longer term cash flow planning, to ensure that the Council can meet its capital spending obligations. This management of longer term cash may involve arranging long or short term loans, or using longer term cash flow surpluses. On occasion any debt previously drawn may be restructured to meet Council risk or cost objectives.

5. CIPFA (Chartered Institute of Public Finance and Accountancy) defines treasury management as:

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

Reporting requirements

6. The Council is currently required to receive and approve, as a minimum, three main reports each year, which incorporate a variety of policies, estimates and actuals. The three reports are:
- **Treasury management strategy statement and prudential indicators report** (this report) – which covers the capital plans including prudential indicators, the minimum revenue provision policy, the treasury management strategy and the annual investment strategy;
 - **Mid year treasury management report** – updates members as to whether the treasury activities are meeting the strategy, whether any policies require revision, amending prudential indicators if necessary;
 - **Annual treasury report** – updates on treasury activity/ operations for the year and compares actual prudential indicators with estimates in the strategy.
7. These reports are required to be scrutinised before being recommended to the Council. This scrutiny role is undertaken by Audit & Governance Committee.
8. The CIPFA Code requires the responsible officer to ensure that members with responsibility for treasury management receive adequate training in treasury management. This especially applies to members responsible for scrutiny. The training needs of treasury management officers is also periodically reviewed.

Capital Strategy

9. In December 2017, CIPFA issued revised Prudential and Treasury Management Codes. As from 2019/20, all local authorities will be required

to prepare an additional report, a Capital Strategy report, which is intended to provide the following: -

- a high-level overview of how capital expenditure, capital financing and treasury management activity contribute to the provision of services
- an overview of how the associated risk is managed
- the implications for future financial sustainability

10. The aim of this report is to ensure that elected members fully understand the overall strategy, governance procedures and risk appetite entailed by this Strategy. The Council already covers much of this within the existing Capital Strategy report (elsewhere on this agenda). However, we will continue to review the information included to ensure we reflect the statutory guidance in this area.

11. The Capital Strategy will include, along with the capital expenditure, investments and liabilities and treasury management in sufficient detail to allow all members to understand how stewardship, value for money, prudence, sustainability and affordability will be secured.

Treasury management strategy for 2018/19

12. The treasury management strategy for 2018/19 covers two main areas:

Capital issues

- the capital programme and prudential indicators;
- minimum revenue provision (MRP) policy.

Treasury management issues

- prudential indicators which will limit the treasury management risk and activities of the Council;
- the current treasury position;
- prospects for interest rates;
- the borrowing strategy;
- policy on borrowing in advance of need;
- debt rescheduling;
- creditworthiness policy;
- investment strategy;
- policy on use of external service providers;
- scheme of delegation and the role of the S151 officer

13. These elements cover the statutory and regulatory requirements of the Local Government Act 2003, the CIPFA Prudential Code, the Communities and Local Government (CLG) Minimum Revenue Provision (MRP) Guidance, the CIPFA Treasury Management Code and the CLG Investment Guidance.

The capital prudential indicators 2018/19 – 2022/23

14. The Council's capital expenditure plans are the key driver of treasury management activity and are the subject of a separate report on this agenda. The output of the capital programme is reflected in the capital prudential indicators, which are designed to assist member's overview of the council's capital programme to ensure that the capital expenditure plans are affordable, sustainable and prudent.

15. The capital prudential indicators along with the treasury management prudential indicators are included throughout the report:

- PI 1: Capital expenditure
- PI 2: Capital financing requirement
- PI 3: Ratio of financing cost to net revenue stream
- PI 4: External debt
- PI 5a: Authorised limit for external debt
- PI 5b: Operational boundary for external debt
- PI 5c: Housing revenue account (HRA) debt limit
- PI 6: Maturity structure of debt
- PI 7: Surplus funds invested >364 days

16. **Prudential indicator 1 - capital expenditure.** This prudential Indicator is a summary of the Council's capital expenditure plans forming part of this budget cycle. 2017/18 is included as a comparator. Detailed information on the individual schemes is provided in the capital monitor 3 and capital strategy report.

Capital Expenditure	2017/18 Estimate £m	2018/19 Estimate £m	2019/20 Estimate £m	2020/21 Estimate £m	2021/22 Estimate £m	2022/23 Estimate £m
General fund (Non HRA)	72.0	105.0	50.3	36.0	30.1	10.9
Housing revenue account	23.6	23.7	16.3	14.2	14.0	14.1
Total	95.5	128.7	66.6	50.2	44.1	25.0

Table 1: Capital expenditure

17. Table 1 details the capital expenditure of the Council, based on the capital programme strategy report, excluding other long term liabilities, such as PFI

and leasing arrangements which already include borrowing instruments. There are no new PFI schemes forecast to be entered into in 2018/19.

18. Further details on this capital expenditure, and how it is funded, are included within the Capital Strategy report elsewhere on this agenda.

19. **Prudential indicator 2 - the capital financing requirement (CFR) (Council's borrowing need)**; the second prudential indicator is the Council's capital financing requirement (CFR). The CFR is simply the total historic outstanding capital expenditure which has not yet been paid for from either revenue or capital resources. It is essentially a measure of the Council's underlying borrowing need. Any capital expenditure above, which has not immediately been paid for, will increase the CFR.

20. The CFR does not increase indefinitely, because the minimum revenue provision (MRP) is a statutory annual revenue charge which broadly reduces the indebtedness in line with each assets life, and so charges the economic consumption of capital assets as they are used.

21. The CFR includes any other long term liabilities (e.g. PFI schemes, finance leases). Whilst these increase the CFR, and therefore the Council's overall borrowing requirement, these types of scheme include a borrowing facility and so the Council is not required to separately borrow for these schemes. As set out in paragraph 39 table 5 the projected level of debt is significantly below the CFR over the 5 year period.

