



## Notice of meeting of

### Executive

<b>To:</b>	Councillors Waller (Chair), Ayre, Steve Galloway, Moore, Morley, Reid and Runciman
<b>Date:</b>	Tuesday, 11 May 2010
<b>Time:</b>	2.00 pm
<b>Venue:</b>	The Guildhall

### AGENDA

#### Notice to Members - 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:

**10:00 am on Monday 10 May 2010**, if an item is called in *before* a decision is taken, *or*

**4:00 pm on Thursday 13 May 2010**, if an item is called in *after* a decision has been taken.

Items called in will be considered by the Scrutiny Management Committee.

#### 1. **Declarations of Interest**

At this point, Members are asked to declare any personal or prejudicial interest they may have in the business on this agenda.

#### 2. **Minutes** (Pages 3 - 6)

To approve and sign the minutes of the Executive meeting held on 27 April 2010.

### **3. Public Participation**

At this point in the meeting, members of the public who have registered their wish to speak regarding an item on the agenda or a matter within the Executive's remit can do so. The deadline for registering is **5:00 pm on Monday 10 May 2010**.

### **4. Executive Forward Plan (Pages 7 - 8)**

To receive details of those items that are listed on the Forward Plan for the next two Executive meetings.

### **5. Minutes of Working Groups (Pages 9 - 18)**

This report presents the minutes of a recent meeting of the Young People's Working Group and asks Members to consider the advice given by the Group in its capacity as advisory body to the Executive.

### **6. More for York - Spring Update and Children's Social Care and Finance Blueprints (Pages 19 - 88)**

This report provides an update on progress made in delivering the More for York programme and seeks approval for the inclusion of two additional work streams in the programme in respect of Children's Services and Finance Services.

### **7. High Speed Rail (Pages 89 - 122)**

This report advises on the government's initiative to create a new company High Speed Two (HS2) to investigate the high speed rail issue, sets out the position of the Assembly and City Region and advises on the outcome of the recent review undertaken to establish a policy position for York.

### **8. Footstreets Review - Progress Report (Pages 123 - 138)**

This report informs the Executive of progress to date of the various stages of the Footstreets Review, commissioned to assess the current operation of the pedestrianised area and suggest improvements which could be made to it.

**9. York Mystery Plays 2012 (Pages 139 - 144)**

This report provides an update on work to develop the biennial production of Mystery Plays in the City and recommends that Council funding previously allocated for a production of the Mystery Plays in York Minster be reallocated to a proposed production to be undertaken jointly by York Museums Trust, York Theatre Royal and Riding Lights Theatre Company in 2012.

**10. York World Heritage Site Bid - Information Report (Pages 145 - 148)**

This report provides an update on progress towards a York World Heritage Site bid since the report to the Executive on 17 March 2009 and gives details of the Stage 1 Application Form for a revised UK Tentative List of World Heritage Sites released by the Department of Culture Media and Sport.

**11. 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) 551027
- E-mail – [fiona.young@york.gov.uk](mailto:fiona.young@york.gov.uk)

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

- Registering to speak
- Business of the meeting
- Any special arrangements
- Copies of reports

Contact details are set out above.

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If you would, you will need to:

- register by contacting the Democracy Officer (whose name and contact details can be found on the agenda for the meeting) **no later than 5.00 pm** on the last working day before the meeting;
- ensure that what you want to say speak relates to an item of business on the agenda or an issue which the committee has power to consider (speak to the Democracy Officer for advice on this);
- find out about the rules for public speaking from the Democracy Officer.

**A leaflet on public participation is available on the Council's website or from Democratic Services by telephoning York (01904) 551088**

### Further information about what's being discussed at this meeting

All the reports which Members will be considering are available for viewing online on the Council's website. Alternatively, copies of individual reports or the full agenda are available from Democratic Services. Contact the Democracy Officer whose name and contact details are given on the agenda for the meeting. **Please note a small charge may be made for full copies of the agenda requested to cover administration costs.**

### Access Arrangements

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If you have any further access requirements such as parking close-by or a sign language interpreter then please let us know. Contact the Democracy Officer whose name and contact details are given on the order of business for the meeting.

Every effort will also be made to make information available in another language, either by providing translated information or an interpreter providing sufficient advance notice is given. Telephone York (01904) 551550 for this service.

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## **Holding the Executive to Account**

The majority of councillors are not appointed to the Executive (40 out of 47). Any 3 non-Executive councillors can 'call-in' an item of business from a published Executive (or Executive Member Decision Session) agenda. The Executive will still discuss the 'called in' business on the published date and will set out its views for consideration by a specially convened Scrutiny Management Committee (SMC). That SMC meeting will then make its recommendations to the next scheduled Executive meeting in the following week, where a final decision on the 'called-in' business will be made.

## **Scrutiny Committees**

The purpose of all scrutiny and ad-hoc scrutiny committees appointed by the Council is to:

- Monitor the performance and effectiveness of services;
- Review existing policies and assist in the development of new ones, as necessary; and
- Monitor best value continuous service improvement plans

## **Who Gets Agenda and Reports for our Meetings?**

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- Relevant Council Officers get copies of relevant agenda and reports for the committees which they report to;
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City of York Council

Committee Minutes

MEETING

EXECUTIVE

DATE

27 APRIL 2010

PRESENT

COUNCILLORS WALLER (CHAIR), AYRE,  
STEVE GALLOWAY, MOORE, MORLEY, REID AND  
RUNCIMAN**195. DECLARATIONS OF INTEREST**

Members were invited to declare at this point in the meeting any personal or prejudicial interests they might have in the business on the agenda. No interests were declared.

**196. EXCLUSION OF PRESS AND PUBLIC**

RESOLVED: That the press and public be excluded from the meeting during consideration of Annex 1 to agenda item 8 (Report on the Award of the School Meals Catering Contract), on the grounds that it contains information relating to the financial or business affairs of any particular person. 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).

**197. MINUTES**

RESOLVED: That the minutes of the Executive meeting held on 13 April 2010 be approved and signed by the Chair as a correct record.

**198. PUBLIC PARTICIPATION / OTHER SPEAKERS**

It was reported that there had been no registrations to speak at the meeting under the Council's Public Participation Scheme.

With the consent of the Chair Ben Drake, of UNISON, addressed the meeting with regard to agenda item 8 (Report on the Award of the School Meals Catering Contract), on behalf of staff employed by the current providers, North Yorkshire County Council. He voiced an objection in principle to the out-sourcing of a public sector service and sought reassurances that, if the service were to be outsourced, TUPE regulations would be fully applied to ensure protection of pay and conditions for existing staff as well as the retention of their pension rights.

**199. EXECUTIVE FORWARD PLAN**

Members received and noted details of those items listed on the Forward Plan for the next two Executive meetings at the time the agenda was published.

**200. CORPORATE STRATEGY - UPDATING THE MILESTONES FOR 2010-11**

Members received a report which sought approval for the revised milestones for the year 2010-11, representing the short term element of the Council's 2009-2012 Corporate Strategy.

The Corporate Strategy had been agreed by Executive on 31 March 2009. It consisted of two elements; commitments (what the Council aimed to achieve by 2012) and milestones (actions for the year ahead towards achieving the commitments). The milestones had been revised to take account of potential budgetary implications and the eighth theme of the Strategy – Effective Organisation – had been updated to replace a separate improvement plan. The revised milestones were attached at Annex 1 to the report.

RESOLVED: That consideration of this item be deferred to a future meeting.<sup>1</sup>

REASON: To enable dialogue to take place with individual Executive Members and to allow time for the preparation of historic and out-turn figures.

Action Required

1. Arrange briefings with Executive Members and schedule item on Forward Plan for a future meeting MS

**201. CHOICE BASED LETTINGS (CBL) - ADOPTION OF NEW SUB-REGIONAL HOUSING ALLOCATIONS POLICY**

Members considered a report which introduced a new Sub-regional Housing Allocations Policy and sought approval to adopt the policy with effect from the introduction of a new choice-based lettings (CBL) scheme for the allocation of the Council's housing stock.

Following agreement in 2007 to be part of a sub-regional approach to CBL, City of York Council, together with other regional authorities, had successfully bid for funding (£217k) to develop and implement an sub-regional CBL scheme. Over the past 12 months a project board chaired by York's Head of Housing had led the development of a proposed new policy. Consultation on the policy had taken place with applicants on the housing waiting list, Executive Members and RSL Board Members. Approval was now sought to adopt the policy, attached as Annex 1 to the



report, with effect from the introduction of a full CBL scheme later in the year.

Members stressed the need to ensure that the policy operated in a way that would benefit York residents. Officers confirmed that it had the support of the Federation of Residents Associations.

Having noted the comments of the Labour Group spokespersons on this item, it was

RESOLVED: (i) That the policy for the allocation of City of York Council housing stock, attached at Annex 1 to the report, be approved, with effect from the introduction of a full choice based lettings scheme later in 2010.<sup>1</sup>

(ii) That authority be delegated to the Head of Housing Services to make minor amendments to the policy which do not fundamentally alter the core principles of the policy itself.

REASON: To ensure that the Council has an effective allocations policy and to ensure that opportunities for improvements in customer service and organisational efficiencies are maximised.

(iii) That performance of the policy be reported to the Executive Member for Housing & Adult Social Services on a quarterly basis.<sup>2</sup>

REASON: To ensure fairness of operation.

Action Required

1. Make arrangements to implement the new policy as from the introduction of CBL SW
2. Schedule quarterly reports to the Executive Member on the Forward Plan SW

**202. REPORT ON THE AWARD OF THE SCHOOL MEALS CATERING CONTRACT**

Members considered a report which provided details of the procurement process for the Council's school meals catering contract and sought approval to award the contract to the highest scoring bidder.

The previous contract had expired on 31 March 2010. To allow continuity, a Service Level Agreement was currently in place for North Yorkshire County Caterers to provide the service until the end of the summer term. Six companies had been invited to tender following the pre-qualification questionnaire process. Tenders had been evaluated in accordance with the CIPFA Standard Deviation Model and three companies had been shortlisted as a result.

Details of the evaluation were set out in exempt Annex 1 to the report. It was recommended that the contract be awarded to the top scoring bidder, ISS Facility Services – Education, as they had shown a consistently higher quality than the others throughout the process, despite being more expensive than the second placed bidder. The evaluation process had clearly stated that cost would account for 60% of the total score and quality the remaining 40%.

In response to the comments made by the UNISON representative on this item, Officers confirmed the Council's commitment to ensuring that TUPE regulations were fully complied with and that the need to do so had been made clear in the original invitation to tender. With reference to comments made by the Labour Group spokespersons, it was confirmed that sustainability, local sourcing of food and good nutrition had been taken into account in the quality evaluation.

RESOLVED: That the school meals contract be awarded to the top scoring bidder, ISS Facility Services – Education.<sup>1</sup>

REASON: In accordance with the results of the bid evaluation process.

Action Required

1. Make arrangements for the award of the contract to ISS MT  
Facility Services

A Waller, Chair

[The meeting started at 2.00 pm and finished at 2.25 pm].

EXECUTIVE FORWARD PLAN (as at 28 April 2010)

<b>Table 1: Items scheduled on the Forward Plan for the Executive Meeting on 8 June 2010</b>		
<b>Title &amp; Description</b>	<b>Author</b>	<b>Portfolio Holder</b>
<p><b>York Climate Change Framework and Action Plan - update and draft consultation version</b></p> <p><i>Purpose of report: The report will outline the draft Climate Change Framework, outline the draft Climate Change Action Plan, outline the timescales for implementation and outline the supporting communication strategy.</i></p> <p><i>Members are asked to: To approve the draft consultation version of the York Climate Change Framework and Action Plan and supporting communication campaign.</i></p>	David Warburton	Executive Member for Corporate Services
<p><b>A Low Emission Strategy for York</b></p> <p><i>Purpose of report: To update the Executive Member on the successful bid to become low emission regional champions (a joint bid with Leeds City Council) and to outline the implications of a low emission strategy (LES) for York.</i></p> <p><i>Members are asked to: Note the update.</i></p>	Elizabeth Bates	Executive Member for Neighbourhood Services

<b>Table 2: Items scheduled on the Forward Plan for the Executive Meeting on 22 June 2010</b>		
<p><b>University Swimming Pool</b></p> <p><i>Purpose of report: To update members on progress with the University's competition standard swimming pool.</i></p> <p><i>Members are asked to: Approve the Council's financial contribution to the project.</i></p>	Charlie Croft	Executive Member for Neighbourhood Services

<p><b>CYC Response to Governments HRA Subsidy Review Offer</b></p> <p><i>Purpose of report: To provide the Executive with the implications of the governments HRA subsidy offer - Council Housing: a real future.</i></p> <p><i>Members are asked to: Agree CYC's response to the offer.</i></p>	Steve Waddington	Executive Member for Neighbourhood Services
<p><b>Weekly to Monthly Pay</b></p> <p><i>Purpose of report: To provide an update on progress with the proposal to move from weekly to monthly pay. It also asks the Executive for a decision to implement the necessary amendments to terms and conditions to enact monthly pay.</i></p> <p><i>Members are asked to: Agree to the necessary amendments to staff terms and conditions to enact monthly pay.</i></p>	Chris Tissiman	Executive Member for Corporate Services

<b>Table 3: Items slipped on the Forward Plan with the agreement of the Group Leaders</b>					
<b>Title &amp; Description</b>	<b>Author</b>	<b>Portfolio Holder</b>	<b>Original Date</b>	<b>Revised Date</b>	<b>Reason for Slippage</b>
None					



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**Executive**

11 May 2010

**Report of the Head of Civic, Democratic and Legal Services****Minutes of Working Groups****Summary**

1. This report presents the minutes of a recent meeting of the Young People's Working Group and asks Members to consider the advice given by the Group in its capacity as advisory body to the Executive.

**Background**

2. Under the Council's Constitution, the role of Working Groups is to advise the Executive on issues within their particular remits. To ensure that the Executive is able to consider the advice of the Working Groups, it has been agreed that minutes of the Groups' meetings will be brought to the Executive on a regular basis.
3. Members have requested that minutes of Working Groups requiring Executive endorsement be submitted as soon as they become available. In accordance with that request, and the requirements of the Constitution, minutes of the following meeting are presented with this report:
  - Young People's Working Group – draft minutes of the meeting of 14 April 2010 (Annex A)

**Consultation**

4. No consultation has taken place on the attached minutes, which have been referred directly from the Working Group. It is assumed that any relevant consultation on the items considered by the Group was carried out in advance of their meeting.

**Options**

5. Options open to the Executive are either to accept or to reject any advice that may be offered by the Working Group, and / or to comment on the advice.

### **Analysis**

6. There are no resolutions within the attached minutes which require the specific endorsement or approval of the Executive.
7. Members may wish to note minute 18 of the minutes of the Young People's Working Group meeting held on 14 April 2010 which refers to initial discussions regarding the future of the Children and Young People's Champion. Any specific recommendations made by this group would be brought to the Executive's attention in due course.

### **Corporate Priorities**

8. The aims in referring these minutes accord with the Council's corporate values to provide strong leadership in terms of advising these bodies on their direction and any recommendations they wish to make.

### **Implications**

9. There are no known implications in relation to the following in terms of dealing with the specific matter before Members, namely to consider the minutes and determine their response to the advice offered:
  - **Financial**
  - **Human Resources (HR)**
  - **Equalities**
  - **Legal**
  - **Crime and Disorder**
  - **Property**
  - **Other**

### **Risk Management**

10. In compliance with the Council's risk management strategy, there are no risks associated with the recommendations of this report.

### **Recommendations**

11. Members are asked to note the minutes attached at Annex A and to decide whether they wish to respond to any of the comments offered by the Working Group.

### **Reason:**

To fulfil the requirements of the Council's Constitution in relation to the role of Working Groups.

**Contact details:**

**Author:**

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Democracy Officer  
01904 552030  
email:  
jayne.carr@york.gov.uk

**Chief Officer Responsible for the report:**

Andrew Docherty  
Head of Civic, Democratic and Legal Services

**Report Approved**

√

**Date** 22 April 2010

**Specialist Implications Officer(s)** None

**Wards Affected:**

All

**For further information please contact the author of the report**

**Annexes**

Annex A – Draft minutes of the meeting of the Young People’s Working Group held on 14 April 2010.

**Background Papers**

Agenda and associated reports for the above meeting (available on the Council’s website).

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City of York Council

Draft Committee Minutes

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MEETING	YOUNG PEOPLE'S WORKING GROUP
DATE	14 APRIL 2010
PRESENT	COUNCILLORS LOOKER (CHAIR), RUNCIMAN (VICE-CHAIR), AYRE AND ASPDEN
IN ATTENDANCE	COUNCILLOR ALEXANDER HARRY LUCK - REPRESENTATIVE OF YORK YOUTH COUNCIL
APOLOGIES	COUNCILLORS BOWGETT AND DOUGLAS

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**15. DECLARATIONS OF INTEREST**

Members were invited to declare at this point in the meeting, any personal or prejudicial interests they might have in the business on the agenda. No declarations were made in addition to the standing declarations which had been attached to the agenda.

**16. MINUTES**

RESOLVED: That the minutes of the meeting of the Young People's Working Group held on 19 October 2009 be approved and signed by the Chair.

**17. PUBLIC PARTICIPATION**

It was reported that there had been no registrations to speak under the council's Public Participation Scheme.

**18. OPTIONS FOR THE FUTURE OF THE CHILDREN AND YOUNG PEOPLE'S CHAMPION**

Members received a report that invited exploratory discussion on the future of the Children and Young People's Champion, now that the previous incumbent's term of office had expired. It was noted that if Members wished to recommend a change to the existing arrangements these would be put to the Executive and ultimately to Full Council, if they involved changes to the constitution.

Members noted that the post of Champion for Children and Young People had been established following a scrutiny review which had concluded that young people's opinions were given insufficient weight in decision-making. Since that time there had been developments in the way in which young people had been given a voice in decision-making, including the setting up the Youth Council and its associated membership of the UK Youth Parliament.

Councillor Alexander stated that the Champion for Children and Young People was now one of many voices on behalf of young people and he believed that changes to the current arrangements were needed. He detailed concerns regarding the role of Member Champions in general. Councillor Alexander informed Members that he believed that it was important that a mechanism was in place whereby motions could be put forward to Council on behalf of young people. He believed that the current arrangements whereby the minutes of the Young People's Working Group meetings were considered by the Executive did not ensure that the views of young people were heard by all political parties and at the highest level.

Consideration was given to the options detailed in paragraph 8 of the report.

Members suggested that the following factors should be considered when recommendations were made regarding changes to the current arrangements:

- There was a consensus that changes were required to the current arrangements.
- There needed to be a clearly defined route as to how issues raised by young people were heard by decision-makers and responses and explanations were provided to the requests they put forward.
- Young people should be invited to attend meetings of the Young People's Working Group and be involved in the setting of the agenda.
- The role of the Youth Council and Youth Parliament should be acknowledged when considering changes to the current arrangements. It was also important to ensure that younger children's views were heard e.g. through the primary school councils
- The Executive Member for Children and Young People had legal responsibilities to champion the rights of children and young people. The Chair of the Young People's Working Group also had a role to play.
- Reservations were expressed regarding the option in the report to appoint an independent member to champion the rights of young people. There were concerns that this may become political.
- The voluntary and community sector provide a wealth of opportunities for young people in the city and consideration should be given as to how they were represented.
- The Young People's Working Group should ensure that the needs of children and young people were considered in the broadest terms, including issues relating to housing, planning and road safety as well as matters more specifically targeted at young people.
- Full Council may not be the most appropriate body for young people to put forward their views. It was, however, noted that there was an opportunity under the Council's Public Participation Scheme for views to be put forward although this would not provide an opportunity for debate.
- Consideration could be given to a report, prepared by young people, being presented to full council by the Executive Member or Chair of the Young People's Working Group on an annual basis.

- Age was one of the strands represented on the Social Inclusion Working Group (SIWG) and discussions had taken place as to how to ensure that the views of young people as well as older people were taken into account. It was noted that the Chair of SIWG was also a member of the Young People's Working Group.

The representative of the Youth Council was asked for his views regarding some of the suggestions that had been put forward. He supported the proposal for young people to attend the Young People's Working Group but stated that, because of exam commitments, it may not be possible for the same representatives to attend each meeting. The use of substitutes would be a way forward but it was also important that there was a level of continuity. It would be beneficial to have a Member speaking on behalf of young people but they should be above politics. It would also be helpful for young people to have a mentor who could advise them on council procedures and how to make their voice heard most effectively.

- RESOLVED: (i) That, taking into account the views expressed at the meeting, officers prepare a further report on possible ways forward in developing the role of young people in decision-making.
- (ii) That representatives from the Youth Council and Youth Parliament have a standing invitation to attend meetings of the Young People's Working Group and to put forward agenda items for its meetings.

REASON: To ensure young people's views are taken into account in council decision-making.

## **19. AN UPDATE ON THE YORK YOUTH COMMUNITY ACTION PILOT**

Members received a report that provided an update on the new pilot project to promote community volunteering opportunities amongst York's 14-16 year olds. The bids for funding under Round One had been considered by a multi-agency Assessment Panel. The recommendations of the panel had been approved at the Executive Member – Children and Young People's Services decision session on 13 April 2010. The list of successful projects is attached as an annex to these minutes.

It was noted that the Youth Council would play a key role in engaging young people with this initiative. The Youth Council had submitted two bids. One of the bids had been for funding for the café and had not been approved as this was a capital project and therefore did not meet the requirements of the funding allocation. The second bid related to the costs of running of the Youth Council and it had been agreed to access funding that could be used to support this request.

The representative from the Youth Council informed Members that there was considerable interest in the events that were being arranged to raise young people's awareness of the types of volunteering opportunities that were available.

- RESOLVED: (i) That the update report be noted and that the Youth Community Action Pilot be supported.
- (ii) That the Working Group be kept updated on the York Youth Community Action Pilot.

REASON: The project is in line with corporate priorities, and represents a marvellous opportunity for York.

**20. AN ORAL UPDATE ON THE POSSIBILITIES FOR DEVELOPING YOUNG PEOPLE'S FACILITIES IN THE CITY CENTRE.**

Members received an update on the development of young people's facilities in the city centre. It was reported that a building had been identified in Walmgate which could be developed as a Youth Café. Challenges remained in terms of raising the necessary financial support for the project. A voluntary partnership had been established and support was being sought from various organisations, including the Joseph Rowntree Housing Trust. A trustee group was being set up and the intention was to seek charitable status. Members were pleased to note that the project was receiving good media coverage.

- RESOLVED: (i) That the verbal report be noted.
- (ii) That the Working Group be kept updated on developments.

Councillor J Looker, Chair  
[The meeting started at 5.00 pm and finished at 6.35 pm].

## York Youth Community Action Pilot Grant Fund: Round 1 panel recommendations

Scheme number	Org name	Title	Type of Activity	Geographical Spread and Schools Involved	Grant request £	Grant offer £	Comments / specific grant conditions
1	York Boxing Club	Volunteer Young Coaches Foundation - Include Me!	Sport	Club based in Layerthorpe - young people from all over York.	19,950	19,950	
2	York Archaeological Trust	Explore York!	Local History	Based at DIG, Hungate. Volunteers from all over York.	8,107	8,107	
4	The Princes Trust	Community Volunteering with the Princes Trust	Self determined by young people (hard to reach)	Activities at Danesgate (Fulford). Young people from all over York.	27,120	27,120	
9	Network 2 (Peer mentoring)	Peer mentoring	Mentoring (with element of sport and arts)	Burnholme and Fulford (plus feeder schools)	21,000	21,000	
10	Jorvik Sports Partnership	Jorvik Leadership and Club Links Programme	Sport	Huntington, Joseph Rowntree, Archbishops Holgate, Burnholme, Canon Lee and Fulford Schools	32,708	32,708	
13	Inspired Youth	Risky Behaviour Project	Personal development	York High School	17,761	17,761	
14	CYC Integrated Services for Disabled Children	Choose2Volunteer	Environment/ Citizenship and Democracy/ Leadership, Mentoring and Support	Activities based in Fulford Youth Centre, Rowntree Park and Danesgate Skills Centre. Will work with Fulford School, Applefields and other secondary schools.	24,921	24,921	
15	Gateway Action (York)	Gateway to Volunteering	Service and business/ arts/ citizenship and democracy	The Gateway Centre is in Acomb. Volunteers from Westfield, Acomb and Holgate. Link to Manor School.	34,690	34,690	Grant figure will be slightly reduced to exclude purchase of digital cameras, as they are available from Explore centres and other locations.
22	BTCV	The York Youth Environmental Project	Environment	Young people from all over York. ACE volunteering will work with a number of schools and youth groups, initially Joseph Rowntree, Huntington and St Peters.	47,700	30,000	The Yorkshire Wildlife Trust, BTCV and Friends of St Nicholas will be asked to liaise with each other as their schemes share a common theme. A reduced sum is to be offered to each to ensure a spread of funds across themes.
24	Yorkshire Wildlife Trust	Branching Out	Environment	Young people from all over York. Specified schools are York High, All Saints, Canon Lee, Manor, Fulford, Joseph Rowntree and Burnholme.	46,756	30,000	The Yorkshire Wildlife Trust, BTCV and Friends of St Nicholas will be asked to liaise with each other as their schemes share a common theme. A reduced sum is to be offered to each to ensure a spread of funds across themes.
26	Friends of St Nicholas Fields	Get Eco! Get Active!	Environment	Based in Tang Hall. Specified schools are Applefields, Burnholme, Huntington, Archbishops Holgate, Bootham, The Mount, All Saints	44,732	30,000	The Yorkshire Wildlife Trust, BTCV and Friends of St Nicholas will be asked to liaise with each other as their schemes share a common theme. A reduced sum is to be offered to each to ensure a spread of funds across themes.
30	York Youth Council (funding)	Funding for York Youth Council	Citizenship and Democracy	Youth Council works with every secondary school in York.	25,000	Transfer	The Panel recommended that this project be transferred for support from another strand of the CAP budget. Paul Murphy / Mik O'Connell to action.

Total remaining for next 2 rounds: £418,743  
(incl £50k for individual's applications)

We indicated we will create 4,200 by the end of March 2011 .

**Total grants offered 276,257**

**3,316**

The total number of volunteering opportunities offered by these projects is:

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## Agenda Item

**Executive**

**11<sup>th</sup> May 2010**

Report of the Corporate Management Team

## **More for York – Spring Update and Children’s Social Care and Finance Blueprints**

### **Summary**

1. The More for York Programme has been established to transform City of York Council into a more effective organisation delivering More for our Customers, More for our Employees and More for our Money. It will be key in enabling the Council to set a balanced budget by delivering significant savings over the next 3 years and beyond whilst preserving the quality of front line services to customers. This is a report on :-
  - a. The refreshed context of the programme with regards to :-
    - More for our Customers – sets out the Councils ambition to deliver better services to customers, designed to meet their requirements and responsive to their needs (Paras 4-5)
    - More for Our Employees - Shaping the organisation for the future, creating an innovative open culture that drives and sustains improvement to ensure that changes are delivered, embedded and sustainable (Paras 6-8)
    - More for our Money - Sets clear savings targets and methods for realising savings in the increasingly challenging financial context within which Local Government is operating (Paras 9-17)
  - b. Progress on existing workstreams (Paras 18-33)
  - c. Financial Benefits Realisation - reports on the financial targets for savings and achievement to date (Paras 34-37)
  - d. HR implications (Paras 38-43)
  - e. Proposals for 2 further workstreams
    - Children’s Social Services Blueprint (Paras 44-50)
    - Finance Services for Blueprint (Paras 51-53)
  - f. The risks of the programme and how they are being mitigated (Paras 54-57)
  - g. The consultation approach (Paras 58-61)

## **Background – the context of More for York**

### **More for our Customers – customer focussed**

2. The Programme is committed to improving services to customers by cutting out waste, getting things right first time, simplifying the organisation and its processes, helping customers to help themselves by increasing choice of ways to do business with us and by providing clearer more comprehensive information and feedback. Consolidating our customer facing services and improving our back office services will improve the customer experience and deliver value for money.
3. We also need to understand our customers – who they are, where they are and what they want. This will be done through consultation and engagement but also by making better sense of the vast range of information that we hold about customers and the services we deliver. We will use customer insight data to design services and focus them on the varied needs of different communities of interest. This will require the development of more comprehensive data about customers, joining up what we know so we understand the cross functional needs and behaviours of customers

### **More for Our Employees - Organisational Culture, working in different ways**

4. We have successfully embarked on what will be the most significant transformation programme ever implemented within the Council. The programme involves every area of our organisation and will lead to significant and sometimes fundamental changes across the whole of the organisation. To deliver real and lasting benefits from the programme it is critical that we underpin the implementation activity with a culture that ensures the changes we make are embedded and sustainable. Technical understanding of our working practices alone will not deliver this. To deliver the scale of change required there is a real need for a cultural refocus.
5. We need to develop behaviors which add value and ensure that every penny of taxpayer's money we spend consistently offers a good return on investment. We need to redouble our efforts to ensure that the money we do spend is driven from customers real needs and wants, and that we fully understand and acknowledge what these are. We need to remove unnecessary bureaucracy to ensure we are an organisation that is fleet of foot, versatile and adaptable but still has an appropriate level of control and safeguarding, an organisation that can move quickly but safely to respond to customers needs and wants. The culture should bring people together under one vision and one set of values, to enshrine a "One Council" approach to all we do.
6. In order to change the culture of the organisation we are developing a programme of activities to involve staff in creating a view of the type of organisation we need to be, and to give staff the skills and personal awareness to bring innovation challenge and energy to the tough challenges we face. As part of this programme we have launched a Staff suggestion scheme which it is hoped will generate good ideas from all areas of the council for improvement and efficiency. We continue to find that staff satisfaction is enhanced by achieving higher levels of customer satisfaction. The changes in delivery arrangements being introduced do also deliver more for our employees.

### **More for Our Money - Economic Position**

7. The global economic crisis continues to create major financial pressures for the whole of the public sector. Lower interest rates and low inflation combined with increasing



unemployment levels have already had wide reaching impacts upon our own finances and has changed the pattern of customer demand as the credit crunch pushes more people into a vulnerable financial position and increases their need for some council services, whilst simultaneously decreasing income from things like car parking. This position is exacerbated by other factors such as the financial impact of an ageing population (greater demand for adult social care services) and the ongoing impact of a greater focus on children's safeguarding (increased demand for Looked after Children's services).

8. The Medium Term Financial Strategy (MTFS) had previously set out the need for a minimum £15m of savings to be generated in the next three years. However the recent Budget set target net savings for the programme of around £10m per annum for each of the next 5 years assuming that grant funding is frozen from 2011/12, and with modest Council tax increases.
9. UK public sector net debt is currently £799bn or 56% of GDP as compared to a recommended 40% maximum level. The recent budget indicated that existing spending plans for 2010-11 have not changed since the Pre-Budget Report, but spending growth will reduce after 2011-12 to reduce the deficit over the next four years. All the main UK political parties have made pre- election policy commitments to reduce the level of budget by making significant reductions in public spending. There is the prospect of a potential early budget which may impact upon the settlement for 2010/11.
10. We will need to significantly increase the level of efficiencies in the coming years. Therefore, whilst the More for York programme target at present is to deliver £15m savings in a three year period, the likelihood is that we will need to deliver savings of £10m per year in subsequent years and this means that the programme will need to be even more extensive in future years and consider significant changes in how services are delivered. It is clear that achievement of the level of savings required will not be possible from efficiencies alone. The range and scale of services provided will also have to be considered.
11. Whilst the whole of the public sector is living in austere times and will have to make radical changes, Local Government is at the forefront of transformational thinking and has outstripped efficiencies made in Whitehall. The majority of local authorities are developing fundamental changes to the way in which they deliver services to ensure that wherever possible savings are made without detriment to service quality and that in fact services become more responsive to customers at a local level.
12. In this context, The More for York programme, with its commitment to customer facing improvement, transformation of service delivery and savings realisation, has become even more central to the future of the Council.

### **Delivering the Programme**

13. Since December 2009 the programme has been delivered in house and there has been no loss of momentum. We have developed a skilled internal programme team and have committed significant internal resource to drive forward change. Where we do not have the specialist skills we will supplement our in house team with short-term resources for focussed assignments.

14. To reflect the importance and centrality of the programme to the Council, the Corporate Management Team now meet weekly to oversee the Programme to ensure that the programme is delivered at pace. The Transformation team is now located within the Chief Executives Office and will integrate the programme with work on performance, policy and partnerships to ensure that the changes and transformations are sustained and embedded within the organisation and that new ideas and policies are built into the programme at the outset.
15. Quarterly progress reports will be made to the Executive to track delivery of benefits and to seek approval for decision, the levels of which are set out in the constitution. If these decisions require significant changes to the Council's policy or budgetary framework they will be put to full Council.

### **Progress on the Workstreams**

16. Set out below is a summary of some of the early achievements of the programme and changes which will be implemented in the next six months.
17. Phase 1 of the Organisational review completed in April 2010 - Directorates restructured and Directors reduced from 6 to 4, a 33% reduction. Phase 2 commenced April 2010 – Assistant Director structures being designed, staff consultation underway with a report to Executive July 6<sup>th</sup> 2010. This will include a projected target reduction of approx 20%.

### **Communities and Neighbourhoods**

18. Street services Right first Time – We are on target to send a large percentage of reactive service requests directly from the YCC to the operative in the field. There will be more service specific knowledge at the first point of contact enabling the call taker to deal with the call more effectively, the customer will be told when the job will be done and will receive confirmation when it has been completed. Operatives will have better information on the jobs which will enable them to fulfil the service request quicker and in one visit, with the flexibility and the mandate to sort the problem out. The solution utilises Google Maps and Streetview to pinpoint jobs and mobile working, job management and scheduling tools to provide better understanding of the job and the resources available to sort it out. There will be in depth testing and a phased roll out between June and October, commencing with the Neighbourhood Pride Service (Rapid Response). Reducing the silo working across services will also help with seasonal 'bottle necks' such as flooding and gritting and enable us to react to service requests sooner.
19. Waste Collection - Optimisation of waste and recycling collection rounds will reduce the number of rounds operating and reduce costs by £175k in 2010/11, rising to £350k per annum by 2011/12. There will be a 1 round saving in public bin rounds, 1 round in Domestic Waste and one round in recycling. This will enable services to operate a 4-day week, thus enabling further savings on vehicle hire and maintenance and avoid collection disruptions over bank holidays. New domestic waste/recycling collection rounds are scheduled for the Autumn as around 80% of households are expected to have a different collection day for their landfill waste and recycling. Consultation with customers will be undertaken before implementation to ensure all issues are identified, customers understand the changes and implementation is smooth.

20. This will coincide with the roll out of the 3-box recycling system. The 3-box system has already been communicated to residents in YorCity and was favourably received by the Social Inclusion Working Group in October. All changes to waste and recycling services are taken to Executive member decision sessions prior to implementation.
21. An area-based approach to the delivery of new/replacement bins and recycling receptacles has been established and has been running since February. Crews now receive service requests from the YCC and deliver the containers on set days, dependant on the ward the resident lives in. The resulting strategy ensures that all customers now receive a replacement within 5 working days (before their next scheduled collection) and is a great improvement on the previous process where there was a 6 week backlog
22. Highways Services Right First Time - removal of inspections of jobs prior to repair and the introduction of mobile technology enables jobs to be sent straight to Operatives, including to our street-lighting contractor. This allows a fast reaction to defects. It is estimated that 80% of all public enquiries can be sent straight to the repair teams. The team will incorporate an inspector, who rather than marking up the defect and raising an order, will instruct the gang to repair there and then. ("Inspect - repair - report" method.) This will be set up as part of the new area working process, so that efforts will be focused on a particular ward to reduce travel and set up time and ensure the most effective use of materials such as tarmac.
23. In Housing, vehicle tracking and mobile working will go live in May, leading to improved productivity, reduced cost and faster resolution of housing repairs.

### **Procurement**

24. Focus has been on contracts due to expire by end of March 2010 to manage any risks around these and ensure delivery of cost efficiencies where possible on any contract extensions. £464k of savings have already been negotiated and further savings are being explored: -
  - Tarmac contract has been renegotiated and responsibility for providing traffic management brought in-house, creating a saving of £101,000.
  - Street lighting contract has been renegotiated and contractor staff are now working from the CYC Ecodepot, creating a saving of £30,000.
  - Illuminated Signs - reduction in unit cost - £30,000
  - BT One Bill (invoice consolidation & Direct Debit payment) £26,000
  - Rationalisation of ICT Escrow agreements - £3,500
  - New Recycling Boxes - £10,000 reduction in More for York Investment
  - Streetlighting - energy reduction - £40,000
  - Post - move to 2nd Class and TNT - £42,000
  - HR Payroll - (Savings against budget for system) - £50,000
  - Utilities - change in provider should yield reduced unit cost - £100,000
  - Water Hygiene Monitoring - £20,000
  - ICT Hardware – 30% cost reduction on servers and desktop hardware
  - Photocopiers - reduction in cost per copy - £12,000

### **Customer Services & Income Collection**

25. Allpay – the introduction of payment facilities in over 130 Post Offices and shops went live in February 2010 and there has been a 70% reduction in payments made at the City Finance Centre at 2 St. Leonard's.
26. We have consolidated face-to-face reception points from across the city into St Leonard's Place. The Reception at 20 George Hudson St (GHS) closed on 19<sup>th</sup> February and has been re-located to 9 St Leonards. We are now working on moving duties from 10-12 GHS and Mill House to St Leonard's Place. From May, cash payments will no longer be taken across the counter at 2 St Leonard's and staff will assist customers with making alternative payment arrangements. This will free up space to be re-configured to accommodate Housing Options from 10-12 GHS, alongside Benefits and some of the schools benefits functions from Mill House. This is being designed so that all related services will be co-located to make it easier for a customer to fulfil all of their potential requirements at a single visit.
27. We currently receive 17% of street service requests and 32% of Council tax transactions through the internet and we are developing improved e-forms to further increase this proportion. We have piloted SMS text messaging service for schools to help them to communicate with parents regarding travel arrangements, school closures etc.
28. Court Fees – generated an additional £41k for 2010/11.