22. Table 2 below, shows the capital financing requirement, excluding other long term liabilities:

Capital Financing Requirement	2017/18 Estimate £m	2018/19 Estimate £m	2019/20 Estimate £m	2020/21 Estimate £m	2021/22 Estimate £m	2022/23 Estimate £m
Non Housing	210.3	244.0	243.1	240.0	236.8	233.7
Housing	139.0	139.0	139.0	139.0	139.0	139.0
Total CFR	349.3	383.0	382.1	379.0	375.8	372.7

Table 2: Capital financing requirement (CFR)

Minimum revenue provision (MRP) policy statement

23. The Council is required to pay off an element of the accumulated general fund capital expenditure each year (the CFR) through a revenue charge (the minimum revenue provision - MRP), although it is also allowed to

undertake additional voluntary payments if required (voluntary revenue provision - VRP).

24. CLG regulations require full Council to approve an MRP statement in advance of each year. A variety of options are provided to councils, so long as there is prudent provision.
25. Full Council is requested to approved the following MRP statement: For capital expenditure incurred before 1 April 2008 the MRP policy will be:
 - **Asset life method (local approach)** - MRP will be based on the average life of the overall asset base of 33 years. This will be calculated as 3% on a fixed, straight line basis.
26. This provides for a 3% reduction in the borrowing need (CFR) each year.
27. From 1 April 2008 for all borrowing (including PFI and finance leases) the MRP policy will be:
 - **Asset life method** – MRP will be based on the estimated life of the assets, in accordance with the regulations (this option must be applied for any expenditure capitalised under a Capitalisation Direction);
28. This option provides for a reduction in the borrowing need over approximately the asset's life. The asset life is an absolute maximum and wherever possible debt is repaid over a shorter period. Estimated asset life periods will be determined under delegated powers. With all debts, the longer the repayment period the higher the amount of interest incurred over the period of the loan and accordingly it is deemed prudent to reduce the period over which the repayments are made.
29. There is no requirement on the HRA to make a minimum revenue provision but there is a requirement for a charge for depreciation to be made (although there are transitional arrangements in place).
30. Repayments included in annual PFI or finance leases are also applied as MRP.

Affordability prudential indicators

31. The prudential indicators mentioned so far in the report cover the overall capital programme and the control of borrowing through the capital financing requirement (CFR), but within this framework prudential indicators are required to assess the affordability of capital investment plans. These provide an indication of the impact of the capital programme investment plans on the Council's overall finances.
32. **Prudential indicator 3 - ratio of financing costs to net revenue stream.** This indicator identifies the trend in the cost of capital (borrowing and other

long-term obligation costs net of investment income) and compares it to the Council's net revenue stream.

Financing Costs	2017/18 Estimate %	2018/19 Estimate %	2019/20 Estimate %	2020/21 Estimate %	2021/22 Estimate %	2022/23 Estimate %
Non-HRA	10.91	11.73	12.73	13.06	13.11	13.21
HRA	12.99	13.23	13.23	13.23	13.23	13.23

Table 3: Ratio of financing costs to net revenue stream

33. The estimates of financing costs include current commitments and the proposals in the capital budget report considered elsewhere on this agenda.
34. The capital prudential indicators set out above ensure that the Council's capital expenditure plans are affordable, sustainable and prudent. The treasury management function ensures that cash is available to meet the Council's requirements in accordance with the Local Government Act 2003 and relevant professional codes
35. The treasury management function involves both the forecasting of the cash flow and, where capital plans require, the organisation of appropriate borrowing facilities. The strategy covers the prudential / treasury indicators, the current and projected debt positions and the annual investment strategy.

Current portfolio position

36. The Council's treasury portfolio position at 25th January 2018 is detailed below in table 4:

Institution Type	Principal	Average Rate
<u>Public Works Loan Board (PWLB)</u> – Money borrowed from the Debt Management Office (Treasury Agency)	£235.1m	3.64%
<u>Market Loans</u>		
Club loan – A loan taken in conjunction with 2 other authorities	£10.0m	7.15%
LOBO Loans (2) – Lender Option Borrower Option	£10.0m	3.74%
<u>West Yorkshire Combined Authority</u>	£1.8m	0.00%

WYCA (2) – Zero interest loans the purpose of which are to help to fund York Central infrastructure projects		
Total Gross Borrowing (GF & HRA)	£256.9m	3.76%
Total Investments	£114.0m	0.42%

Table 4: Current position at 25th January 2018

37. The Council had £256.9m of fixed interest rate debt, of which £139m was HRA and £117.9m general fund. The cash balance available for investment was £114.0m. This relatively high level of cash balances is due to timing issues with some significant receipts that are received in advance of expenditure being incurred, as well as holding specific balances to meet an identified need or risk. It is expected that the average balance will start to reduce in coming years.

38. Within the prudential indicators, there are a number of key indicators to ensure that the Council operates its activities within well defined limits, thereby managing risk and reducing the impact of any adverse movement in interest rates. One of these is that the Council needs to ensure that its total gross debt does not, except in the short term, exceed the total of the capital financing requirement (CFR) in the preceding year plus the estimates of any additional CFR for 2018/19 and the following two financial years. This allows the flexibility to borrow in advance of need but ensures that borrowing is not undertaken for revenue purposes.

39. **Prudential indicator 4 – external debt** Table 5 shows that the estimated gross debt position of the Council does not exceed the underlying capital borrowing need. The Director of Customer & Corporate Services (s151 officer) confirms that the Council complies with this prudential indicator and does not envisage difficulties for the future.

	2017/18 Estimate £m	2018/19 Estimate £m	2019/20 Estimate £m	2020/21 Estimate £m	2021/22 Estimate £m	2022/23 Estimate £m
Gross projected debt	261.8	251.6	270.5	285.3	288.2	293.3
Total CFR	349.3	383.0	382.1	378.9	375.8	372.7
Under/(over) borrowed	Under	Under	Under	Under	Under	Under

Table 5: External debt < capital financing requirement

40. Table 5 shows a gap between actual and estimated borrowing and the CFR (driven by the use of internal funds to finance capital expenditure).

The decision as to whether to continue to do this will take into account current assumptions on borrowing rates and levels of internal reserves and balances held by the Council. The figures above show an increase in the gap between CFR and external debt up to 2018/19 before a decrease from 2019/20 over the 5 year period based on current estimates, however this will be determined by the s151 officer and the figure above is a current broad assumption. Actual borrowing will be determined by the circumstances that prevail at the time on borrowing rates and levels of cash balances.

Prudential indicators: limits on authority to borrow

41. Prudential indicator 5A – authorised borrowing limit - It is a statutory duty under Section 3 (1) of the Local Government Act 2003 and supporting regulations, for the Council to determine and keep under review how much it can afford to borrow. This amount is termed the “authorised borrowing limit”, and represents a control on the maximum level of debt. This is a limit beyond which external debt is prohibited, and this limit needs to be set or revised by the full Council. It reflects the level of external debt, which, while not desired, could be afforded in the short term, but is not sustainable in the longer term.

Authorised Limit	2017/18 (set at 17/18 Strategy) £m	2018/19 Estimate £m	2019/20 Estimate £m	2020/21 Estimate £m	2021/22 Estimate £m	2022/23 Estimate £m
Borrowing	256.9	246.9	265.9	280.9	283.9	289.2
Total CFR	353.5	383.0	382.1	379.0	375.8	372.7
Operational Boundary	363.5	393.0	392.1	389.0	385.8	382.7
Other long term liabilities	30.0	30.0	30.0	30.0	30.0	30.0
Total	393.5	423.0	422.1	419.0	415.8	412.7

Table 6: Authorised borrowing limit

42. Prudential indicator 5B – operational boundary. In addition to the “authorised borrowing limit”, the operational boundary is the maximum level of debt allowed for on an ongoing operational purpose. In most cases, this would be a similar figure to the CFR, but may be lower or higher depending on the levels of actual debt.

Operational Boundary	2017/18 (set in 17/18 strategy) £m	2018/19 Estimate £m	2019/20 Estimate £m	2020/21 Estimate £m	2021/22 Estimate £m	2022/23 Estimate £m
Borrowing	256.9	246.9	265.9	280.9	283.9	289.2
Total CFR	353.5	383.0	382.1	379.0	375.8	372.7
Short term liquidity	10.0	10.0	10.0	10.0	10.0	10.0
Total	363.5	393.0	392.1	389.0	385.8	382.7

Table 7: Operational boundary

43. Separately, the Council is also limited to a maximum HRA CFR through the HRA self-financing regime, known as the HRA debt limit or debt cap. This limit is currently:

HRA Debt Limit	2017/18 Estimate £m	2018/19 Estimate £m	2019/20 Estimate £m	2020/21 Estimate £m	2021/22 Estimate £m	2022/23 Estimate £m
Total HRA	146.0	146.0	146.0	146.0	146.0	146.0

Table 8: HRA debt limit

Prospects for interest rates

44. Current interest rates and the future direction of both long term and short term interest rates have a major influence on the overall treasury management strategy and affects both investment and borrowing decisions. To facilitate treasury management officers in making informed investment and borrowing decisions, the Council has appointed Link Asset Services as its treasury adviser. Part of their service is to assist the Council in formulating a view on interest rates. Table 9 below gives Link's central view:

	Bank rate %	PWLB borrowing rates % (including certainty rate adjustment)		
		5 year	25 year	50 year
Dec 2017	0.50	1.50	2.80	2.50
Mar 2018	0.50	1.60	2.90	2.60
Jun 2018	0.50	1.60	3.00	2.70
Sep 2018	0.50	1.70	3.00	2.80
Dec 2018	0.75	1.80	3.10	2.90
Mar 2019	0.75	1.80	3.10	2.90
Jun 2019	0.75	1.90	3.20	3.00
Sep 2019	0.75	1.90	3.20	3.00
Dec 2019	1.00	2.00	3.30	3.10
Mar 2020	1.00	2.10	3.40	3.20
Dec 2020	1.25	2.30	3.60	3.40
Mar 2021	1.25	2.30	3.60	3.40