### **Adult Social Care**

29. Home Care Staff utilisation. Improved rostering, flexible working, new terms & conditions are being implemented in May to make best use of our in-house resource and significantly reduce agency spend. From 1st June we will be operating a risk assessment based approach to allocation of staff to customers to replace the automatic doubling up of staff after 4pm and the Executive Member has agreed changes to keyholder responsibilities which frees up significant staff time. All of these changes aim to release and reuse hours for home care to meet demand and enhance in-house competitiveness.
30. We just issued a re-tender of already externalised Homecare services to ensure value for money and avoid being tied in to levels of service delivery and cost that might in future be affected by personalisation of homecare. The new contracts are on target to be in place in the autumn.

### **Business Support Services**

31. Printer rationalisation has already taken place at a number of locations e.g. Mill House where the printer estate has reduced from a 1:5 ratio to a 1:19 ratio, thus reducing the annual maintenance cost for the printers that have been removed. Pilot sites are reporting a 30% reduction in print volumes as a result of the change.

## **Financial Benefits Realisation**

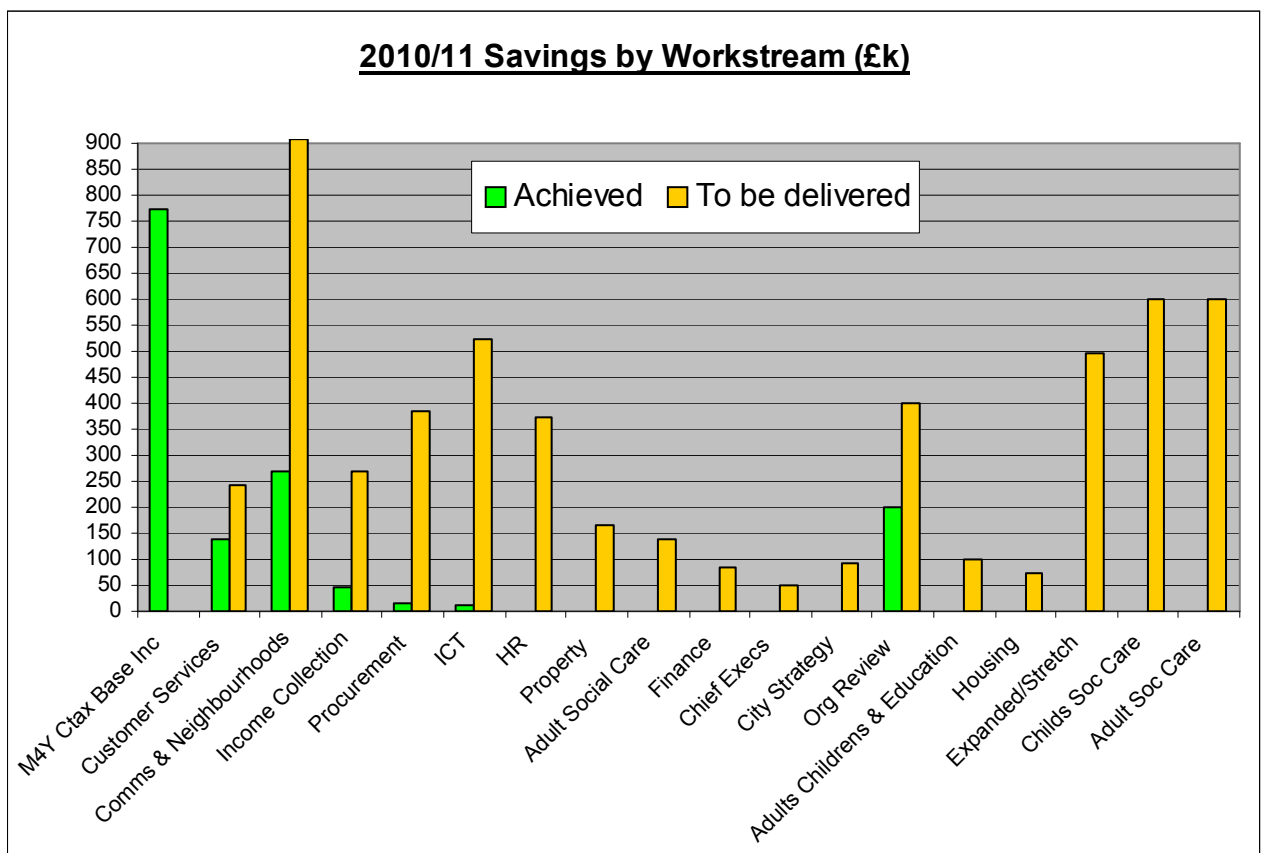
### **Savings made in 2009/10**

32. Target savings for 2009/10 were £512k including the HRA and a total £476k was achieved. The difference relates to two small overstatements in the original blue print projections and a saving made in income collection where the saving was reduced but

no investment was needed to deliver it. When changes are implemented The realisation of savings

### Savings for 2010/11

33. The total gross savings target to be delivered by the programme is £6.951m with the net being £5.7m. This is made up of the target of £4.48m from the blueprints, £479k in relation to the stretch areas, £775k for the increase in Council Tax base as a result of More for York improvements in Council Tax collection rates, the two “management challenges” to reduce growth on Children’s and Adults Social Care which have now been incorporated into the programme (2 x £600k), less the investment costs of £1.251m. The Graph below sets out the projected savings by workstream, indicating that 21% of savings have already been made, totalling £1.454m.



34. The figures above are gross savings before capital investment, revenue investment, and redundancy costs have been met. These costs will be charged against the savings made by the More for York Programme. As all efforts will be made to avoid compulsory redundancy through vacancy management, natural turnover and redeployment, and pension and redundancy costs are specific to the individual it is not possible to accurately identify potential redundancy/pension costs at this time.

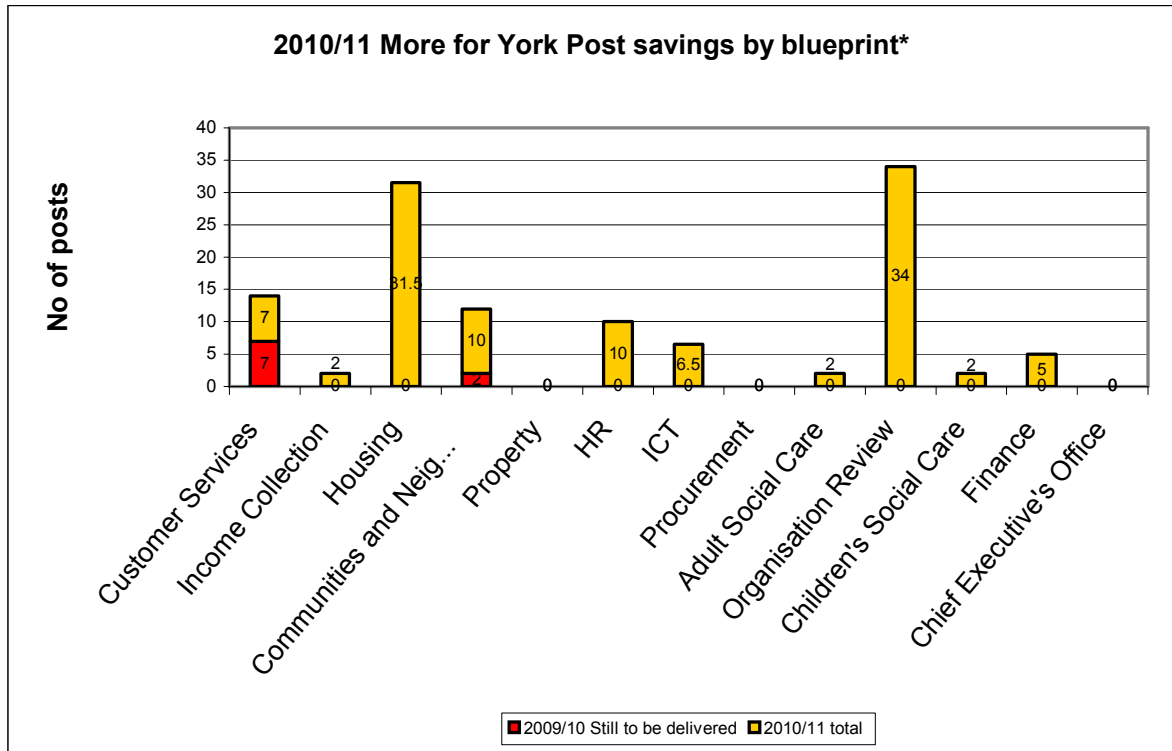
### Benefits Realisation Methodology

35. A robust and detailed process has been established to ensure that savings are properly monitored and realised. The projected savings in each workstream are profiled in detail and identified down to budget code level. These are signed off by Directorates and at Programme Board. At this point they are removed from the Budget.

During the year, ongoing assessment of the progress being made to deliver the savings will give rise to a judgement of whether the saving has been delivered, whether it is projected to be delivered in time or whether there are issues and it is at risk. Spend over the year against the identified budget codes will be monitored to ensure that the savings are being delivered.

## HR Implications

36. The programme has significant impacts for staff. The culture of the organisation is changing and this will necessitate different behaviours and expectations. Staff will be engaged in developing the culture and will need support to operate in different ways. Some staff will be asked to change working practices, manage information in different ways, work across service boundaries, utilise technology, and work flexibly. This has already been touched upon in the Neighbourhoods and Communities Directorate where the introduction of new processes enabled by mobile technology is being piloted. Staff response has in general been very positive and there has been work done to improve the HR policy framework to support this work. Staff will be able to establish better work life balance with family friendly working practices and flexibility as part of their terms and conditions.
37. Changes to business processes and removing unnecessary steps will reduce the need for so many people and there will inevitably be a reduction in the number of posts, however the Council will endeavour to avoid compulsory redundancies through measures such as redeployment, retraining and active vacancy management. We are also exploring a range of additional options so that wherever possible we limit the impact of post reductions on staff. The Council currently employs 3107 fte equivalents, which equates to 4484 staff plus a further 3904 schools staff. We have been managing vacancies to avoid increasing staff numbers. In addition, each year over 400 people leave the authority to take up other posts or retire. The natural pattern of staff turnover over the next three years will help to minimise the impact upon current staff. The Council is committed to avoiding redundancies wherever possible.
38. In 2009/10 a reduction of 17 posts was projected. 8 posts were reduced of which only 3 resulted in redundancies, whilst one resulted in redeployment, 2 related to resignations and two related to other circumstances.
39. The estimated numbers of posts that are projected to be taken out of the establishment in 2010/11 are set out below. The 3 workstreams with no post reductions are still being developed. The current projection for 2010/11 reduced the establishment by 119 posts however, as set out in Para 37, there will not be the same number of redundancies.



40. Even for staff who are not directly affected by a project within the programme, they will experience the Council behaving in a different way. There will be a focus on customer outcomes and performance management, consolidated delivery of support services, a collaborative approach to working with others and a positive “can do” attitude to ongoing improvement for the whole organisation. Staff want to work for an excellent, modern and forward-looking organisation and will benefit from working for an excellent Council.
41. A comprehensive review of related HR policies is underway to ensure that the organisation is fully prepared to respond to large scale changes in its establishment and that we explore all opportunities for making the process of change simple, clear and supportive wherever possible.

## Additional Blueprints

### Children’s Social Care Blueprint

42. Across the UK, councils have experienced a significant increase in referrals to children’s social care whilst also being subject to greater scrutiny of their provision of these services. As a consequence of increased pressures on services, the numbers of looked after children (LAC) in local authorities has been steadily increasing in the last 2 years and in York the increase is higher than the national trend. A significant contributor to this is that more children are staying in care (as opposed to a significant increase in new LAC in the last two years). The current number of LAC in York is 227.
43. External scrutiny over the last 3 years has consistently rated York at a high standard but it is a high performing service which is using an increasingly outdated model. In order for the service to succeed in this changed environment, a new approach is needed. The primary focus of this work is to transform the way children’s services and social care are provided in York to create a set of services that are financially sustainable yet which can achieve and maintain excellent outcomes for customers.

The blueprint for Children's Services describes the programme of work required to bring this new model into being.

44. Some immediate changes have been put in place to address some of the symptoms of the increased workload - the rate of increase in LAC is currently reducing and new entrants have been reduced by a third in the last year. The blueprint has given additional focus to this work and improved its achievements, but these measures need to be consolidated into a new approach and service culture if significant and sustained improvements are to be achieved.
45. The blueprint seeks to achieve further reductions in the LAC population by diverting people to better outcomes, earlier. Those within the children's social care service need to be given greater ability to influence and support other services teams and partners in providing preventative services which get the right support to children & families, earlier.
46. The Blueprint document sets out the proposed work which is comprised of two areas:
  - Restructuring the children's social care service and improving its processes
  - Redesigning the customer contact and management arrangements for children's services and implementing the agreed changes
47. The work will deliver the following headline benefits:
  - More flexible and adaptable service structure which is better able to respond to fluctuation in demand and emerging legislation.
  - Improved ability to manage risk and to deliver outcomes for vulnerable children through earlier and less severe interventions.
  - Improved capacity and focus on developing better links with key partners to provide a more integrated, multi-agency approach to supporting children.
  - Consolidated view of the customer, bringing together appropriate information from all relevant teams and partners
  - Better experience for customers when contacting children's services; service designed more around the needs of customers.
  - Capacity to deliver the service to a high quality standard within budget.
48. Although the full realisation of the above benefits will take longer, progress in all of the above areas will be seen by the end of 2010. The full Blueprint is attached as Annex 1.

### **Finance Services**

49. The full blueprint is attached at Annex 2. The blueprint proposes to consolidate Corporate and Directorate Finance teams into one Financial Management function which will deliver: -
  - Efficiencies leading to an annual staff budget saving of £170k
  - Independence to perform a challenge role
  - Consistent working practices - rapid adoption of standard processes and procedures
  - Speed up decision making
  - More flexible use of staff resources will enable quick response to new demands and pressures and divert resources to areas of strategic priority
  - Reduce duplication of effort



- Promote a culture of financial accountability by clearly defining roles and responsibilities for Financial Management staff and budget holders
- Comprehensive quality assurance approach for financial statements
- Improve cohesion and coordination of the Financial Management function

50. A further phase will look more specifically at processes and procedures to;

- Reduce transactional processing
- Optimise the use of technology to improve efficiency, quality and timescales of financial information
- Reduce reliance on local spreadsheets which will improve control of data and provide visibility to all levels of the organisation and reduce silo information.

### **Additional Work on Future Workstreams**

51. Further work is underway in a number of areas to identify potential transformation activity on other areas, partly to increase savings in 2010/11 and partly to commence work on savings for the following year. Further blueprints will be brought to Executive in the coming months.

### **Risk Management**

52. This report addresses two major corporate risks.

- The failure to achieve the required level of savings in the next three years - the detailed delivery plans for the programme and the benefits realisation methodology set out above both mitigate the likelihood of this happening - if savings are not being achieved CMT will have early visibility and will be able to act swiftly to address this.
- The failure to co-ordinate related change activity. - The recent move to establish CMT as the Programme Board and consider all transformational issues at this board will mitigate the likelihood of this risk significantly. This report seeks to mitigate both these risks by implementing a robust plan of action to achieve savings whilst aligning the delivery programme with other change activity.

53. The programme inevitably brings new risks, which will be closely monitored within the Programme and managed by the Executive Board (CMT). The key risks are

- a. Staff morale may be impacted by significant change and potential large-scale service transformation, particularly where service redesign and potential post reductions may occur. *Mitigation* - reduce the impact upon staff numbers through vacancy management, redeployment, training and turnover. Extensive communication and engagement with staff to explain the positive aspects of the programme. Commitment to staff development and training to help staff to manage the change process and develop for the future.
- b. Some Customer Groups may object to individual proposals. *Mitigation* – Equalities Impact assessments on each project accompanied by customer engagement to shape the design of services in the future.
- c. Unions may object to individual proposals and industrial action may ensue. *Mitigation* – Ongoing Union engagement at a Programme wide level through

Corporate Joint Consultative Committees and through close involvement with detailed work at Directorate Joint Consultative committees

- d. The programme is wide ranging and it may be difficult to co-ordinate activity across different streams and directorates. *Mitigation* – Robust Programme Management & Governance arrangements will ensure joined up issue and risk management and will provide visibility of any failure to deliver proposed outcomes.
  - e. Individual savings proposals may be unpalatable to Members – Regular Quarterly progress reports to Exec/Full Council will set out progress against targets and any further decisions to be made. Decisions will be made according to the constitution.
  - f. The culture of the Council may prevent innovation and achievement of savings and improvements. *Mitigation* – Development of culture change programme that supports Organisational Development Strategy
  - g. The Organisation may lack the skills to deliver change and deliver services in different ways – *Mitigation* – supplement the programme resources with external expertise and ensure skills transfer to bring key skills in house, identify skills gap in workforce and build into workforce planning and staff development plans to create sustained and ongoing capability.
  - h. The Programme will be relying on the successful deployment of new technology such as mobile devices, scheduling systems and a new HR application. There is a risk that these systems take longer to implement than is planned. *Mitigation* - Closer working with our suppliers and procurement specialists to ensure that delivery is made on time. Internally, improved system testing processes and dedicated implementation resources.
54. If the Children’s Social Care Blueprint is not implemented the cost of delivering children’s social care will continue to rise, specifically the disproportionate costs of more severe interventions and high cost placements - the service will cost at least £0.5m more to deliver in 2011/12. Increased risks to the safety of vulnerable children; poor outcomes for children potentially resulting in reduced life chances and a widening of the equality gap. The quality and performance of children’s services could fall with the service losing its “outstanding” rating with consequential negative impacts on the overall CAA score and council reputation.
55. If the Finance Blueprint is not implemented it will not be possible to deliver the savings from that workstream and it will be very difficult to standardise financial procedures and reporting.

## Consultation

56. The development of the Blueprints has involved consultation and engagement with customers and staff. The output from ongoing service review processes with children, young people & their families who have experience of the care system have been used as the basis for the main structure changes in Children’s Social Care Blueprint. This includes input from consultation groups both before the blueprinting work and on the emerging proposals in February 2010.
57. Specific plans within each workstream which have an impact on customer facing services are brought to Executive member decision panels and are consulted upon

with customer groups. Communication plans are developed for each workstream to consult, engage and inform customers of changes to services.