Table 9 – Link's interest rate forecast

45. As expected, the Monetary Policy Committee (MPC) delivered a 0.25% increase in Bank Rate at its meeting on 2 November. This removed the emergency cut in August 2016 after the EU referendum. The MPC also gave forward guidance that they expected to increase Bank Rate only twice more by 0.25% by 2020 to end at 1.00%. The Link Asset Services forecast above includes Bank Rate increase of 0.25% in November 2018, November 2019 and August 2020.
46. The overall longer run trend is for gilt yields and PWLB rates to rise, albeit gently. It has long been expected that, at some point, there would be a more protracted move from bonds to equities after a historic long term trends, over about the last 25 years, of falling bond yields. The action of central banks since the financial crash of 2008, in implementing substantial Quantitative Easing, added further impetus to this downward trend in bond yields and rising bond prices. Quantitative Easing has also directly led to a rise in equity values as investors searched for higher returns and took on riskier assets. The sharp rise in bond yields since the US Presidential election in November 2016 has called into question whether the previous trend may go into reverse, especially now the Fed. Has taken the lead in reversing monetary policy by starting, in October 2017, a policy of not fully reinvesting proceeds from bonds that it holds when they mature.
47. Until 2015, monetary policy was focused on providing stimulus to economic growth but has since started to refocus on countering the threat of rising inflationary pressures as stronger economic growth becomes more firmly established. The Fed. has started raising interest rates and this trend is expected to continue during 2018 and 2019. These increases will make holding US bonds much less attractive and cause their prices to fall, and therefore bond yields to rise. Rising bond yields in the US are likely to exert some upward pressure on bond yields in the UK and other developed economies. However, the degree of that upward pressure is likely to be dampened by how strong or weak the prospects for economic growth and rising inflation are in each country, and on the degree of progress towards the reversal of monetary policy away from quantitative easing and other credit stimulus measures.
48. From time to time, gilt yields – and therefore PWLB rates - can be subject to exceptional levels of volatility due to geo-political, sovereign debt crisis and emerging market developments. Such volatility could occur at any time during the forecast period.
49. Economic and interest rate forecasting remains difficult with so many external influences weighing on the UK. The above forecasts (and MPC decisions) will be liable to further amendment depending on how economic data and developments in financial markets transpire over the next year. Geopolitical developments, especially in the EU, could also have a major

impact. Forecasts for average investment earnings beyond the three-year time horizon will be heavily dependent on economic and political developments.

50. The overall balance of risks to economic recovery in the UK is probably to the downside, particularly with the current level of uncertainty over the final terms of Brexit.

51. Downside risks to current forecasts for UK gilt yields and PWLB rates currently include:

- The Bank of England takes action too quickly over the next three years to raise Bank Rate and causes UK economic growth, and increases in inflation, to be weaker than we currently anticipate.
- Geopolitical risks, especially North Korea, but also in Europe and the Middle East, which could lead to increasing safe haven flows.
- A resurgence of the Eurozone sovereign debt crisis, possibly Italy, due to its high level of government debt, low rate of economic growth and vulnerable banking system.
- Weak capitalisation of some European banks.
- Germany is still without an effective government after the inconclusive result of the general election in October. In addition, Italy is to hold a general election on 4 March and the anti EU populist Five Star party is currently in the lead in the polls, although it is unlikely to get a working majority on its own. Both situations could pose major challenges to the overall leadership and direction of the EU as a whole and of the individual respective countries. Hungary will hold a general election in April 2018.
- The result of the October 2017 Austrian general election has now resulted in a strongly anti-immigrant coalition government. In addition, the Czech ANO party became the largest party in the October 2017 general election on a platform of being strongly against EU migrant quotas and refugee policies. Both developments could provide major impetus to other, particularly former Communist bloc countries, to coalesce to create a major block to progress on EU integration and centralisation of EU policy. This, in turn, could spill over into impacting the Euro, EU financial policy and financial markets.
- Rising protectionism under President Trump
- A sharp Chinese downturn and its impact on emerging market countries

52. The potential for upside risks to current forecasts for UK gilt yields and PWLB rates, especially for longer term PWLB rates include: -

- The Bank of England is too slow in its pace and strength of increases in Bank Rate and, therefore, allows inflation pressures to build up too strongly within the UK economy, which then necessitates a later rapid series of increases in Bank Rate faster than we currently expect.
- UK inflation returning to sustained significantly higher levels causing an increase in the inflation premium inherent to gilt yields.
- The Fed causing a sudden shock in financial markets through misjudging the pace and strength of increases in its Fed. Funds Rate and in the pace and strength of reversal of Quantitative Easing, which then leads to a fundamental reassessment by investors of the relative risks of holding bonds, as opposed to equities. This could lead to a major flight from bonds to equities and a sharp increase in bond yields in the US, which could then spill over into impacting bond yields around the world.

Investment and borrowing rates

53. Investment returns are likely to remain low during 2018/19 but to be on a gently rising trend over the next few years.

54. Borrowing interest rates increased sharply after the result of the general election in June and then also after the September MPC meeting when financial markets reacted by accelerating their expectations for the timing of Bank Rate increases. Since then, borrowing rates have eased back again somewhat. Apart from that, there has been little general trend in rates during the current financial year. The policy of avoiding new borrowing by running down spare cash balances has served well over the last few years. However, this needs to be carefully reviewed to avoid incurring higher borrowing costs in the future when authorities may not be able to avoid new borrowing to finance capital expenditure and/or the refinancing of maturing debt;

55. There will remain a cost of carry to any new long-term borrowing that causes a temporary increase in cash balances as this position will, most likely, incur a revenue cost – the difference between borrowing costs and investment returns.

Borrowing strategy

56. The overall 5 year capital programme could require additional net borrowing of £32.3m over the next 5 years to 2022/23. However, we do not currently envisage taking any new borrowing within 2018/19 due to our strong positive cash flow position. As cash flow can change due to specific transactions, this will need to be kept under review. The CFR (the Council's actual need to

borrow) does not necessarily increase by this same amount as a minimum amount of revenue provision is set aside every year in accordance with statutory requirement and this therefore reduces the actual amount that is required to be borrowed.