58. Partner briefings have commenced and there have been very positive commitment made by all partners to explore opportunities for further cross organisational efficiencies particularly in relation to joint commissioning with the PCT and shared delivery of social care services with other partners. The potential for shared delivery of back office services will also be explored.
59. Unions have been briefed throughout the development of the blueprints and are party to the content of this report and the blueprints. Close liaison with all Unions will be essential for the successful delivery of the programme. To facilitate this, More for York is a standing item on both Corporate and Directorate Joint Consultative Committees which are chaired by the Chief Executive and Directors respectively.

### Implications

60. The implications this report are: -

- **Financial** - covered in the report
- **Human Resources (HR)** - covered in the report
- **Equalities** - Desktop Equalities Impact Assessments (EIA's) have been undertaken on each blueprint to ensure that all equalities considerations have been taken into account. Full consultation with internal and external Equalities groups has commenced for priority EIAs and will continue throughout the programme as detailed proposals are developed. The outputs from this consultation will be incorporated into the ongoing running of the work streams and further reports to Executive.
- **Legal** – There will be an upsurge in procurement activity with potential new areas of engagement for the Council. Legal support will be essential.
- **Crime and Disorder** – no implications
- **Information Technology (IT)** – The delivery of the Corporate IT Strategy will support this programme. Management of the related delivery of IT development will fall under the programme. The ICT workstreams will also have impact upon the organisational structure of the IT department and on some existing IT projects.
- **Risk Management** – High-level risk are covered in the report. A detailed risk register will be kept at programme level and by each project.

### Recommendations

61. The executive is recommended to: -
62. Note the progress made on delivering the programme
63. Agree the Children's Service Blueprint set out in Annex 1
64. Agree the Finance Services Blueprint set out in Annex 2

### Reasons

65. To enable the Council to deliver the strategic objective to be an Effective Organisation, to deliver service improvements and create net efficiency savings of £5.7m in 2010/11.

**Contact Details**

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**Chief Officer Responsible for the report:**

*Chief Officer's name* Kersten England  
*Title Assistant* Chief Executive -

Dept Name Chief Executives  
Office  
Tel No. 553419

**Report Approved**

**Date** 11<sup>th</sup> April 2010

**Wards Affected:** *List wards or tick box to indicate all*

**All**

**For further information please contact the author of the report**

**Annexes**

Children's Social Care Blueprint  
Finance Services Blueprint

.....Annex 1

.....Annex 2



*more for York*



## **Blueprint for Children's Services**

**V0.7**

**City of York Council**

**April 2010**

Prepared by: Ian Graham

## Blueprint for Children's Services

Blueprinting defines the structure and composition of the changed organisation that, once delivered, demonstrates the capabilities expressed in the vision statement for the organisation. It is a description of what the new organisation looks like in terms of people, processes, performance, platforms and outcomes for customers.

### Background and Context

The focus of the blueprint is on Children's Services within CYC. This covers a range of services, the most distinctive of which is Children's Social Care (CSC) which provides specialist services to the most vulnerable children with a high level of need or who are at risk of harm.

Alongside this function are a range of services provided by both CYC and partners (under the umbrella of the Children's Trust) which complement the social care & safeguarding provision of CSC. The focus of Children's Trust services is to provide support at the level below social care and they have key focus of preventing children moving up to a higher tier of need. Linked with these services are other areas such as the Youth Offending Team, which supports those in the young offender system, and the Family Information Service which provides information for all children and families on the full range of services available within York, including general information not just social care and related.

Children's Services and CSC in particular is a highly regulated service with much of what is provided being set down in legislation with an increasingly rigorous inspection and monitoring regime. The service has reached and maintained an excellent standard over the last few years and is been highly regarded by external scrutinising bodies, however, in the last 18 months there have been significant changes to the environment in which children's services operate, specifically following Lord Laming's review into the tragic death of Baby Peter.

This means that the services now face a significant amount of legislative change and increased scrutiny in the next 12-18 months but set against the higher level of demand for service already being experienced. Across the UK, councils have experienced a significant increase in referrals to children's social care whilst also being subject to greater scrutiny of their provision of these services. As a consequence of increased pressures on services, the numbers of looked after children (LAC) in local authorities has been steadily increasing in the last two years. Specifically:

- **Nationally** - LAC increased by 2.5% in 2008/09.
- **Statistical Near Neighbours** - LAC increased by 3.5% in 2008/09, above the national trend.
- **A networking group of authorities nationally** – LAC increased by 7.8% in 2008/09 on average and by 10% if London boroughs are excluded from the group.
- **York** - LAC are currently increasing at 14% which is higher than the trends. A significant contributor to this is that more children are staying in care (as opposed to a significant increase in new LAC in the last two years). The current number of LAC in York is 227.

This all presents some significant challenges for the current services and there is a recognition now that CSC is a high performing service which is using an increasingly outdated model, given the environment in which it now finds itself.

In order for the service to succeed in this changed environment, a new approach is needed for the delivery of Children's Services in York. The blueprint for Children's Services describes the programme of work required to bring this new model into being.

Some immediate changes have been put in place to address some of the symptoms of the increase in workload and the process of preparing the blueprint has also given additional focus to this work, but these measures need to be consolidated into a new approach and service culture if significant and sustained improvements are to be achieved.

## Vision

The vision for Children's Services in York:

***“Children's services in York are provided to the right children by the right people at the right time, within an integrated support and safeguarding system”***

This vision is supported by the following values:

- **clear purpose** which is shared and owned by all involved
- **quality service** that provides the right support to the right people at the right time
- **customer-centred** approach that takes account of what customers want and need
- values and **respects staff** and is committed to their continuing development
- works effectively and innovatively **with partners** to get the best possible outcomes
- **efficient** working models and processes that make the most of available resources

This delivery of this vision will be underpinned by:

- The creation of a **flexible** and **sustainable service**
- An appropriate **balance** between **safety and cost**
- Clear lines of **accountability** to management, CYC as a whole, partners and legislative bodies

## High Level Objectives for the Project

- Create a more unified and efficient customer contact function for children's services.
- Secure current performance levels and create capacity to seek continuing improvement
- Enable the service to respond to the changing social care agenda and be flexible enough to deal with un-predicted changes and demands.
- Support the delivery of a prevention culture which will assist children's needs to be identified earlier to reduce the number of more serious interventions at later stages. Ensure preventative services are suitably supported and influenced by experienced social care professionals.
- Stabilise then contribute to the work to manage the budgetary overspend on children's social care.
- Ensure the design of the services supports and complements the wider strategies of both CYC and its partners.
- Create a service that can balance workloads between managers and teams and so support consistency and quality in service to customers.

The project will deliver a service that will be improved in the short term but which will also have the right foundations for continually improving itself in the medium and long term. The changes set out in the blueprint will enable those within the service to develop it themselves the demands on and priorities of the service change in the future.

## Principles

The vision and objectives lead to a number of practical principles around which the service will be designed.

### Effective team structure and transitions between teams

- Teams are arranged in such a way that focuses on the core purpose of the service, not arbitrary divisions
- There is a clearly defined purpose for each team and the roles within it
- Transitions between services (internal and external) are well managed and justified so children on the edge of care or at risk of harm receive continuity of service
- When the involvement of CSC in a case comes to an end, facilities should be in place to ensure the case can be pro-actively handed over to another team or partner to continue support if necessary.
- The service is flexible and has a shared ownership of its purpose

### Consolidated view of the customer

- Staff will have a single reference point to obtain a complete picture of a customer & their history
- Staff and partners will have the right information made available to them and actively shared and promoted to them where possible

### Simple and efficient access for customers

- A single point of contact for customers, which covers all access channels.
- Processes and service levels which are clearly defined and manage the expectations of customers, whilst being consistent across the customer base.
- Processes for customer contact are consistent and in keeping with the corporate customer strategy.

### Partnership working

- The structures, processes and protocols of the organisation will take account of all parties involved, both internal and external to CYC, and will be designed to achieve the best possible outcomes for customers with the resources available.
- The needs and expectations of partners are considered and managed

### Best use of data

- Data is routinely analysed pro-actively to identify trends or indications of possible areas for early intervention.
- Capture the required customer data as early in the process as possible. The same data should not need to be captured again.
- Ensure that processes for capturing and recording data are efficient but justified by the end purpose for the data
- Service design, improvement and day-to-day management is based on the available data which is accurate and up to date.

### Quality assurance mechanisms

- Appropriate quality assurance mechanisms should be in place across all services.
- Mechanisms to measure and assure quality should also take account of the whole experience of a child or family whilst receiving support or care, not just the individual team or service elements.



## **Business Case 1 – Children’s Social Care restructure**

### **Strategic Fit**

The restructure of children’s social care services will enable the service to meet the changing demands for care whilst maintaining its cost base at an acceptable level. The changing environment in which children’s social care operates will result in more scrutiny and a higher expectation of quality than before. The proposed work will ensure that the service can meet and exceed these requirements and expectations without a continuing need to increase its resources.

### **Objectives**

A transformed service that can accept and service current and future demands for support from customers. It will achieve this by:

- Influencing prevention work to improve its targeting of support towards those who would benefit from it.
- Facilitating increased prevention work of partners, to give CSC a sharper focus on those cases where specialist social care services are provided. Doing the work CSC should be doing; supporting partners effectively so they can do their part.
- Working better with partners to provide a more joined up approach to achieving the right outcomes.
- Delivering the win-win situation of achieving earlier and better outcomes for customers, which are more cost effective for the council to deliver.
- Maximise the effectiveness of the unique services provided by those working in tier 3 and 4 (social care and safeguarding) services.
- Ensure the workloads of individuals, teams and managers are balanced and appropriate, to support a better working culture for staff and improve the quality of services offered by CSC.
- Prepare the service to meet the recommendations of the Social Work Task Force, particularly around raising the profile of social care (tier 3) services.

Specific changes required to achieve the above objectives:

- Create operational teams whose cases are not restricted by location or age.
- Create generic roles across the service to increase the mobility & flexibility of staff.
- Move control and responsibility for managing the day to day work closer to front line staff to remove the need for Grade 11 & 12 managers to be constantly involved in case details
- Empower staff through training, coaching and a shift in the working practices of the service. This will be driven and underpinned by a change to the culture of the service and to the behaviours exhibited by managers and staff.
- Develop and promote a culture where staff & managers work more with their peers in other teams to deliver the service overall.
- Create capacity for the service managers and heads of service to spend the required time on longer term planning, actively dealing with service development activities and promoting stronger links with partners and other CYC teams.

More details of the proposed changes to achieve these objectives are detailed in Appendix 8.

### **Financial Benefits**

The headline financial benefit is that the project will mean the service will be delivered to budget in this financial year, with increasing budget savings identified for future years. This equates to a £435k reduction in budget over three years (starting 2010/11) and this includes a modest budget saving for 2010/11 of £21k.

There is also a proposed 'stretch target' which would see the budget savings over the same 3 years at £1.1m.

A full benefits analysis is included in Appendix 2.

### **Risks**

The following risks are associated with the project:

- Quality of care or other performance indicators fall during the transition.
- Key elements in the objectives are dependent upon the successful and timely delivery of the outcomes from the front door workstream (business case 2) – if that workstream is delayed it will impact the delivery of these changes.
- Dependencies on the other workstream are such that if not managed it could result in safeguarding concerns being missed.
- Media interest in the work could be high, resulting in increased resource required to manage communications.

The following are risks of not carrying out the project:

- Financial costs of delivering children's social care continue to rise, specifically the disproportionate costs of more severe interventions and high cost placements
- Quality and performance of CSC services fall; service loses its "outstanding" rating with consequential negative impacts on the overall CAA score and council reputation.
- Poor outcomes for children potentially resulting in reduced life chances and a widening of the equality gap
- Pressures on staff cannot be addressed resulting in higher turnover or increased sickness absence rates
- Service becomes unfit to deal with future demand levels or legislative requirements
- Service is unable to deliver its commitments made in the 2009-12 Children & Young People's Plan, corporate strategy and sustainable communities strategy.

### **Recommendation**

A transformational restructure of children's social care is carried out in order to re-align resources and skills with the demands on the service. This will remove the current split of teams based on age & customer location and move to a team structure designed around working with partners to support the customer.

## **Business Case 2 – Consolidate customer access for children's services and improve coordinated prevention services**

### **Strategic Fit**

Children's Services currently have numerous customer access points located around the city, both in the city centre and outlying locations. Whilst this is right for many of the services offered for Children, certain services, in particular those provided for children with higher levels of need would benefit from better cohesion between teams and partners.

Consolidation of these services to a single unit and more importantly, a single mode of operation will increase the efficiency of the services and provide a more consistent experience for the customer. This is in line with both the council's customer strategy and the separate customer services workstream within More for York.

The creation of a consolidated customer access function will also facilitate the expansion of the front door arrangements to incorporate external partners, provide joined up services that are focussed around the customer not the provider and enable better tracking and management of customers through the process. This will allow development of stronger preventative and early intervention services, making the right help & support available to customers earlier and in a targeted way.

This project will build on the work already started as part of the recently completed More for York (previously Easy@york) Advice & Information project in HASS, which saw the creation of a dedicated customer contact team for children's social care referrals. The benefits of this team are already being seen by the staff and management in that area but it is crucial to build upon these foundations in order to maximise the benefits of that arrangement.

## **Objectives**

Many of the issues within CSC that have recently arisen relating to performance and cost stem from the change in demand that has been experienced over the last 12 months.

The current customer access arrangements do not facilitate a joined up working approach and hence it is time consuming for staff to pro-actively identify and pursue cases where early intervention and prevention activity would enable the customer to avoid more severe (and costly) interventions at a later date. It is necessary to manage customer contact in a way that gets people to the right place and involves the correct staff as quickly as possible.

Therefore, the objectives of the workstream are to:

- Consolidate the key customer contact functions for children's services into a single structure. This will provide a single point of contact for children's services but also form a central hub to manage and track customers through the system.
- Enable a greater level of information and data sharing will be possible, as will increased levels of close working between related teams and partner agencies.
- Manage the transitions of customers between teams and agencies so that it is smooth and seamless to the customer.
- Enable expertise and knowledge to be shared more easily between staff and teams through co-location and closer working practices for related staff.
- Allow emerging cases to be identified earlier and hence preventative measures be taken to support customers in helping themselves before extreme intervention is required. Achieving earlier and better outcomes for customers, which are more cost effective for the council to deliver.
- Embed key corporate principles on the management of customers within the new design for these services.
- Support Children's Services in moving to the single corporate headquarters in 2012 as part of the Admin Accommodation project by creating services which align with this model.

## **Risks**

The following risks are associated with the project

- Quality of care or support fall during the transition. Other performance indicators are affected.
- The design of the consolidated service may be hampered or delayed by non-agreement on the purpose or methods of working for the new service as the key stakeholders do not all share the same operational purpose or principles.
- Dependencies on this service and the social care restructure work mean that safeguarding concerns may be missed during the transition work.

The following are risks of not carrying out the project:

- Financial costs of delivering children's social care continue to rise, specifically the disproportionate costs of more severe interventions and high cost placements
- Quality and performance of services fall; service loses its "outstanding" rating with consequential negative impacts on the overall CAA score and council reputation.
- The proposed improvements in the levels of prevention carried out by CYC and partners are not realised meaning that the proposed changes to CSC will yield lower or no benefits.
- Service becomes unfit to deal with future demand levels or legislative requirements
- Service cannot meet the needs for greater partnership working or deliver the integrated working proposals set out in the 2009-12 Children & Young People's Plan.

### **Recommendation**

a single function is created to deal with all customer contact and tracking for children's services. This will bring together the relevant staff from CSC, Children's Trust Unit, Youth Offending Team and Family Information Service into a single, co-located unit to provide a focus for both customer contact and the management of transitions between teams and partners.

### **Dependencies between Business Cases 1 and 2**

Although the social care and customer access work is being presented as two separate work streams, the dependencies between them cannot be overstated. Whilst they have different pressures, remits and stakeholders, the delivery of one is highly dependent on the other. For example, the delivery of a transformed customer access function is a critical enabler for a new social care structure to operate effectively. The benefits outlined in this document are based on successful delivery of both workstreams.

These dependencies are why the projects are being presented within the same blueprint and it is important that they are considered in the context of one another.

### **Business Case 3 – Recruit and develop additional local foster carers**

#### **Strategic Fit**

Increased demand for children's services and a greater number of children being placed into care means that more care placements are required and local placements are more cost effective for the authority.

#### **Objectives**

- Provide increased capacity with the Family Placement Team within CSC to increase activity in foster carer recruitment.
- Increase the number of foster placements available locally to reduce the need to use more expensive out of area placements with Independent Fostering Agencies (IFAs).

#### **Risks**

The following risks are associated with the project:

- There are no major risks associated with carrying out the project.

The following are risks of not carrying out the project:

- Higher costs of using IFA placements in more cases.

### **Recommendation**

A project be initiated to bring in specialist staff to support the recruitment of local foster carers. The costs for such resource are included in the investment amount identified in Appendix 2.

## **Business Case 4 – make a placement in Wenlock Terrace children’s home available to other authorities**

### **Strategic Fit**

Due to the changing demand for the service offered by the Wenlock Terrace children’s home, spare capacity often exists if there are not a large number of young people who require the type of care it offers. Other authorities may have a need to provide this type of service and making a place available to these authorities would generate a revenue stream into the authority.

It should be noted however that this would not be a guaranteed income, as it is dependent on other authorities having the need to source this type of placement. Such a need is likely to be variable and a testing of authorities in the region has suggested that there would likely not be interest in some committing to a block booking.

### **Objectives**

- Review possible approaches to making a place available.
- Create an operating model that can be used to accommodate young people in Wenlock Terrace from outside the CYC area.

### **Risks**

The following risks are associated with the project:

- Development of the approach may not yield significant income if demand does not exist or the charges are unaffordable to other authorities.

The following are risks of not carrying out the project:

- Revenue could be lower than if the project was implemented.

### **Recommendation**

Review possible approaches to making a place in Wenlock Terrace available to other local authorities. Carry out further investigations into the likely interest from other authorities and then select an appropriate model and define what is to be offered.