57. The borrowing strategy takes into account the borrowing requirement, the current economic and market environments and is also influenced by the interest rate forecast. The Council is currently maintaining an under-borrowed position. This means that the capital borrowing need (the capital financing requirement), has not been fully funded with loan debt as cash supporting the Council's reserves, balances and cash flow has been used as a temporary measure. This strategy remains prudent as investment returns are low and counterparty risk is relatively high.
58. It is therefore beneficial to have a borrowing strategy where consideration is given to taking some longer term borrowing if favourable rates arise and also use some cash reserves. External borrowing will be considered throughout the financial year when interest rates seem most favourable. A target interest rate is 4.50%. This will enable borrowing to be taken through the year at different time periods. Consideration will also be given to the maturity profile of the debt portfolio so the Council is not exposed to the concentration of debt being in any one year.
59. Against this background and the risks within the economic forecast, caution will be adopted with the treasury operations. The Director of Customer and Corporate Services will monitor interest rates in financial markets and adopt a pragmatic approach to changing circumstances:
 - if it was felt that there was a significant risk of a sharp fall in long and short term rates, e.g. due to a marked increase of risks around relapse into recession or of risks of deflation, then long term borrowings will be postponed, and potential rescheduling from fixed rate funding into short term borrowing will be considered.
 - if it was felt that there was a significant risk of a much sharper rise in long and short term rates than that currently forecast, perhaps arising from a greater than expected increase in world economic activity or a sudden increase in inflation risks, then the portfolio position will be re-appraised with the likely action that fixed rate funding will be drawn whilst interest rates were still relatively cheap.
60. The HRA strategy for borrowing will be the same as the borrowing strategy described above for the whole Council. The HRA Business Plan will guide and influence the overall HRA borrowing strategy.
61. All decisions will be reported to the appropriate decision making body (Executive and Audit and Governance Committee) at the next available opportunity.

Prudential Indicator 6 – Maturity of borrowing

62. Officers will monitor the balance between variable and fixed interest rates for borrowing and investments to ensure the Council is not exposed to adverse fluctuations in fixed or variable interest rate movements. This is likely to reflect higher fixed interest rate borrowing if the borrowing need is high or fixed interest rates are likely to increase, a higher variable rate exposure if fixed interest rates are expected to fall. Conversely if shorter term interest rates are likely to fall, investments may be fixed earlier, or kept shorter if short term investment rates are expected to rise.
63. The balance between variable rate debt and variable rate investments will be monitored as part of the overall treasury function in the context of the overall financial instruments structure and any under or over borrowing positions. The Council does not currently have any variable rate debt.
64. The upper and lower limits for the maturity structure of fixed rate borrowing are set out below (with actual split for the current financial year included for comparison). This gross limit is set to reduce the Council's exposure to large fixed rate sums falling due for refinancing in a confined number of years.

Maturity structure of borrowing				
	Lower	Upper	2017/18 Debt (%)	2017/18 Debt (£)
Under 12 months	0%	30%	6%	£15.0m
12 months to 2 years	0%	30%	2%	£6.0m
2 years to 5 years	0%	40%	11%	£26.7m
5 years to 10 years	0%	40%	25%	£65.0m
10 years and above	30%	90%	56%	£144.2m
Total Borrowing			100%	£256.9m

Table 10: Maturity structure of borrowing

Policy on borrowing in advance of need

65. Under the Local Authorities (Capital Finance and Accounting) (England) Regulations 2008, the Council can borrow in advance of need in line with its future borrowing requirements in accordance with the Capital Financing Requirement. Any decision to borrow in advance of need is considered carefully to ensure that value for money can be demonstrated, it is affordable, sustainable & prudent, that the treasury management revenue budget can support the borrowing finance costs in the longer term and that the Council can ensure the security of such funds if invested.
66. Borrowing in advance will be made within the constraints of the CIPFA Prudential Code that ensures total gross debt, does not, except in the short term, exceed the total of the CFR in the preceding year plus the estimates of any additional CFR for the following two financial years.

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

Debt rescheduling

68. As short term borrowing rates will be considerably cheaper than longer term fixed interest rates, there may be potential opportunities to generate savings by switching from long term debt to short term debt. However, these savings will be considered in the light of the current treasury position and the size of the cost of debt repayment (premiums incurred).

69. The reasons for any rescheduling to take place will include:

- the generation of cash savings and / or discounted cash flow savings;
- helping to fulfil the treasury strategy;
- to enhance the balance of the portfolio (amend the maturity profile and/or the balance of volatility).

70. Consideration will also be given to identify if there is any residual potential for making savings by running down investment balances to repay debt prematurely as short term rates on investments are likely to be lower than rates paid on current debt.

71. All rescheduling will be reported to the Executive / Audit & Governance Committee at the earliest meeting following its action.

Municipal Bond Agency

72. The establishment of the UK Municipal Bonds Agency was led by the Local Government Association (LGA) following the 2010 Autumn Statement which resulted in higher PWLB rates, greatly increasing the cost of new borrowing and refinancing. The purpose of the Agency is to deliver cheaper capital finance to local authorities. It will do so via periodic bond issues and by facilitating greater inter-authority lending. The Agency is wholly owned by 56 local authorities and the LGA. The Council is a shareholder in the Agency with a total investment of £40k and will make use of this new source of borrowing as and when appropriate.

Annual investment strategy

Investment policy

73. The Council's investment policy has regard to the CLG's Guidance on Local Government Investments ("the Guidance") and the revised CIPFA Treasury Management in Public Services Code of Practice and Cross Sectoral Guidance Notes ("the CIPFA TM Code"). The Council's investment priorities will be security first, liquidity second, then return.

74. In accordance with the above guidance from the CLG and CIPFA, and in order to minimise the risk to investments, the Council applies minimum

acceptable credit criteria in order to generate a list of highly creditworthy counterparties which also enables diversification and thus avoidance of concentration risk. The key ratings used to monitor counterparties are the short term and long term ratings.

75. Ratings will not be the sole determinant of the quality of an institution; it is important to continually assess and monitor the financial sector on both a micro and macro basis and in relation to the economic and political environments in which institutions operate. The assessment will also take account of information that reflects the opinion of the markets. To this end the Council will engage with its advisors to maintain a monitor on market pricing such as “credit default swaps” and overlay that information on top of the credit ratings.
76. Other information sources used will include the financial press, share price and other such information pertaining to the banking sector in order to establish the most robust scrutiny process on the suitability of potential investment counterparties.
77. Investment instruments identified for use in the financial year are listed in annex B under the ‘specified’ and ‘non-specified’ investments categories. Counterparty limits will be as set through the Council’s treasury management practices.
78. The Council continues to take a prudent approach to investing funds as set out in the creditworthiness policy below.

Creditworthiness policy

79. This Council applies the creditworthiness service provided by Link Asset Services. This service employs a sophisticated modeling approach with credit ratings from the three main credit rating agencies - Fitch, Moody’s and Standard and Poor’s. The credit ratings of counterparties are supplemented with the following overlays:
 - credit watches and credit outlooks from credit rating agencies
 - CDS spreads to give early warning of likely changes in credit ratings
 - sovereign ratings to select counterparties from only the most creditworthy countries
80. This approach combines credit ratings, credit watches, credit outlooks in a weighted scoring system which is then combined with an overlay of CDS (credit default swap) spreads for which the end product is a series of colour code bands, which indicate the relative creditworthiness of counterparties. These colour codes are also used by the Council to determine the duration for investments. The Council will therefore use counterparties within the following durational bands:
 - Yellow* 5 years
 - Purple 2 years

- Blue 1 year (only applies to nationalised or part nationalised UK Banks)
- Orange 1 year
- Red 6 months
- Green 100 days
- No colour not to be used

**The yellow category is for UK Government debt or its equivalent (government backed securities) and AAA rated funds*

81. The Link Asset Services creditworthiness model uses a wider array of information than just primary ratings and by using a risk weighted scoring system, does not give undue weighting to just one agency's ratings.
82. Typically the minimum credit ratings criteria the Council use will be a short term rating (Fitch or equivalents) of F1 and Long Term rating A-. There may be occasions when the counterparty ratings from one rating agency are marginally lower than these ratings but may still be used. In these instances consideration will be given to the whole range of ratings available, or other topical market information, to support their use.
83. All credit ratings are monitored on a daily basis. The Council is alerted to changes to ratings of all three agencies through its use of the Link Asset Services creditworthiness service:
- If a downgrade results in the counterparty/investment scheme no longer meeting the Council's minimum criteria, its further use as a new investment will be withdrawn immediately.
 - In addition to the use of credit ratings the Council will be advised of information in movements in credit default swap against the iTraxx benchmark and other market data on a weekly basis. Extreme market movements may result in downgrade of an institution or removal from the Councils lending list.
84. Although sole reliance is not placed on the use of this external service, as the Council uses market data and market information, information on government support for banks and the credit ratings of that supporting government, the suitability of each counterparty is based heavily on advice from Link.
85. Whilst the Council has determined that it will not limit investments to UK banks, it will only use approved counterparties from countries with a minimum sovereign credit rating of AA- from Fitch (or equivalent from other agencies if Fitch does not provide). The list of countries that qualify using this credit criteria as at the date of this report are shown in annex C. This list will be added to or deducted from by officers should ratings change in accordance with this policy.

Investment strategy

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

87. For 2018/19 the average balance is forecast (as at January 2018) at £85.2m ranging between a low point of £31.9m and high point of £102.9m. The matrix stipulates use of level 6 (maximum cash balance of between £50m - £60m, note this is the highest matrix Treasury officers feel is prudent to use) that results in a limit of £8m for counterparties with a durational band of 100 days and £15m for counterparties with a durational band of longer than 100 days.

88. Bank rate is forecast to remain unchanged at 0.50% until quarter 3 2018/19 and not rise above 0.75% until quarter 3 2019/20. Bank rate forecasts for financial year ends (March) are:

2018/19	0.75%
2019/20	1.00%
2020/21	1.25%

89. For its cash flow generated balances, the Council will seek to utilise a combination of business reserve accounts (call accounts), short notice accounts, short dated fixed term deposits and money market funds. In addition, the Council will look for investment opportunities in longer dated term deals with specific counterparties that offer enhanced rates for local authority investment. All investment will be undertaken in accordance with the creditworthiness policy set out above.

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

2018/19	0.50%
2019/20	0.75%
2020/21	1.00%

91. Therefore for 2018/19, the Council has budgeted for an investment return target of 0.50% on investments placed during the financial year and uses the 7 day LIBID rate as a benchmark for the rate of return on investment.

92. **Prudential indicator 7** - total principal investment funds invested for greater than 364 days. This limit is set with regards to the Council's liquidity requirements and are based on the availability of funds after each year-end. A maximum principal sum to be invested for greater than 364 days is £15m.

	2017/18 Estimate £m	2018/19 Estimate £m	2019/20 Estimate £m	2020/21 Estimate £m	2021/22 Estimate £m	2022/23 Estimate £m
Maximum limit per year for Investments > 364 days	15.0	15.0	15.0	15.0	15.0	15.0

Table 11: Maturity structure of borrowing

93. At the end of the financial year, the Council will report on its investment activity as part of its annual treasury report. It should be noted that the Investment policy, creditworthiness policy and investment strategy are applicable to the Council's overall surplus funds and are also applicable to the HRA.

Policy on the use of external service providers

94. The Council uses Link Asset Services, Treasury solutions (formerly Capita Asset Services) as its external treasury management advisors.

95. The Council recognises that responsibility for treasury management decisions remains with the organisation at all times and will ensure that undue reliance is not placed upon our external service providers.