## **More for York involvement in the work**

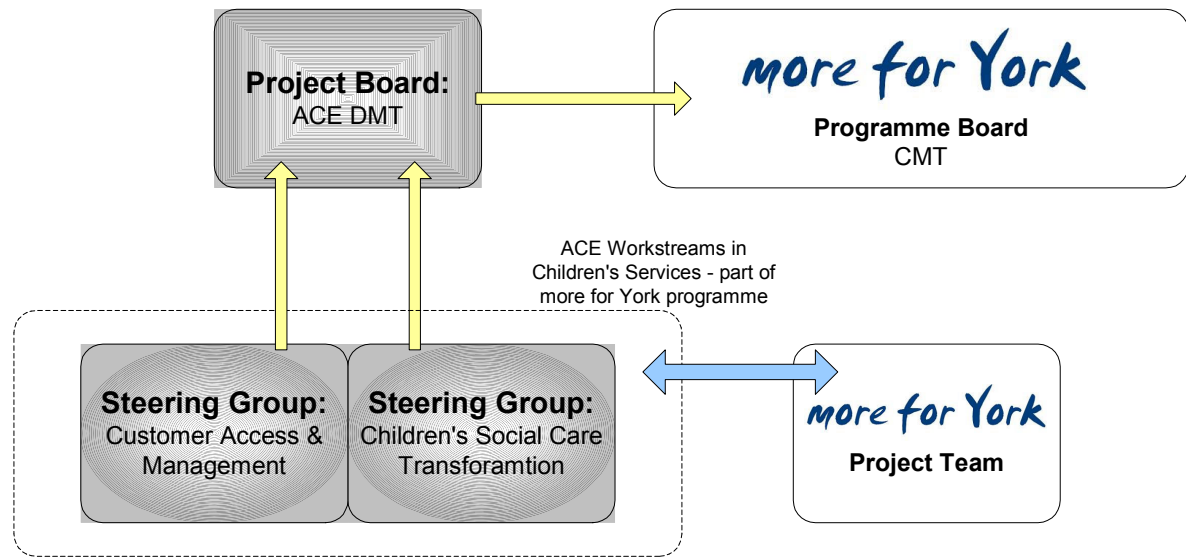
Children’s Services have developed a clear vision of the key changes that are needed to meet the challenges described in the blueprint but notable change management and project management expertise is required to successfully deliver these ambitious (but necessary) changes in the required time. Children’s Services recognise that capacity in these areas is limited within the directorate but that the involvement and support of More for York in this work will give it the skills and structure needed to enable the service to transform itself and meet the challenges it faces on cost and capacity.

The More for York team will facilitate the work and bring additional staff resource to supplement those already available from within ACE and thus provide the project with the correct mix of skills to deliver the vision. Importantly, More for York will also give the project the drive to deliver the work in a timeframe that would be unachievable by ACE alone.

The service remains the main sponsor for the work and their requirements, set out in this document, are what provides the business case but More for York will help to set these in the context of the wider organisational change within CYC.

**Project governance**

ACE DMT will act as the directorate project board for the work, chaired by the Director of ACE who will act as the Project Executive. There will also be two steering groups to direct and inform the design and development of the two main areas of work and to provide a forum at which for the key stakeholders can be represented. Each steering group will report into the project board, which will in turn report to CMT as the More for York Programme Board, as shown below.



ACE DMT have welcomed the support of the More for York programme and the governance structure that it brings.

**Achievability**

The timescales for the work are ambitious but reflect the need to act quickly to ensure the standards and sustainability of the service can be maintained.

The project will be delivered in three phases as summarised below. An initial milestone plan is also included in Appendix 1.

**Phase 1 – to July 2010**

The critical changes set out in the blueprint are proposed for completion by July 2010. This will represent the first phase of the work. It will involve the restructure of CSC and the creation of the single function for customer access.

**Phase 2 – June to Nov 2010**

This phase will include the consolidation of roles within the single customer team for children’s services and embedding/developing the work processes within CSC. By the end of this phase all the significant change work will be complete

Work in this phase will build on the foundations from phase 1 and embed the new processes and principles, develop the services more fully and secure the long-term robustness of the service. This phase will provide the changes that will start to yield the benefits.

Work to increase the number of foster carers will start in phase 2 but is ongoing into phase 3. The investigation and set up of the potential revenue stream will also be carried out in phase 2.

Phase 2 overlaps with phase 1 as the work on plans for the single customer team for children's services need to begin before the phase 1 activities are complete.

### **Phase 3 – Nov 2010 to mid 2011**

A third phase of work is proposed to follow on from November 2010 into 2011 to build upon the new services and develop them to include further partners and enable the services using improved ICT systems. This phase will also use the initial performance data gathered during the first two phases to optimise the new services and ensure they are operating as effectively as possible and that benefits are maximised.

## **Benefits Realisation Plan**

The Benefits Realisation Plan is detailed in Appendix 2

## **Decision Log**

See Appendix 3

## **Commercial Aspects**

The blueprinting has identified investment requirements of £126k for staff to deliver the work. This is required for 2010/11 only and is comprised of:

- Business analyst/Project Manager/Change manager resource: £81k
- Specialist staff to support foster carer development: £45k

No investment requirements beyond 2010/11 have been identified.

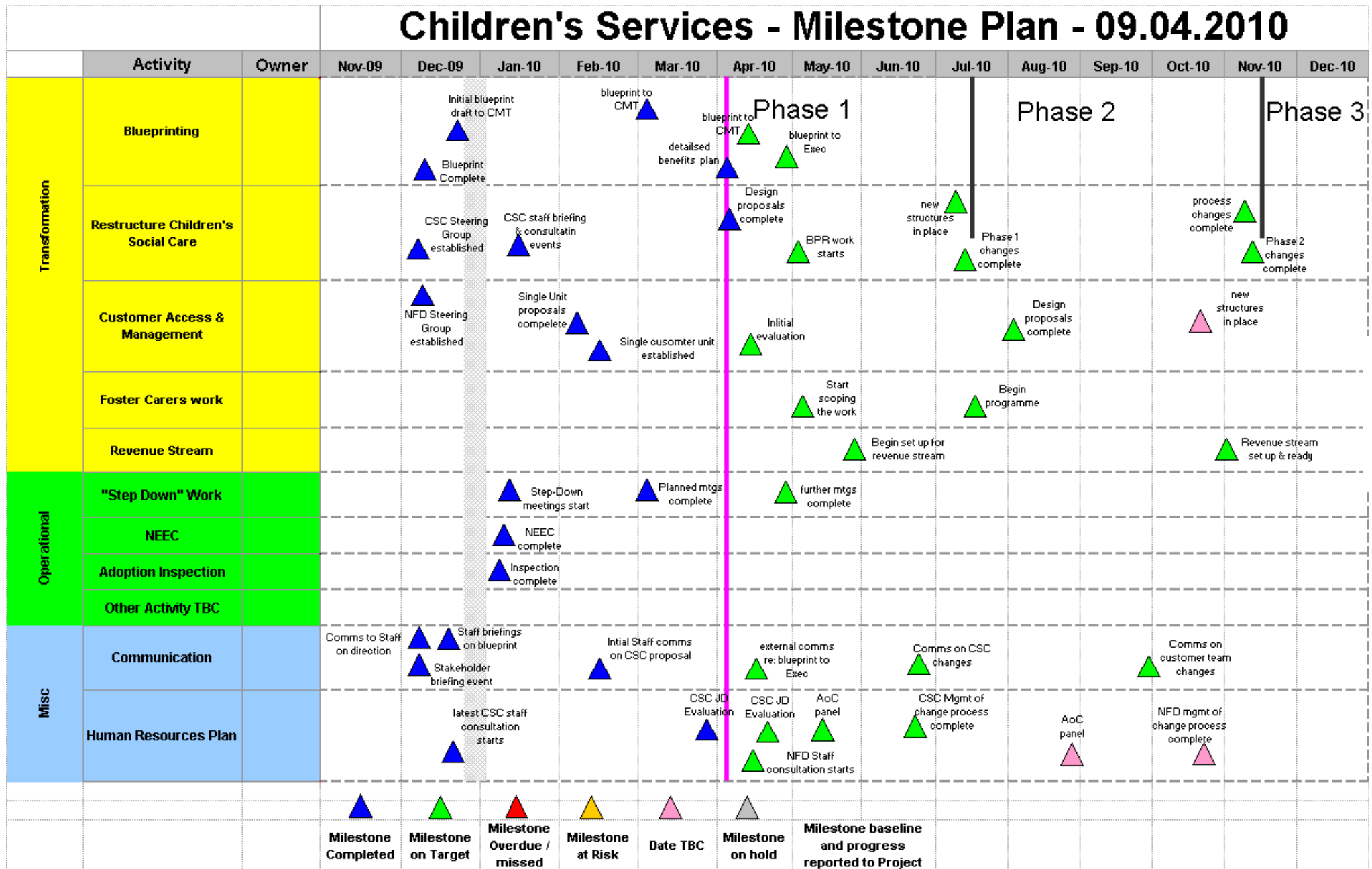
## **Source Information**

Information leading to the completion of this blueprint has been obtained from:

- Consultation with relevant DMT members
- Consultation with Children's Social Care management team
- Consultation with Early Interventions & Partnerships teams
- Consultation with YOT
- Service & Business Plan 2009/10 and 2010/11
- Children & Young People's Plan 2009-12

A full list of those involved is given in Appendix 4.

Appendix 1 – milestone plan





## Appendix 2 – financial benefits realisation plan

The work will reduce the cost pressures on the council by reducing both the number of LAC and the unit cost of doing so through a lower use of IFAs which are significantly more expensive than local foster placements. Although there are not significant budget savings in years 1 and 2, there is a significant reduction projected in the in costs incurred by the council in those years when compared with projected costs incurred without the making the proposed changes. There are also moderate staff savings identified.

The financial benefits for the project have been expressed in terms of:

- Principle Targets – budget savings for which there is a high confidence of realisation
- Stretch Targets – budget savings and revenue streams which could be achieved given the right conditions, but which CYC have much lower control over at present (but may have more control after the initial changes) and hence have less confidence in predictions. However, they represent the ambition for Children’s Services to achieve and every effort will be made to reach the stretch targets.

It is expected that the achieved benefits will fall somewhere in the range between the Principle Targets and the Stretch Targets.

### Financial Benefits – Principle Targets

The Principle Target financial benefits are outlined in Table 1 below:

	2010/11	2011/12	2012/13	3 yr Total
Reduction in LAC budget	£0	£0	£228,644	£228,644
Corresponding reduction in LAC	0	0	12	12
Further reduce IFA no’s	£0	£24,000	£105,000	£129,000
Staff budget savings	£21,283	£79,555	£102,480	£203,318
Investment required	-£126,000	£0	£0	-£126,000
<b>Net Budget Saving</b>	<b>-£104,717</b>	<b>£103,555</b>	<b>£436,124</b>	<b>£434,962</b>

*Table 1 – Projected savings (principle targets)*

For context, each LAC costs approx £20k p.a. on average to the council and this is used in calculating the figures in the table above.

Fig. 1 below shows the projected LAC costs after the proposed changes are implemented.

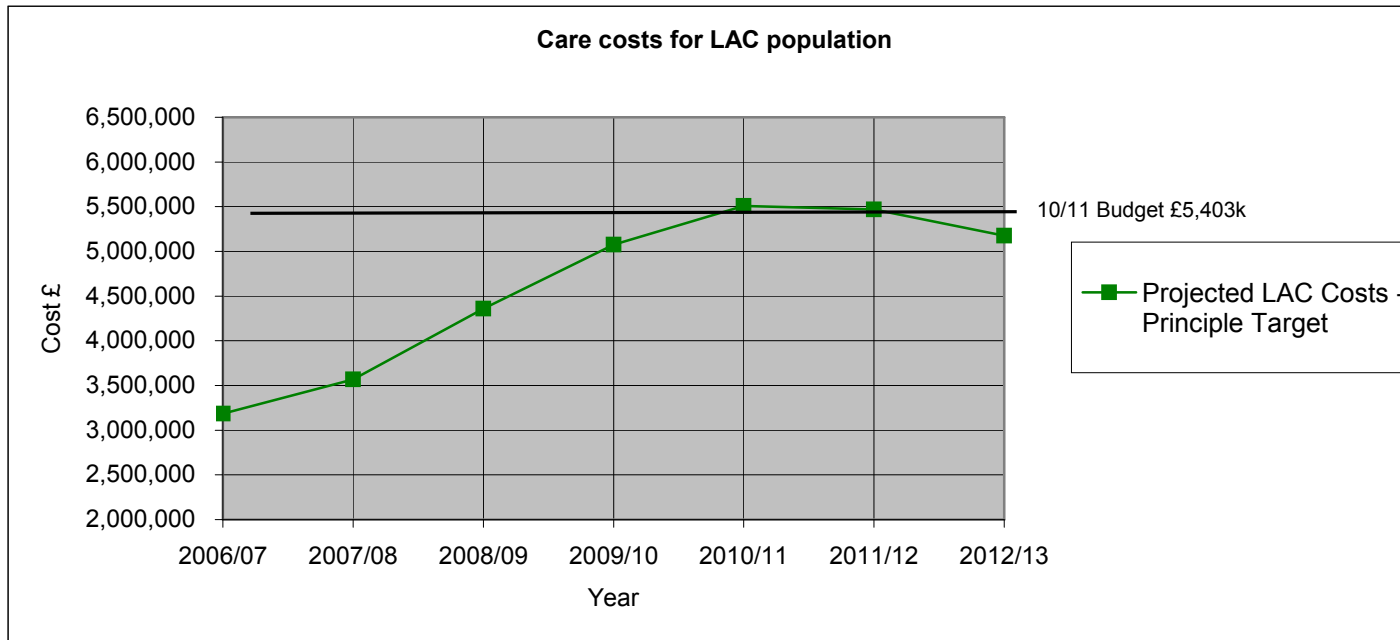


Fig. 1 - Projected LAC costs over time

### Financial Benefits - Stretch Targets

In addition to the principle projections above, the blueprint includes a stretch target for savings which includes a more rapid reduction in LAC costs and an additional revenue stream from making a place in the Wenlock Terrace children's home available to other councils.

The stretch target represents the levels of savings which could be achieved given certain conditions but over which CYC has less control and a lower confidence in projecting. These are set out in Table 2.

The LAC reduction figures in Table 2 below represent 21 fewer children in care by end of 2012/13 than the budgeted levels for 2010/11.

	2010/11	2011/12	2012/13	3 yr Total
Reduction in LAC budget	£0	£165,864	£481,375	£647,239
Corresponding reduction in LAC	0	7	14	21
Further reduce IFA no's	£0	£70,000	£175,000	£245,000
Staff budget savings	£36,610	£79,555	£102,480	£218,645
Investment required	-£126,000	£0	£0	-£126,000
Revenue stream	£20,000	£40,000	£40,000	£100,000
<b>Net Budget Saving</b>	<b>-£69,390</b>	<b>£355,419</b>	<b>£798,855</b>	<b>£1,084,884</b>

Table 2 – Projected savings (stretch targets)

Fig. 2 below shows the projected LAC costs as in Fig. 1 above but with the addition of the (lower blue) line showing the stretch target for comparison.

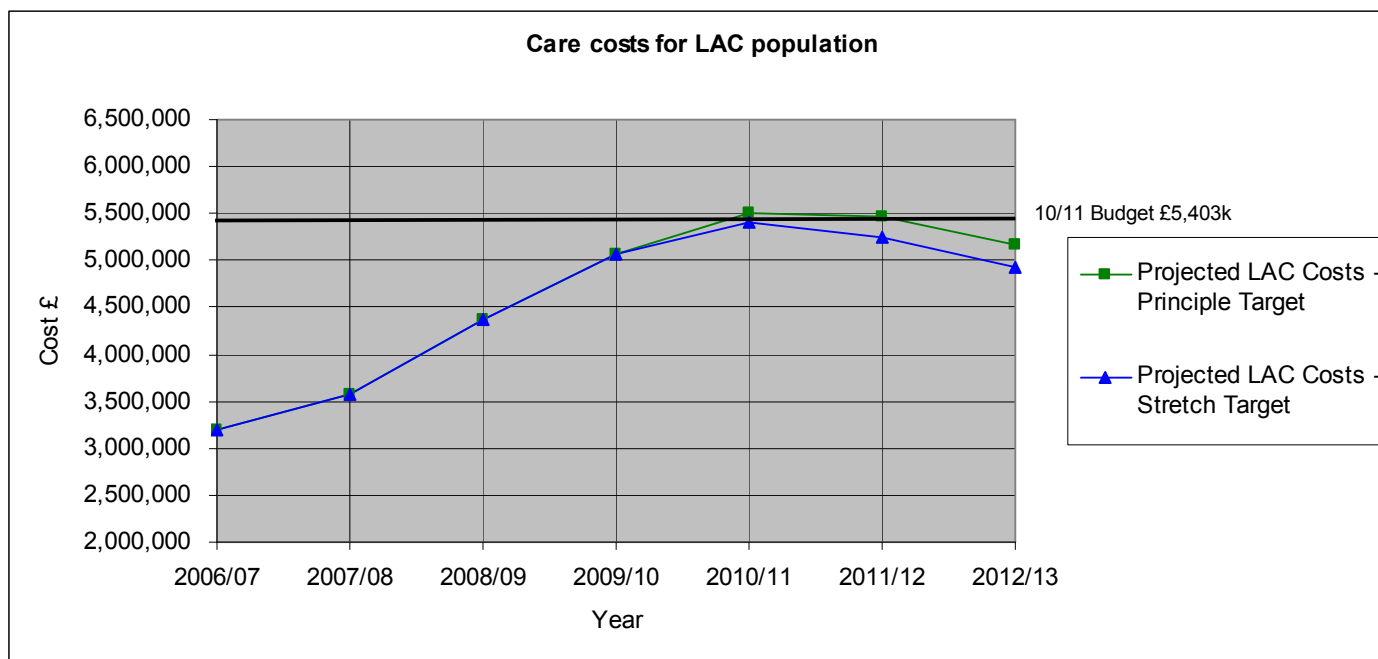


Fig 2 - Projected LAC costs over time including stretch target

The work will allow the cost of providing social care for children to remain in budget for this and future years, assuming current national and regional trends continue as projected.

### Non-Financial Benefits of the Work

In addition to the financial benefits outlined above, the work will generate significant benefits in the ability of the service to operate more effectively and to provide a better quality service to customers. Overall, the work will deliver the following headline benefits:

- More **flexible and adaptable service structure** which is better able to respond to fluctuation in demand and emerging legislation.
- **Improved** ability to manage risk and to deliver **outcomes for vulnerable children** through earlier and less severe interventions.
- Improved capacity and focus on developing **better links with key partners** to provide an more integrated multi-agency approach to supporting children in York.
- **Consolidated view of the customer**, bringing together appropriate information from all relevant teams and partners
- **Better experience for customers** when contacting children's services; service designed more around the needs of customers.

Although the full realisation of the above benefits will take longer, progress in all of the above areas will be seen by the end of 2010. Specific details of the proposed changes and how they will contribute to the above benefits are given in Appendix 8.

### Appendix 3 – Decision Log

Ref No.	Decision – Details	By Who
1	Approve the restructure of Children’s Social Care service	CMT/Exec
2	Approve the creation of new customer access arrangements for children’s services	CMT/Exec
3	Agree to bring staff from CSC, CTU, YOT, Education Welfare and FIS into single organisational structure	CMT/Exec
4	Approve a programme of work to recruit and develop additional local foster carers	CMT/Exec
5	Approve the set-up of a mechanism for making a place in Wenlock Terrace children’s home available to other authorities	CMT/Exec

## **Appendix 4 – Source of Information**

### **The following were specifically involved in the compilation of this blueprint**

Pete Dwyer – Director Adults, Children & Education  
Eoin Rush – Assistant Director Children’s & Families  
Paul Murphy – Assistant Director Partnership & Early Intervention  
John Roughton – Group Manager, Children’s Social Care  
Howard Lovelady – Group Manager, Children’s Social Care  
Sarah Olorenshaw – Service Manager QA, Children’s Social Care  
Ann Gladwin – Interim Service Development Manager, Children’s Social Care  
Judy Kent – Group Manager, Children’s Trust Unit  
Jen Haines – Integrated Working Strategy Manager, Children’s Trust Unit  
Simon Page – Head of Youth Offending Service  
Niall McVicar – Family Information Service Manager  
Adele Peacock – Children & Families Planning Manager  
Derren Castle – ICS Project Manager  
Mark Smith – Education Welfare Officer  
Children’s Social Care Staff – over 100 social workers, support workers and managers from children’s social care.

## Appendix 5 – Initial Communications Plan

### Strategy for Communications:

Communications to staff throughout the process should provide clarity and transparency to the transformation process for children’s services. The primary aim is to ensure that staff have ready access to information, including:

- the direction of travel for the services involved
- key principles and detail of relevant proposals
- timescales for any changes or project activity
- details of specific processes, such as design activity or HR processes
- the expected impact on staff

The above list is not exhaustive but serves to illustrate the general scope for the project communications.

Communication will not be limited to specific media or channels. Instead a broad range of communication approaches will be used to ensure that staff have a variety of options for receiving information. The above principles will also apply to key partners involved in and affected by the project as well as to customers.

### High Level Communications Plan

TIMESCALE	ACTIVITY	TO WHOM	HOW	WHAT MESSAGE	Complete
<b>April 2010</b>					
<b>Key Milestone – CMT &amp; Exec Approval</b>					
Regular updates	Fortnightly updates on design work and project progress	All CSC staff TU Reps	Email, team meetings	Updated FAQ pack, design decisions, next steps, what to expect and opportunities to get involved.	
Mid April	Communication & consultation with partners	All relevant partners	Standard method for each partner agency	Principles of the work, timescales, specifics that affect them, requests for input & discussion.	
End April	CMT & Exec approval	All Staff  All affected ACE staff	Part of MfY programme communications  Email and managerial cascade via team meetings & 1:1s	Broad principles of the work.  As above plus specific next steps re: what the approval means	

TIMESCALE	ACTIVITY	TO WHOM	HOW	WHAT MESSAGE	Complete
<b>May 2010</b>					
<b>Key Milestone – Assessment of Change Panel</b>					
Early May	Final consultation on the design, prior to AoC panel	All CSC staff and relevant partners. TU Reps	Agreed comms channels	Present final design proposal in detail. End date for comment & changes. Detailed timescales for next steps	
Early May	Starting the detailed design for customer contact & management	All CSC staff Other CYC staff directly affected Relevant partners	Standard comms channels for those groups	Plan for design, timetable, key principles, how to get involved.	
Late May	Outcomes from the AoC panel and HR processes	All CSC staff and relevant partners. TU Reps	Agreed comms channels	Final populated organisation. Next steps and timeline to implementation of new structure.	
<b>June 2010</b>					
<b>Key Milestone – Service Prepared for transition to new structure</b>					
Early June	Communicate timetable for changes	All CSC staff and relevant partners. TU Reps Customers where relevant	Agreed comms channels	What will happen and when, who will be involved & affected	
Late June	Update on the design for customer contact & management	All CSC staff Other CYC staff directly affected Relevant partners	Standard comms channels for those groups	Plan for design, timetable, key principles, how to get involved.	
<b>July 2010</b>					
<b>Key Milestone – Service structure change</b>					
Early June	Communicate changes	All CSC staff and relevant partners. TU Reps Customers	Agreed comms channels	What will happen and when, who will be involved & affected	



## Appendix 6 – Staff Consultation and Communication Log

The following consultation and communication with staff took place with staff prior to More for York involvement:

Date	Audience / Attendees	Activity	Detail
18 Jun 2009	All CSC Staff	All staff away day event.	Included discussions to define the key outcomes they would want from the service and a review of strengths and values of the service.
17 Sep 2009	CSC group managers, service managers	Service Development Team (SDT) meeting	Initial management team thoughts on service structure shared with the group. Group members cascaded details to staff
16 Oct 2009	All CSC Staff	Email update	Details of progress with development of structure proposals and expected timescales for next steps.

The following consultation and communication with staff has taken place with staff since More for York involvement (Nov 09 onwards):

Date	Audience / Attendees	Activity	Detail
17 Dec 2009	CSC group managers, service managers	Service Development Team (SDT) meeting	More for York involvement was outlined. Project Summary and Design Briefing shared, including key design principles, areas for staff input being sought.
18 Dec 2009	All CSC Staff	Email update	to share all documents tabled at SDT meeting.
11 Jan 2010	Unison Convenor	Union Briefing	More for York Business Change Manager met with Heather McKenzie to update on the project and the proposed consultation sessions.
12 Jan 2010	Unison Rep	Union Briefing	More for York Business Change Manager and AD C&F met with Helen Healey and Andrea Dudding (local Unison reps) to discuss the project and the proposed consultation sessions.
13-18 Jan 2010	All CSC Staff	14 x 1.5hr Consultation Sessions	<ul style="list-style-type: none"> <li>- Staff received agenda and supporting material in advance</li> <li>- Overview from AD on where we are with the project</li> <li>- Current design proposals &amp; outstanding questions</li> <li>- Opportunity to capture and discuss staff queries, concerns, issues etc.</li> <li>- Start of the consultation &amp; design process.</li> <li>- Provision of separate room for Unison to meet with staff after</li> </ul>

Date	Audience / Attendees	Activity	Detail
			<p>each session.</p> <p>100 CSC employees attended over 14 x 1.5hr sessions. All feedback captured.</p> <p>Unison reps attended 4 sessions and also met with staff separately after some sessions.</p>
18 Jan 2010	All CSC Staff	Mailbox available	Email mailbox available for comments & suggestions: <a href="mailto:childrens.staff.comments@york.gov.uk">childrens.staff.comments@york.gov.uk</a>
21 Jan 2010	Union Rep	Meeting	More for York Business Change Manager met local Unison rep to receive staff feedback to Unison following consultation sessions. Agreed to issue timeline to staff to clarify the process.
Jan 2010	Union	LCCS DJCC meeting	Discussion on the project.
26 Jan 2010	All CSC Staff	Email update	Email to all staff included timeline of project activity for clarity (following request from union rep on 21 Jan).
29 Jan 2010	Union Rep	Meeting	Reviewed new and existing queries and issues. Feedback that timeline had been well received by staff.
2 Feb 2010	Key stakeholders	Steering Group Meeting	Review and development of current proposals. Discussion of key issues and areas for further work. Heather McKenzie attended in lieu of local Unison rep.
8 Feb 2010	All CSC Staff	Email update	Provided update on progress and expected date for structure chart, FAQ release and workshop info.
10 Feb 2010	All CSC Staff	Email update and documents	Draft structure chart proposal, summary of key role changes, proposed topics for workshop discussion and FAQ pack issued.
12 Feb 2010	Union Rep	Meeting	Reviewed existing queries and issues and new areas arising from documents issued.
16 Feb 2010	Key stakeholders	Steering Group Meeting	Review and development of current proposals.
25 Feb 2010	CSC Managers, Union Rep	2 x Workshops	Initial workshops to start agreeing further detail of the design, prior to involving frontline staff.

<b>Date</b>	<b>Audience / Attendees</b>	<b>Activity</b>	<b>Detail</b>
1 Mar 2010	Union Rep	Meeting	Reviewed existing queries and issues.
2 Mar 2010	Key stakeholders	Steering Group Meeting	Review and development of current proposals.
4 Mar 2010	Social workers / support workers	Workshop	Developing the design proposals
5 Mar 2010	Family Support Managers	Meeting	Exploring concerns and informing the design proposals
11 Mar 2010	Children's Centres Manager	Meeting	Communicate current proposals & project progress. Begin engagement on detail.
12 Mar	Union Rep	Meeting	Reviewed existing queries and issues.
8 & 16 Mar 2010	Service Managers (Pathway, Short Breaks and H&D)	Meetings	Exploring options for the proposals
16 Mar 2010	Key stakeholders	Steering Group Meeting	Review and development of current proposals.
24 Mar 2010	Service Managers, Support Managers, Senior Prac's, Union	Workshop	Discussing & developing specific aspects of the proposals
30 Mar 2010	Key stakeholders	Steering Group Meeting	Review and development of current proposals.
5 & 9 Apr 2010	Service Managers, Support Managers, Senior Prac's, Union	Workshops	Discussing & developing specific aspects of the proposals

The approach throughout the process is one that is open with staff and actively seeks their engagement and input. As the projects move through detailed design work and closer to implementation, this involvement becomes even more important and the project team are committed to continually involve staff in the development and delivery of the proposed changes.

A productive working relationship has been established with the local Unison rep, who sits on the CSC steering group and has been present at the majority of consultations and management workshops. Regular meetings have been conducted throughout the process between More for York staff and CSC management with the local rep to discuss staff concerns and agree actions to address these.

## Appendix 7 – Customer Consultation & Insight

There has been a variety of information sources used regarding customer views on the blueprint proposals. Ongoing contact of staff and managers with customers yields a wealth of information and feedback. Though, largely anecdotal in nature, there are consistent themes which emerge from this and these have been factored into the blueprint. Models used by other local authorities have also informed the blueprint, for example, these have highlighted that York is now one of the only authorities still to employ a hard geographical and age team split in it's under 16 social work teams and this is considered to be an outdated model for the current social care environment.

More specific insight comes from activities such as the consultation on the current Children & Young People's Plan (CYPP) and with other groups and this has helped to shape the proposals in the blueprint. Themes from the CYPP consultation, such as: clearer information being available; better inter-agency working; and having better arrangements for transitions are but a few of the areas that have become core to the both the children's services vision and the detailed proposals.

Young people's forums such as the 'Show Me That I Matter' and 'I Matter 2' groups helped shape the initial proposals prior to the blueprinting work by providing a starting point to work from. These groups have also provided more recent feedback on the emerging proposals, which has been taken into account when developing the detailed proposals. Particular themes here are support for removing the transition between social workers at age 11 and maintaining a dedicated Pathway/16+ team.

In terms of specific data, early investigation work into the customer contact arrangements is drawing on the current customer contact data to inform the shape of the new arrangements. The ongoing collection and analysis of this data will be crucial in the first 12 months on the new service to enable it to develop in a way which best supports customers, partners and CYC teams.

Part of the design of the new teams has also involved mapping the current caseload profile in different ways, for example geographically across the city, to establish what skills and team design are needed to best support this case distribution. Phase 2 of the work will draw on this type of insight information further (particularly making use of the opportunities provided by GIS) to develop more effective caseload allocation and management systems, based around observed patterns in cases and their progression.

## Appendix 8 – Design Overview

### Specific outcomes of the redesign

The proposed design for the children's social care is being developed to achieve the following outcomes, which will in turn support the delivery of the objectives within the blueprint. The design:

- Removes arbitrary barriers within the services, for example, teams being restricted on the cases they take on based on age of children or location, where there is no other overriding reason to do so apart from process.
- Creates a more flexible and responsive organisation and staff base to allow people to move to the work more easily as needed.
- Creates better management systems for new work coming into the service and for existing work being handled by teams. This complements point 2 by allowing the work to be prioritised and moved to the right people more easily.
- Creates more capacity for proactive operational management of the day-to-day work and empower employees at the front line to make more decisions without the need for intervention from management.
- Creates more strategic capacity within the service to allow more proactive tackling of service-wide issues and for greater scope for service development and partnership working.

### Main Practical Changes and Activities

This section covers the practical changes that are currently proposed in the re-design, which will achieve the objectives set out within the blueprint and embody the principles listed above. This is not an exclusive list but serves to highlight the headline areas.

#### **Create city-wide teams who cover 0-16yrs**

The way teams for under 16's are structured will be changed to create teams which focus on children and young people from ages 0-16 across the city. This removes the current under 10 / 11+ split and the current East / West split within the organisation. This means that whole caseload can be more easily balanced across the available staff and will also enable the team as a whole to respond better to unexpected fluctuations in workload. It will also reduce the workload associated with the transition of cases between teams and initial allocation of cases.

#### **Move resources to provide more support to front-line staff**

Reducing the establishment number of Group Managers (grade 12) from three to two and the establishment number of Service Managers (grade 11) across the service from eight to seven. This represents a reduction of 33% of the grade 11 & 12 roles in the social work operations side of the organisation and this will allow the consolidation of the required number of operational roles across the service.

#### **Create new Team-focussed Management role**

Consolidate the variety of differing roles that currently sit between Service Managers and Social Workers by replacing these with a new Practice Manager role. This will focus on the operational management of the social work teams, providing the critical direct support to front line staff and managing the day-to-day operation, but without being directly case-holding. This role will sit between the Service Manager and Social Workers and will enable the grade 11 and 12 managers to take a more strategic approach to managing and developing the service and leading continuous improvement activities, whilst maintaining the level of support and direction available to front line staff by the Practice Managers dealing with the majority of the operational issues.

#### **Enable the strategic focus of the Group and Service Managers**

Through the creation of the Practice Manager roles, the Service and Group Managers will have less of a requirement to be directly involved in cases except where particularly complex circumstances exist. This will allow them more time to focus on the strategic aspects of the role that are currently

marginalised by nearly all of their time being focussed on operational issues. This will include activities like (but by no means limited to) being more proactive in areas such as liaison with partners e.g. NHS & Police; managing quality; enhancing partnership arrangements; interpreting and planning for national initiatives.

### **Implement generic job descriptions**

Children's Social Care will move to having generic job descriptions wherever possible across the service areas for Support Workers, Social Workers, Practice Managers, Service Managers and Group Managers. This will support the flexibility and mobility of the teams and also aid the cultural changes of the organisation taking a "whole-service" view of the needs of customers rather than a "team-only" view. Some specific/specialist roles will still exist which will need to retain a bespoke description of the role.

### **Training and Development**

Staff development activities will include support for the social and support workers to operate in the broader teams but the main area will be to support the managerial roles in adopting a new set of behaviours and in leading a cultural change within the service.

### **Customer Contact & Management - Quick-wins and Pilot**

The customer contact & management stream of the project (often referred to as the "New Front Door" work) is at an earlier stage of development, with the main focus of this work being in Phase 2. Some early quick-wins for this are being explored in Phase 1 and some have already been successfully implemented, including a pilot of placing staff who run the Child Index service in the Children's Trust Unit with the Referral and Assessment Team and its Customer Contact workers.

The detailed design work will begin in late March and will be informed heavily by the outcomes of the above pilot work and any other quick wins. The pilot will also start to make contribution to the project benefits from the outset, particularly in terms of incorrect tier 3 cases.

### **Key Risks and Dependencies in the Design**

#### **Dependencies**

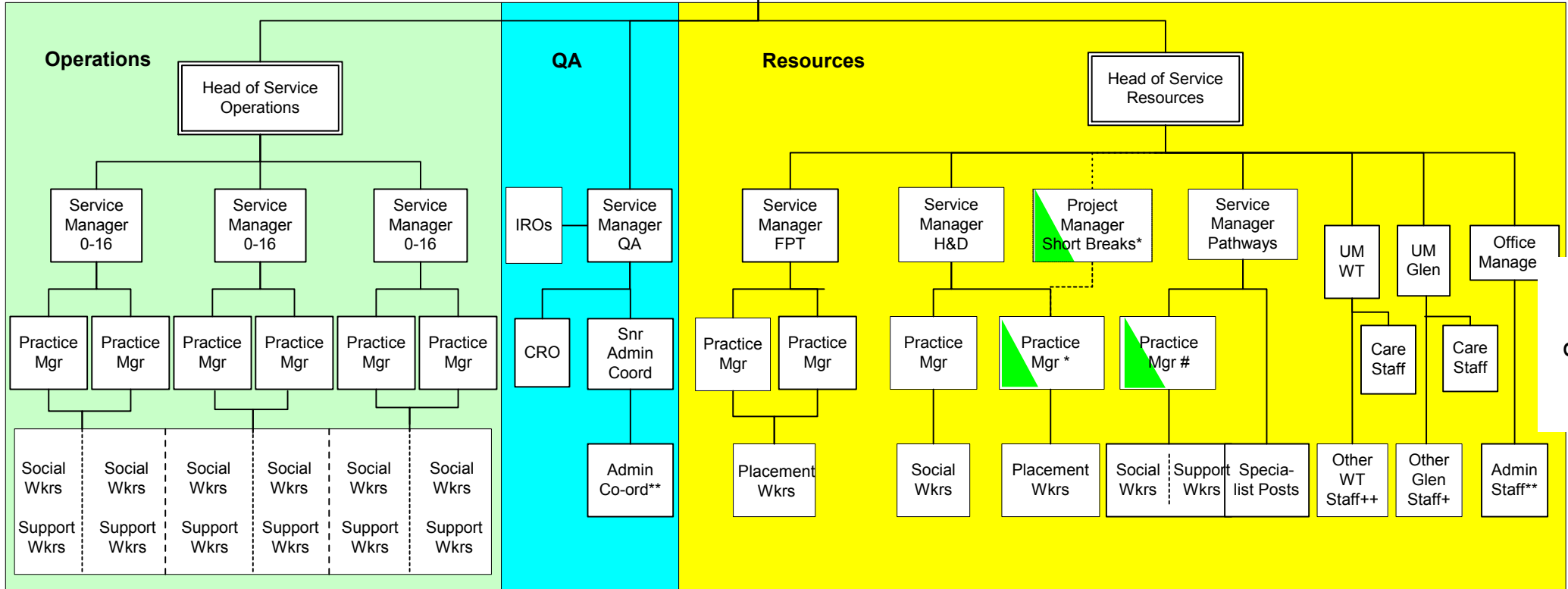
- The teams all have different cultures and practices currently. Moving towards more consistent processes and culture across the service is required in order to realise the desired benefits.
- The success of the model relies on the management tiers, particularly Service and Group Managers, adopting a modified (or even new) set of behaviours in order to be effective at creating and maintaining the desired strategic capacity. Training and support will be needed to achieve this in the first instance but must then be followed by a sustained culture shift within the whole service to truly embed the new ways of working.
- The social care restructure and redesign in Phase 1 will lay the foundations for the new service. However, the changes to the customer contact ("front door") arrangements and ongoing service development in both areas are required to realise the benefits as set out in the blueprint. Neither children's social care nor children's customer contact stream can succeed without the other.