96. It also recognises that there is value in employing external providers of treasury management services in order to acquire access to specialist skills and resources. The Council will ensure that the terms of their appointment and the methods by which their value will be assessed are properly agreed and documented, and subjected to regular review.

Scheme of delegation and the role of the section 151 officer

97. Those charged with governance are responsible for the treasury management activities and are clearly defined within the organisation. Attached at Annex D are the treasury management scheme of delegation and also the treasury management role of the section 151 officer (Director of Customer & Corporate Services).

Consultation and options

98. The treasury management function of any business is a highly technical area, where decisions are often taken at very short notice in reaction to the financial markets. Therefore, to enable effective treasury management, all operational decisions are delegated by the Council to the Director of Customer & Corporate Services, who operates within the framework set out in this strategy and through the treasury management policies and practices. In order to inform sound treasury management operations the

Council works with its treasury management advisers, Link Asset Services. Link Asset Services offers the Council a comprehensive information and advisory service that facilitates the Council in maximising its investment returns and minimise the costs of its debts.

99. Treasury management strategy and activity is influenced by the capital investment and revenue spending decisions made by the Council. Both the revenue and capital budgets have been through a corporate process of consultation and consideration by the elected politicians. The revenue budget and capital budget proposals are included within this agenda.
100. At a strategic level, there are a number of treasury management options available that depend on the Council's stance on interest rate movements. The report sets out the Council's stance and recommends the setting of key trigger points for borrowing and investing over the forthcoming financial year.

Council Plan

101. The treasury management strategy statement and prudential indicators are aimed at ensuring the Council maximises its return on investments and minimises the cost of its debts whilst operating in a financial environment that safeguards the Council's funds. This will allow more resources to be freed up to invest in the Council's priorities, values and imperatives, as set out in the Council Plan.

Implications

Financial

102. The financial implications of the treasury strategy are set out in the Financial Strategy Capital Strategy reports also on this agenda.

Human Resources (HR)

103. There are no HR implications as a result of this report

Equalities

104. There are no equalities implications as a result of this report

Legal Implications

105. Treasury management activities have to conform to the Local Government Act 2003, the Local Authorities (Capital; Finance and Accounting) (England) Regulations 2003 (SI 2003/3146), which specifies that the Council is required to have regard to the CIPFA Prudential Code and the CIPFA Treasury Management Code of Practice and also the Local Authorities (Capital Finance and Accounting) (England) (Amendment)

Regulations 2008 (SI 2008/414), which clarifies the requirements of the Minimum Revenue Provision guidance.

Other implications

106. There are no crime and disorder, information technology or property implications as a result of this report

Risk management

107. The treasury management function is a high-risk area because of the volume and level of large money transactions. As a result of this the Local Government Act 2003 (as amended), supporting regulations, the CIPFA Prudential Code and the CIPFA Treasury Management in the Public Services Code of Practice (the code) are all adhered to as required.

Report authors:	Chief officer responsible for the report:		
Debbie Mitchell Finance & Procurement Manager Tel: 01904 554161	Ian Floyd Deputy Chief Executive / Director of Customer & Corporate Services		
Sarah Kirby Principal Accountant Tel 01904 551635	Report Approved	x	Date 26/1/2018
Wards Affected: Not Applicable			

For further information please contact the author of the report

Background papers

none

Annexes

Annex A – Interest rate forecast

Annex B – Specified and non-specified investments categories schedule

Annex C – Approved countries for investments

Annex D – Scheme of delegation and the role of the section 151 officer

Link Asset Services Interest Rate View

	Mar 2018	June 2018	Sept 2018	Dec 2018	Mar 2019	June 2019	Sept 2019	Dec 2019	Mar 2020	June 2020	Sept 2020	Dec 2020	Mar 2021
Bank Rate	0.5%	0.5%	0.5%	0.75%	0.75%	0.75%	0.75%	1.00%	1.00%	1.00%	1.25%	1.25%	1.25%
5yr PWLB rate	1.60%	1.60%	1.70%	1.80%	1.80%	1.90%	1.90%	2.00%	2.10%	2.10%	2.20%	2.30%	2.30%
10yr PWLB rate	2.20%	2.30%	2.40%	2.40%	2.50%	2.60%	2.60%	2.70%	2.70%	2.80%	2.90%	2.90%	3.00%
25yr PWLB rate	2.90%	3.00%	3.00%	3.10%	3.10%	3.20%	3.20%	3.30%	3.40%	3.50%	3.50%	3.60%	3.60%
50yr PWLB rate	2.60%	2.70%	2.80%	2.90%	2.90%	3.00%	3.00%	3.10%	3.20%	3.30%	3.30%	3.40%	3.40%

Specified and non-specified investments categories**Annex B**

A variety of investment instruments will be used, subject to the credit quality of the institution, to place the Council's surplus funds. The criteria, time limits and monetary limits applying to institutions or investment vehicles are listed in the tables below.

Investments are split into two categories of specified investments and non-specified Investments. Specified investments are relatively high security and high liquidity investments, which must be sterling denominated and with a maturity of no more than a year. Non-specified investments are those investments with a maturity period of greater than one year or are still regarded as prudent but may require more detailed scrutiny and assessment procedures.

Accounting treatment of investments. The accounting treatment may differ from the underlying cash transactions arising from investment decisions made by this Council. To ensure that the Council is protected from any adverse revenue impact, which may arise from these differences, treasury officers will review the accounting implications of new transactions before they are undertaken.