#### **Risks**

- As with any restructure of this kind, there is always an inherent risk of a dip in performance during the period of change. Careful planning and high levels of staff involvement are being used to mitigate against this as far as possible but it may be difficult to eliminate all short-term issues.
- The prospect of change can (and inevitably will) have a negative impact upon some staff and their engagement with the service and the change process. Again, every effort is being made to involve staff heavily in the process to minimise the negative impact on the people involved. So far these efforts seem to have been positively received in general but the approach needs to be maintained and developed.

**Proposed CSC Structure  
- Draft for consultation**

Assistant Director  
Children & Families



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**NOTES:**

- \* PM Short Breaks is currently grant funded to Mar 2011. Proposed that thereafter the service is run by a Practice Manager reporting to the H&D Service Manager, subject to funding.
- # Social Work Practice Manager in Pathways does not have an equivalent role currently and investigation is ongoing into how this could be funded in the new structure.
- \*\* Details of how admin staff are aligned to the services is to be reviewed, pending further definition of the details in other areas .
- % Specialist roles - Accommodation Officer, Educ/Train/Emp Officer

▲ Temporary, partial or unconfirmed funding      + Other Glen Staff (see annex 1)      ++Other Wenlock Terrace staff (see annex1)

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*more for York*



## **Blueprint for Financial Management**

**City of York Council**

**March 2010**

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## Introduction

City of York Council is committed to improving the way it works. The corporate strategy includes the key theme of Effective Organisation – being a modern council, professional in all it does, living up to its values and being a great place to work.

More for York is the corporate-wide change programme to implement that strategy, designed to modernise City of York Council, transforming it to become a more effective organisation over the next three years (2009-2012).

Its mission is to transform the organisation to deliver the best quality services, save the council at least £15m by 2012 and meet three core objectives:

- more for our customers
- more for our employees
- more for our money

More for York is based on a corporate efficiency review which has taken a comprehensive look at all aspects of the council's work. The programme will now build upon and co-ordinate all of the work being done to improve services and to make them more accessible to customers.

## Purpose

This document describes the work that will be undertaken to create a new Financial Management function within CYC. This work is based on the principles outlined in the Audit Commission paper 'World class financial management', research undertaken of other Local Authority financial management models and consultation with stakeholders. The blueprint will set out how the Financial Management service will be structured in the future.

Challenges for the Financial Management function include;

- Supporting the delivery of more cost efficient services, given the continuation of tight financial settlements
- The need to support the delivery of the Councils strategic priorities, including the provision of direct support to the More For York transformation programme

In the extremely challenging financial climate that the Council faces, both now and over the medium term, it is critical that the Financial Management function is configured to deliver an efficient, effective and professional service to the organisation. This document will describe how the service will work towards achieving an annual efficiency saving of £170k, through a restructure of the service and standardisation of processes and procedures.

## **CYC Strategic Context**

This blueprint contributes to the Council's business strategy in the following ways:

- It is targeted to deliver an annual efficiency saving of £170k
- It is targeted to deliver performance improvements
- It presents the opportunity to support cultural change through the adoption of a 'one organisation' corporate approach to financial management
- It supports the More for York transformation programme

## **Scope of the blueprint**

The Financial Management blueprint considers the Financial Management function, including Corporate Finance and directorate finance teams.

### **Functions included in the Financial Management blueprint**

All Finance Managers and staff currently reporting to Finance Managers are included in the blueprint, with the exception of staff which perform excluded functions, as detailed below.

Three members of staff which do not currently report to Finance Managers are included in the blueprint since they perform similar roles to the Finance function. The posts are

- 1 FTE Senior Accounting Technician within ICT
- 2 FTE Technical Support Officers in Property Services, whose tasks relate mainly but not wholly to financial management

Discussions with Service Managers are ongoing to confirm the above.

Financial Management staff included in this blueprint equate to 81 FTE, which includes 4.1 FTE vacant posts.

### **Functions excluded from the blueprint**

Workplans covering Cashiers, Debtors and Creditors are covered in existing blueprints. The functions of Cashiers, Debtors, Creditors and Financial Procedures are managed by the Assistant Director (Customer Services and Governance). Line management of these functions will be considered in the context of the wider Organisation Review from the 1<sup>st</sup> April 2010.

Some Finance Managers have additional responsibilities for functions which are excluded from the Financial Management blueprint, as detailed below.

The Customer Finance Team provides financial assessments for home care and currently report to HASS Finance Manager. The Customer Finance team are not included in this blueprint since the existing Adult Social Care Blueprint includes a project relating to achieving efficiencies in this area.

Neighbourhood Services Finance Manager has responsibility for a Business Support team which includes Payroll, Creditors, Debtors, HR and ICT. The functions of this team are covered by existing blueprints and are therefore not included here.

City Strategy Finance Manager has responsibility for ICT which is covered in the ICT blueprint.

The External Funding, Grants and Partnership team currently report to the Technical Finance Manager within the Capital and Treasury Management team. They provide assistance and training to council officers and external organisations to find external funding. In addition, the team monitor partnerships into which the council enter, to improve partnership working and ensure sufficient governance arrangements are in place. These functions are more closely aligned to the objectives defined in the Chief Executive's Office blueprint and are therefore included therein.

Staff which report to Finance Managers and perform any of the functions excluded from the blueprint will continue to report to Finance Managers until changes in line management are determined by either the Organisation Review or as a result of the implementation of workplans relating to existing blueprints.

## **Financial Management Vision**

**The Financial Management function will adopt best practice, to deliver a professional support service to meet the changing demands of the council and the city, enabling the prioritisation of resources to focus on the authority's strategic aims.**

The Financial Management Vision was developed based on consultation with internal and external stakeholders. It is based on principles set out in the Audit Commission paper 'World class financial management' which identifies best practice and standards which organisations should aspire to in order to achieve excellence in financial management.

'World class financial management' was developed based on good practice drawn from both the public and private sector. Principles of good financial management are universal and apply equally across the private, voluntary and public sectors. In world class organisations, these principles are fully embedded and the basic routines and processes are carried out more quickly, more reliably and more frequently.

Financial Management is about managing performance and achieving an organisation's objectives, as much as about managing money. It forms the basis of accountability to stakeholders for the stewardship and use of resources.

There are 5 key principles to achieving this vision;

### **1. Financial governance and leadership**

Financial Management will provide support and leadership to foster a corporate culture in which individual and collective responsibilities for the stewardship and use of resources and financial accountability to external stakeholders are taken seriously, and financial skills are valued and developed.

### **2. Financial planning/ budgeting**

Financial Management will lead the financial planning process to reflect the council's strategic and service priorities and will be developed in the context of a longer term financial strategy, following the introduction of three year financial settlements.

### **3. Finance for decision making**

Financial Management will provide information to enable the council to understand its cost profiles and have robust investment appraisal processes to provide an understanding of the financial implications of current and potential alternative policies, programmes and activities.

### **4. Financial monitoring and forecasting**

Financial Management will provide support to budget holders to enable each service area to monitor financial performance, in order to identify any unplanned departure from the budget and ensure that any variances (positive or negative) can be managed in accordance with corporate priorities.

## **5. Financial reporting**

Financial Management will co-ordinate timely financial reporting, demonstrating the clear links between the information provided and the corporate strategy.

## **Financial Management objectives**

Summarised below are the core responsibilities of the Financial Management function, which are required to provide a service which delivers the Financial Management vision and will meet our customers expectations. These responsibilities are not new and many of these actions are already in place. The purpose of outlining these in the blueprint is to;

- define the responsibilities of the Financial Management function
- ensure objectives are regularly reviewed
- initiate workplans to improve standards in line with best practice

### **Financial governance and leadership**

- Ensure that Finance staff are appropriately qualified and their financial knowledge is continuously developed
- Provide templates, offer guidance and regular training to budget holders to develop their financial skills
- Offer training, support and advice to officers and members on Financial Regulations, including their roles and responsibilities

### **Financial planning/ budgeting**

- Lead the process to produce the overall council budget and set a timetable, including links with service planning
- Challenge budget holders financial assumptions
- Challenge budget holders to provide clear links to strategic priorities and the corporate plan
- Advise on developing strategies to avoid or mitigate risks
- Explain the impact of any changes in funding
- Advise on pension or redundancy issues
- Maximise income streams from treasury management activities

### **Finance for decision making**

- Provide information on unit costs
- Provide benchmarking / comparative costs to challenge whether the council is securing value for money
- Provide advice relating to capital financing and challenge assumptions on costs or how schemes deliver corporate priorities
- Assist budget holders to understand the whole life costs of capital investment, including environmental and sustainability assessments

### **Financial monitoring and forecasting**

- Produce a budget monitoring timetable
- Provide appropriate, accurate and timely financial information to enable effective budget monitoring



- Provide a budget monitoring system which allows budget holders to access up-to-date information
- Produce budget monitoring information in a standardised format
- Provide routine challenge of financial assumptions and performance against budgets, focusing resources on large, high risk or volatile budgets
- Provide budget monitoring training to budget holders

**Financial reporting**

- Produce reports that are easy to understand and highlight the key financial issues
- Make the most effective use of technology to reduce manual processes in the production of reports
- Produce an annual closedown timetable highlighting the key issues for services
- Produce closedown guidance notes and advise on an ongoing basis
- Assist with the completion of grant returns

## **Background to development of the Financial Management business cases**

In order to develop the proposals extensive consultation took place, including all Finance Teams, DMTs, a range of Service Managers and the S151 Officer. Further details of the consultation are included in Appendix 5. Specific models were not discussed, but feedback was requested on options including priorities for the service, location of finance staff, line management and flexible deployment of staff between service areas.

### **Current service**

The Corporate Finance function is headed by AD Resources (Finance). The three areas within the Corporate Finance team which report directly to the AD Resources (Finance) are Corporate Accountancy, Capital and Treasury Management and FMS Development.

Four Finance Managers are responsible for the delivery of locally based Finance support to Directorates. Directorate based Finance Managers report to their Service Director or Assistant Director and have a professional (dotted line) report to the AD Resources (Finance).

The proximity of Finance staff and budget holders varies between directorates. A number of Finance staff are already located some distance from budget holders. For example Resources and Chief Executive Finance staff are located in different buildings and sites to some directorate staff. Within the remaining directorates the approach varies due to the diverse locations of budget holders.

Directorate Management Teams consider their Finance Manager an integral and vital member of their team and the service provided by their Finance function is highly regarded. The devolved structure works well in delivering a tailored and responsive service to directorates.

The Audit Commission's 2009 Use of Resources assessment scores the council at 2; performs adequately.

The Audit Commission's Annual Governance Report recognised that good progress was made in the last financial year to address weaknesses and inconsistencies relating to year end closedown. However, the report also noted that there are still some improvements to be made, which are detailed below.

The Audit Commission's Certification of Claims and Returns Annual Report also noted that a number of improvements had been made since the previous financial year. This was achieved by better consistency across the council in the standard of working papers and clear evidence of reviews being undertaken.

## Areas for improvement

The following issues have been identified with the current service, which need to be addressed in the new Financial Management structure.

- A requirement to provide a more cost efficient service, given the continuation of tight financial settlements
- The Audit Commission's Annual Governance report expressed concern that devolved financial management arrangements meant that a comprehensive quality assurance approach for the financial statements had not been fully implemented
- The Audit Commission's review of Financial Planning and Financial Monitoring noted that, while current procedures met their minimum standards, there is room for improvement
- The Audit Commission noted that the inconsistent methodology for producing forecasts increases the risk of an over or under projection and results in a lack of comparability between services
- The Audit Commission noted that budget holders use of the financial system is sporadic and most rely on finance teams to provide information
- Many Finance staff comment that there could be an improvement in communication between Corporate Finance and Directorate finance
- Many working practices, processes and procedures have evolved in directorates without a corporate lead in the past, which has resulted in inconsistencies between directorates resulting in duplication of work, lack of knowledge sharing and difficulties in consolidating information
- Inconsistent working practices can make it difficult and time consuming to extract information
- Improved access to up to date financial information and reports would assist budget managers to carry out their financial duties and forecasting responsibilities

## Options

### Option 1: Retain current structure

#### Advantages of the current service

The current structure provides the following benefits for service directorates;

- A tailored approach which suits the requirements of individual budget holders
- Responsive to directorate needs
- Finance staff have a detailed knowledge of the service area
- Finance staff have a good working relationship with budget holders

#### Disadvantages of the current service

However, the devolved structure, particularly the current line management arrangements, result in the following issues;

- It does not foster a 'one organisation' culture
- Directorate finance teams sometimes focus on directorate needs rather than corporate priorities
- A devolved structure can create conflicts of interest which may weaken the challenge role of the Financial Management function
- The AD Resources (Finance) has no input into setting targets or objectives for Directorate Finance Managers through the appraisal process because there is only a professional (dotted line) report and this can result in an uncoordinated approach across the overall Finance function
- The current line management arrangements can make it difficult and time consuming to resolve issues of Financial Management policy because there is no overall decision maker
- A devolved structure promotes a 'them and us' culture, which is not productive

### Option 2: Restructure the Financial Management function

#### Alternative models

Research was undertaken of other Local Authority Financial Management models and some examples of these are summarised at Appendix 2.

Appendix 2 includes authorities which have had a similar structure for a number of years, those which have reviewed their Financial Management service in the last year and authorities who are at a similar stage in the review process as CYC.

As all authorities face similar financial challenges many reviews are driven by the requirement to make savings. Leeds City Council have reviewed its Finance function recently and agreed an efficiency target of 10%. Hartlepool Borough Council and Leicester City Council have just initiated reviews and are aiming to achieve a 10-14% saving.

A common theme in all recent restructures and models researched was for all Finance staff to report directly to the S151 Officer. The benefits of this approach were noted as;

- Efficiencies achieved through removal of duplication
- Improves consistency
- Facilitates a 'joined up' approach
- Encourages sharing of best practice
- Enables flexible deployment
- Allows a holistic view of the finance position

Of the authorities that were researched, there were various approaches to the location of Finance staff. Both co-located and service based models are successful. The important factor in any model is for Financial Management staff to maintain knowledge and awareness of the directorates and their customers issues.

### **Conclusion**

The 'areas for improvement' identified by both internal stakeholders and The Audit Commission would be difficult to resolve under the current structure because;

- Elimination of duplication and improved efficiency is best achieved by consolidation of the function
- Flexible deployment cannot work effectively in a devolved model
- Current line management arrangements do not promote a one team approach, which could hinder the adoption of standard processes and procedures

Therefore in order to address the areas for improvement and deliver the Financial Management vision, a restructure of the Financial Management function under a single control is recommended, as detailed in Business Case 1.

## **Business Case 1: Restructure the Financial Management function under a single control and co-locate staff**

### **Restructure**

The restructure is proposed in 2 phases, in accordance with the Council's Change Management policy.

#### Phase 1:

As of 1st April 2010, AD Resources (Finance) will have line management responsibility for Finance Managers. Consequently all Finance staff (and associated budgets) currently in directorates will transfer to Customer and Business Support Services Directorate and be accountable to the Director of Customer and Business Support Service as the S151 Officer. Finance Managers and other staff affected by this change will be consulted and formally notified.

Initially, changes in line management for some Finance staff are likely to be required to align staff to the new organisation structure. It is not expected that there would be a significant change in roles in the first phase. All staff will be advised of the changing organisation structure through group briefings led by the responsible Finance Manager.

#### Phase 2:

This will take place in parallel to the ongoing Organisation Review, which is due to have a Chief Officer structure determined by July 2010. This will enable the Financial Management service to shape itself to the new structure in the most appropriate way in consultation with directorates. As before, this will include a range of group and individual briefings, where appropriate, to affected employees.

The review of processes and procedures, as described in business case 2, will highlight areas where efficiencies are achievable and posts will be deleted as a result of this work.

### **Location**

In the current structure, the proximity of Finance staff and budget holders varies from one service to another. A significant number of Finance staff are already located some distance from budget holders.

In the initial phase Financial Management staff will remain in their current location. Following completion of the restructure, consideration will be given to co-location of Finance staff if suitable accommodation can be identified.

Financial Management staff will co-locate when the organisation moves to the new HQ. Co-location of all Financial Management staff will assist the cultural transition to a one organisation corporate approach to financial management.

Financial Management staff will continue to maintain close links with their service through regular meetings and contact with budget holders.

## **What will the service look like?**

Each directorate will have a named Finance Manager who will be a member of the Directorate Management Team.

Finance staff will continue to be assigned to specific service areas because it is recognised that staff with service knowledge will provide a good quality service for the customer.

Through the introduction of standardised processes, staff will acquire transferable skills which will permit deployment to different service areas, as required. This may be on a short or long term basis. This will allow the Financial Management service to respond quickly to council priorities, financial risk, service developments or improvement initiatives in specific services.

Deployment of resources between services would be determined by AD Resources (Finance) and Finance Managers, in discussion with the Director of Customer and Business Support Services, based on service requirement. Resources will be allocated to services based on an assessment of risk (For eg. large, high volume or volatile budgets).

Deployment of resources will be subject to regular review, and meetings will be held with each Service Director, the Director of Customer and Business Support Services and the AD Resources (Finance) to assess the service provision.

A roles and responsibilities manual will set out the expectations of both Financial Management staff and budget holders.

As part of the Service Planning cycle the Financial Management function will review its service annually to ensure continuous improvement. Service standards to measure Financial Management performance will be reported to the Executive member and will include;

- Timeliness of budget monitoring information
- Timeliness and quality of grant returns
- Timeliness and quality of the financial statements
- Progress on improvements to the Financial Management service, as recommended by The Audit Commission and Internal Audit

## **Benefits**

Adoption of a centralised Financial Management function will deliver the following benefits;

For the organisation

- In conjunction with an overall review of processes and procedures, efficiencies leading to an annual staff budget saving of £170k
- Independence from the directorate puts Finance staff in a better position to perform a challenge role
- Management of Finance staff under a single control will enable rapid adoption of standard processes and procedures, which is essential to achieve efficiencies

- Management of Finance staff under a single control will improve efficiency because it will speed up decision making and reduce unnecessary debates
- A more flexible approach to resource management, which is able to respond quickly to new demands and pressures and divert resources to areas of strategic priority
- Promote a culture of financial accountability by clearly defining roles and responsibilities for Financial Management staff and budget holders
- AD Resources (Finance) input into appraisals will improve cohesion and coordination of the Financial Management function
- Facilitate peer review to improve the quality assurance approach for the financial statements, as recommended by the Audit Commission
- Encourage collaboration and sharing of best practice between service areas

For Staff

- Deployment between services will allow staff to gain more developmental opportunities
- A consistent and structured approach to staff training and development will assist staff to obtain continuous professional development
- Improve standards of communication between services by encouraging a team approach
- Will promote a one organisation culture



## **Business Case 2: Review and standardise processes and procedures**

A review will take place to standardise processes and procedures, where appropriate.

The review will consider efficiencies which can be achieved by;

- a review of outputs to determine if these provide 'added value'
- a review of processes to optimise the use of technology and replace manual processes
- standardisation of working practices

This is the most effective method to achieve savings, whilst maintaining the quality of the service.