Specified investments:

Counterparty type	Minimum 'high' credit criteria/colour band	Maximum investment limit per counterparty institution	Maximum maturity period
DMADF – UK Government	N/A	£15m	6 months
UK Government Treasury Bills	UK sovereign rating	£15m	1 year
UK Government Gilts	UK sovereign rating	£15m	1 year
Term deposits - local authorities	UK sovereign rating	£15m	1 year
Part-nationalised UK Banks	Blue	£15m	1 year
Term Deposits - UK Banks and Building Societies	Orange Red Green	£15m £15m £8m	1 year 6 months 100 days
Term Deposits - Non-UK Banks (with a sovereign rating of AA-)	Orange	£15m	1 year
Certificates of Deposits issued by Banks and Building Societies	Orange/Blue	£15m	1 year
Collective investment schemes structured as open ended investment companies (OEICs) as below:-			

1. Money Market Funds CNAV	AAA	£15m	Liquid
2. Money Market Funds LVNAV	AAA	£15m	Liquid
3. Money Market Funds VNAV	AAA	£15m	Liquid
4. Ultra-Short Dated Bond Funds	AAA	£15m	Liquid
5. Bond Funds	AAA	£15m	Liquid

CNAV – constant net asset value**LVNAV – low volatility net asset value****VNAV – variable net asset value****NON-SPECIFIED INVESTMENTS:**

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

1. Maturities of ANY period

Counterparty type	Minimum credit criteria	Maximum investment limit per counterparty institution	Maximum Maturity Period
Fixed term deposits with variable rate and variable maturities: - Structured deposits	Orange Blue Red Green	£15m £15m £15m £8m	1 Year 1 year 6 months 100 days
Certificates of Deposits issued by Banks and Building Societies	Red Green	£15m £8m	6 months 100 days
Floating Rate Notes	Long-term AAA	£15m	1 year
Property Funds: <i>the use of these investments may constitute capital expenditure</i>	AAA-rated	£15m	5 years

2. Maturities in excess of 1 year

Term Deposits– local authorities	UK Sovereign Rating	£15m	> 1 year
Term deposits – Banks and Building Societies	Yellow Purple	£15m £15m	5 years 2 years
Certificates of Deposits issued by Banks and Building Societies not covered by UK Government guarantee	Yellow Purple	£15m £15m	5 years 2 years
UK Government Gilts	UK sovereign rating	£15m	> 1 year

Collective investment schemes structured as open ended investment companies (OEICs) as below:-			
1. Bond Funds	Long-term AAA	£15m	> 1 year
2. Gilt funds	Long-term AAA	£15m	> 1 year

Approved countries for investments

Annex C

AAA

- Australia
- Canada
- Denmark
- Germany
- Netherlands
- Singapore
- Sweden
- Switzerland
- U.S.A.

AA+

- Finland

AA

- France
- United Arab Emirates
- United Kingdom

AA-

- Belgium
- Qatar

Treasury management scheme of delegation**Annex D****(i) Executive / Full Council**

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

(ii) Executive

- approval of/amendments to the organisation's adopted clauses, treasury management policy statement and treasury management practices
- budget consideration and approval
- approval of the division of responsibilities

(iii) Audit & Governance Committee

- receiving and reviewing reports on treasury management policies, practices and activities
- reviewing the annual strategy, annual outturn and mid year review.

(iv) Director of Customer and Corporate Services (section 151 officer)

- reviewing the treasury management policy and procedures and making recommendations to the responsible body.
- all operational decisions are delegated by the Council to the Director of Customer & Corporate Services, who operates within the framework set out in this strategy and through the treasury management policies and practices
- Approving the selection of external service providers and agreeing terms of contract in accordance with the delegations in financial regulations.

The treasury management role of the section 151 officer

- recommending clauses, treasury management policy/practices for approval, reviewing the same regularly, and monitoring compliance
- all operational decisions delegated by the Council to the Director of Customer & Corporate Services (s151 officer), who operates within the framework set out in this strategy and through the treasury management policies and practices
- submitting regular treasury management policy reports
- submitting budgets and budget variations
- receiving and reviewing management information reports
- reviewing the performance of the treasury management function
- ensuring the adequacy of treasury management resources and skills, and the effective division of responsibilities within the treasury management function
- ensuring the adequacy of internal audit, and liaising with external audit
- recommending the appointment of external service providers.

- preparation of a capital strategy to include capital expenditure, capital financing, non-financial investments and treasury management, with a long term timeframe
- ensuring that the capital strategy is prudent, sustainable, affordable and prudent in the long term and provides value for money
- ensuring that due diligence has been carried out on all treasury and non-financial investments and is in accordance with the risk appetite of the authority
- ensure that the authority has appropriate legal powers to undertake expenditure on non-financial assets and their financing
- ensuring the proportionality of all investments so that the authority does not undertake a level of investing which exposes the authority to an excessive level of risk compared to its financial resources
- ensuring that an adequate governance process is in place for the approval, monitoring and ongoing risk management of all non-financial investments and long term liabilities
- provision to members of a schedule of all non-treasury investments including material investments in subsidiaries, joint ventures, loans and financial guarantees
- ensuring that members are adequately informed and understand the risk exposures taken on by an authority
- ensuring that the authority has adequate expertise, either in house or externally provided, to carry out the above
- creation of Treasury Management Practices which specifically deal with how non treasury investments will be carried out and managed, to include the following: -
 - *Risk management, including investment and risk management criteria for any material non-treasury investment portfolios;*
 - *Performance measurement and management, including methodology and criteria for assessing the performance and success of non-treasury investments;*
 - *Decision making, governance and organisation, including a statement of the governance requirements for decision making in relation to non-treasury investments; and arrangements to ensure that appropriate professional due diligence is carried out to support decision making;*
 - *Reporting and management information, including where and how often monitoring reports are taken;*
 - *Training and qualifications, including how the relevant knowledge and skills in relation to non-treasury investments will be arranged.*

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