The review will cover many functions, but initially will focus on financial monitoring and forecasting which accounts for the most significant proportion of Finance staff time.

### **Financial monitoring and forecasting**

Financial monitoring and forecasting is one of the 5 key principles in which the Financial Management function have committed to adopt best practice. A review of this area will not only identify efficiencies but will improve the service we deliver to our customers.

Current methods and processes vary in each directorate. This approach is inefficient and has been identified by the Audit Commission as an area for improvement. Some standardisation has taken place but further work is required. The review will aim to;

- Create a budget monitoring timetable which standardises reporting timescales for all services, based on risk
- Standardise the approach to variance analysis and projection assumptions
- Create a standard budget monitoring template that will meet the requirements of the different stakeholders (Members, CMT, Directors, AD's, Service Managers, Budget holders etc)
- Prioritise Financial Management resources to provide professional support and advice to the organisation, rather than undertake transactional processing
- Provide budget monitoring training to budget holders

The development of new reporting templates will involve staff from all service areas and include consultation with DMTs.

### **Other Projects**

The processes and procedures review will also consider the following;

- Continue the work to standardise closedown working papers, as recommended by The Audit Commission
- Review the process to produce statutory returns to make more effective use

- of technology
- Simplification of the internal recharge process
- Further standardisation of the chart of accounts

## **Benefits**

Adoption of standard processes and procedures will deliver the following benefits;

For the organisation

- Focus resources on providing professional support which will 'add value' to the customer
- Optimising the use of technology to improve efficiency, quality and timescales of financial information for both Finance staff and budget holders
- Reduce reliance on local spreadsheets which will improve control of data
- Encourage 'enabled managers' through the most effective use of FMS
- Reduce duplication and improve efficiency, enabling more effective use of financial information
- Facilitate flexible deployment because staff will be familiar with working practices in other service areas
- Reduce inconsistencies, as recommended by The Audit Commission (for eg Budget Monitoring Forecasts)
- Provide visibility to all levels of the organisation and reduce silo information
- A reduction in audit fees, as evidenced by other authorities

For staff

- Reduction of transactional processing will enable staff to direct their time to the provision of professional advice which will 'add value' to the service and improve their job satisfaction

## Risks

### **Achievability of savings target**

The savings target is based on achieving a reduction of staff costs from September 2010. Therefore it is important to implement more efficient processes as soon as possible and finalise the restructure. If there are delays the saving will be achievable but could be delayed.

### **Organisational resistance**

Some aspects of change required could lead to organisation resistance and could inhibit the impact of the plan.

### **Capability of FMS to deliver**

The FMS system must be capable of enabling automated processes to replace manual systems if efficiencies are to be achieved. This has been achieved by other authorities using the same financial system.

### **Staff turnover may temporarily increase as a reaction to change**

This will be mitigated by open and transparent communication. Likewise union response and reaction will have to be considered and managed through effective communication.

### **Capacity of existing resources to handle additional workload during the implementation period**

The review of processes and eventual implementation of these will require short term input from staff in addition to their current activities. It will be important to communicate the benefits of this change.

## Affordability

It is not expected that there will be significant investment costs. Any additional costs incurred will be covered by efficiency savings over the life of the project.

## Achievability

The proposed model, is already adopted and operating successfully in other Local Authorities, therefore this proposal is low risk. Appendix 2 includes examples of similar models in other Local Authorities.

Savings are based on an annual reduction in staff costs of £170k. The saving is based on achieving a reduction of 10% of total staff costs at grade 9 or below. If efficiencies are achieved from the LCCS traded service to schools they will be passed directly on to schools. Savings achieved as a result of staff reduction at grade 10 or above are included in the Organisation Efficiency Review target.

The staff reduction is based on efficiencies achieved or forecast in other authorities after conducting similar reviews, as outlined in Appendix 2. The saving is effective from September 2010.

Appendix 3 (Milestone plan) outlines the high level key projects and timescales.

## **Benefits Realisation Plan**

The benefits realisation plan is included at Appendix 4

The delivery of the plan will be led by the Blueprint Implementation Team. This will initially be made up of the current members of the Group, supplemented with appropriate additional members as required.

## **Background Papers**

Audit Commission discussion paper 'World class financial management'

Audit Commission reviews of CYC:

Review of Financial Planning and Monitoring March 2009

Annual Governance Report 2008/09

Certification of Claims and Returns Annual Report 2008/09

## **Key decisions required**

The CMT/EXEC is asked to agree to:

1. The Financial Management Vision
2. Phase 1 of the restructure, as outlined in business case 1
3. Phase 2 of the restructure, as outlined in business case 1
4. Co-locate all Financial Management functions at the optimal opportunity, as outlined in business case 1
5. The proposal to review and standardise processes and procedures, as outlined in business case 2

## **Appendices**

Appendix 1- The Blueprint Implementation Team

Appendix 2- Examples of Financial Management models in other authorities

Appendix 3 -Milestone Plan

Appendix 4- Benefits Realisation Plan

Appendix 5- Pre Executive Consultation Plan

Post Executive Communication Plan

## **Appendix 1 - The Blueprint implementation team**

Keith Best  
Sarah Kirby  
Phil Davidson  
Lindsay Horsman

In consultation with:

Ian Floyd, S151 Officer

All Finance Managers

All Finance staff at team meetings

All DMTs

At least one Service Manager representative from each directorate

Peter Weck, Unison representative

## Appendix 2 –Examples of Financial Management models in other authorities

Detailed below are descriptions of models operating in unitary or metropolitan authorities

Authority	Use of Resources	Managing finances	Governing the business	Managing resources	Brief Description of Model
East Riding of Yorkshire Council	3	3	3	3	<ul style="list-style-type: none"> <li>• All finance staff report to S151 Officer</li> <li>• Finance staff are co-located but meet regularly with service managers</li> <li>• Lead finance officer for each directorate</li> <li>• Enables sharing of best practice</li> </ul>
Wakefield Metropolitan City Council	2	3	2	2	<ul style="list-style-type: none"> <li>• All finance staff report to S151 Officer</li> <li>• Finance staff are co-located</li> <li>• Lead finance officer for each directorate</li> <li>• Encourages 'enabled managers'</li> </ul>
Hartlepool Borough Council	3	2	3	3	<ul style="list-style-type: none"> <li>• Centralised restructure proposed to implement this year to achieve a joined up approach to Finance</li> <li>• All finance staff report to S151 Officer</li> <li>• Lead finance officer for each directorate</li> <li>• Target efficiency saving of 14%</li> </ul>

Authority	Use of Resources	Managing finances	Governing the business	Managing resources	Brief Description of Model
Leeds City Council	3	3	2	3	<ul style="list-style-type: none"> <li>• Recently implemented a restructure with target saving of 10%</li> <li>• All finance staff report to S151 Officer</li> <li>• Finance staff located in the service</li> <li>• Lead finance officer for each directorate</li> <li>• Flexibility to move resources between services</li> <li>• Improved staff development opportunities</li> </ul>
Kingston upon Hull City Council	2	2	2	2	<ul style="list-style-type: none"> <li>• All finance staff report to S151 Officer</li> <li>• Finance staff are co-located</li> <li>• Lead finance officer for each directorate</li> <li>• Flexibility to move resources between services</li> <li>• Rotation good for staff development</li> </ul>
North Lincolnshire Council	2	2	2	2	<ul style="list-style-type: none"> <li>• All finance staff report to S151 Officer</li> <li>• When restructured, noted improved control and consistency and achieved efficiencies</li> <li>• Some Finance staff located in the service</li> <li>• Flexibility works well for staff cover</li> </ul>

Appendix 3

### Milestone Plan - Financial Management

		Activity	Owner	Mar-10	Apr-10	May-10	Jun-10	Jul-10	Aug-10	Sep-10	Oct-10	Nov-10	Dec-10	Jan-11	Feb-11	Mar-11	Apr-11	May-11	Jun-11					
Efficiency		Blueprinting		▲ CMT approval	▲ Executive sign on																			
		Restructure - Phase 1		▲	Interim Reporting Lines →										▲									
		Restructure - Phase 2			▲ Realign Budgets				▲ Agree New Structure				▲ Implement new Structure											
		Standardise Process and Procedures				▲ Baseline all procedures													▲ complete first stage review					
Operational		Training - Budget Monitoring			▲ Roles and responsibilities Manual					▲ Training for staff and budget holders														
Systems		FMS development to support standardisation					▲ to produce standard budget report																	
Misc		Communication		See Appendix 5																				
			▲ Milestone Completed	▲ Milestone on Target	▲ Milestone Overdue / missed	▲ Milestone at Risk	▲ Date TBC	▲ Milestone on hold	Milestone baseline and progress reported to Project Board															



**Appendix 4 Benefit Realisation Plan: Financial Management**

<b>Financial Efficiency</b>	<b>Benefit Name</b>	<b>Benefit Type</b>	<b>Description</b>
	Staff Reduction	Cost Reduction	An overall review of processes, procedures and outcomes will result in efficiencies enabling a reduction of staff numbers. This will result in a saving of £85k in 2010/11 and a further £85k in 2011/12.
	Development of standard procedures, formats and working practices	Cost Reduction	This has not been quantified but it was stated in the Audit Commission Annual Governance Report that an improvement in consistency of working papers has led to a reduction in audit fees in other authorities
<b>Non - Financial Efficiency</b>			
	Deployment of staff between services	Flexibility	Flexible deployment of staff will enable the service to respond quickly to demands and pressures
	Clearly define roles and responsibilities of Finance staff and budget holders	Enabling	Will enable Finance staff and budget holders to perform their duties with a clear understanding of their accountability
	Centralisation of staff	Risk reduction	Will promote independence of staff from the service and therefore Finance staff are in a better position to provide a challenge role
	Centralisation of staff	Strategic objective	AD Resources (Finance) input into appraisals will improve cohesion and coordination of Financial Management function
	Centralisation of staff	Staff Efficiency	Will enable rapid adoption of standard processes and procedures because it will speed up decision making
	Centralisation of staff	Strategic objective	AD Resources (Finance) input into appraisals will improve cohesion and coordination of Financial Management function
	Centralisation of staff	Quality	Will facilitate peer review, as recommended by the Audit Commission, and improve quality
	Centralisation of staff	Quality	Will encourage collaboration and sharing of best practice
	Focus resources on 'professional advise' rather than transactional processes	Quality	Focus resources on providing a 'professional' service will improve quality and 'add value' to the customer
	Optimise technology to replace manual processes with automated procedures	Quality	Will improve efficiency, quality and timescales of financial information for both Finance staff and budget holders
	Optimise technology to make better use of financial system (For eg Budget Monitoring Procedures)	Quality	Less reliance on local spreadsheets will improve control of data
	Optimise technology to make better use of financial system (For eg Budget Monitoring Procedures)	Enabling	Will encourage 'enabled managers' through the most effective use of FMS
	Development of standard procedures, formats and working practices	Staff Efficiency	Will reduce duplication and improve efficiency, enabling more effective use of financial information
	Development of standard procedures, formats and working practices	Staff Efficiency	Will facilitate flexible deployment because staff will be familiar with working practices in other service areas
	Development of standard procedures, formats and working practices	Quality	Will reduce inconsistencies (For eg Budget forecasting, as recommended by the Audit Commission)
	Development of standard procedures, formats and working practices	Quality	Will provide visibility to all levels of the organisation and reduce silo information
<b>Staff</b>			
	Deployment of staff between services	Morale	Will allow staff to gain more developmental opportunities
	Centralisation of staff	Quality	Will support staff to gain relevant continuous professional development
	Centralisation of staff	Morale	Will improve standards of communication between services by encouraging a team approach
	Centralisation of staff	Morale	Will promote a one organisation culture
<b>Sustainability</b>			
	Reduction in paper	Sustainability	An automated budget monitoring system will reduce paper usage

Appendix 5 Consultation & Communication Plan

**PRE EXECUTIVE CONSULTATION AND COMMUNICATION TO DATE**

TIMESCALE	ACTIVITY	TO WHOM	CHANNEL	MESSAGE	OWNER
<b>November 2009</b>					
	All	Finance Managers	Meetings	Discuss scope of blueprint and obtain initial feedback on line management and location of Finance staff	Sarah Kirby
	All	Directors	Meetings	Discuss scope of blueprint and obtain initial feedback on line management and location of Finance staff	Sarah Kirby
	All	CMT	Paper	Brief paper outlining scope and timescales	Sarah Kirby
<b>December 2009</b>					
	All	CMT	Paper	Paper outlining purpose, scope, objectives, requirements for data collection	Sarah Kirby
<b>January 2010</b>					
	All	All Finance staff, including TU representation	Team Meetings	Inform staff of purpose of blueprint and obtain feedback on line management, location of	Sarah Kirby

TIMESCALE	ACTIVITY	TO WHOM	CHANNEL	MESSAGE	OWNER
				Finance staff and Finance vision/ objectives	
	All	DMTs	Meeting	Obtain feedback on line management, location of Finance staff and Finance vision/ objectives	Sarah Kirby
<b>February 2010</b>					
	All	Service Managers (reps from each directorate), including TU representation	Workshop	Obtain feedback on line management, location of Finance staff and Finance vision/ objectives	Sarah Kirby
	All	Finance Managers	Meeting	Discuss outline business cases	Sarah Kirby
	All	Finance staff	Team briefings	Brief staff on outline business cases and opportunity to feed back	Finance Managers
	All	CIPFA Trainees	Presentation	Obtained feedback on line management, location of Finance staff and Finance vision/ objectives	Sarah Kirby
<b>April 2010</b>					
	Temporary arrangements to align service to new directorates	Finance staff	Team briefings	Brief staff on any temporary changes in line management to realign service to the new organisation structure	Keith Best/ Finance Managers/ HR

## POST EXECUTIVE COMMUNICATIONS AND IMPLEMENTATION

TIMESCALE	ACTIVITY	TO WHOM	CHANNEL	MESSAGE	OWNER
<b>May 2010</b>					
	Implementation	Finance staff and Trade Union	Briefing note/ newsletter and team meetings	Brief staff on next stages of implementation	Keith Best/ Finance Managers
<b>July 2010</b>					
	Staff restructure	Directors	Meeting	To discuss directorate requirements	Keith Best
	Implementation update	Finance staff and Trade Union	Briefing note/ Team meetings	Brief staff on implementation and begin consultation	Keith Best/ Finance Managers/ HR
<b>August 2010</b>					
	Implementation update	Finance staff and Trade Union	Briefing note/ Team meetings	Brief staff on implementation and ongoing consultation	Keith Best/ Finance Managers/ HR
<b>September 2010</b>					
	Implementation update	Finance staff and Trade Union	Briefing note/ Team meetings	Brief staff on implementation and ongoing consultation	Keith Best/ Finance Managers/ HR
<b>October 2010</b>					
	Implementation update	Finance staff and Trade Union	Briefing note/ Team meetings	Brief staff on implementation and ongoing consultation	Keith Best/ Finance Managers/ HR



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**Executive****11 May 2010**

Report of the Director of City Strategy

**High Speed Rail****Summary**

1. This report advises on the government's initiative to create a new company High Speed Two (HS2) to investigate the high speed rail issue. It sets out the position of the City Region and also advises on the outcome of the recent review undertaken to establish a policy position for York.
2. The 'York review' (undertaken prior to the Government's HS2 announcement) concluded that the likelihood of a High Speed Rail connection for York would be remote given the need to minimise the number of stops and the proximity of the larger economies of Leeds and Sheffield. The review suggests that York should continue to support the High Speed Rail initiative particularly for the City Region and that it should seek to promote the enhancements to the East Coast Main Line (ECML) and the trans Pennine service to increase capacity and reduce journey times.

**Background**

3. In January 2009 the DfT published "Britain's Transport Infrastructure: High Speed Two" announcing the creation of a new company "High Speed Two" (HS2). The purpose of the new company was to help consider the case for high speed services from London to Scotland and as a first stage to develop a proposal for a new line from London to the West Midlands. It would also provide advice to Ministers on the potential development of a high speed line beyond the West Midlands at the level of "broad corridors", considering in particular the potential to extend to Greater Manchester, West Yorkshire, the North East, and Scotland.
4. HS2 has now produced a report to Ministers (published in March 2010) that is sufficiently developed to form the basis for public consultation in autumn 2010 should Ministers decide to take this project forward. The advice also includes financing and construction proposals as well as a proposition for how best to move through the planning process within an indicative outline timetable.
5. The objectives for HS2 are principally, increases in capacity and speed to optimise journey times whilst ensuring proper integration with land use, enhancing of economic growth with improved connectivity, building in freight capability, and seeking to gain modal shift from cars and from air travel.

6. As well as these objectives HS2 are charged with considering better use of the existing network and expanding electrification.
7. As a result of this new initiative officers took advice from Arups, who are one of the leading consultants in this field. Officers subsequently commissioned them to prepare a high level report that brought together all the independent studies carried out since 2000 as well as a view about what other rail opportunities there may be for York in support of its economic development.
8. Arup's report is attached as an annex and is summarised below.
9. Since 2000 there have been a number of independent studies that have reported. Each have proposed different alignments and corridors linking up areas of the country up to Scotland. These are described in the Arup Report. Each of these proposals describes the economic benefit through connectivity, journey time saving and increased capacity.

### **City Region Position**

10. In July 2009 the City Region Transport Panel considered a paper on High Speed Rail and Electrification. The report identified the benefits to the city region of a high speed link. The City Region has registered as a stakeholder to HS2 and a letter was sent to the government supporting a high speed link between London and the north.
11. The consultant's report, which supported the paper, made a number of conclusions. The high speed rail initiative should be developed as a project to deliver national economic transformation, there is a strong economic case for a high speed rail link to Leeds and Sheffield, it is important for the city regions to secure upgrades to the existing lines to improve connectivity and capacity in the short to medium term, improvements to commuter routes would also enhance capacity and connectivity, all options should be kept open for a high speed link to the north, but with particular scope for a more easterly alignment to be considered.

### **York Review**

12. York is well served by strategic rail routes to London, the Midlands, Leeds and Manchester. Some of these routes suffer from one or all of the short comings of long journey times, infrequency or lack of capacity either at present and into the future.
13. There has been significant increase in demand for rail travel of 27% in the last 5 years and the future predictions are 1-2% increase per annum on routes to London and Manchester and even higher to the midlands.
14. This emphasises the need for improved rail services to all major economic centres. In the peak periods there is significant under capacity resulting in overcrowding.

15. The East Coast Main Line (ECML) is currently operating close to capacity due to the mix of passenger and freight services operating on the line, a number of bottlenecks approaching London and some services only operating 5 car formations. Journey times are 5 minutes slower than they were in the 1990's as a result of these problems.
16. Journey times from York to Manchester are around 80 minutes due to a number of engineering constraints and the number of intermediate stations. There is significant under capacity in the peak periods.
17. There are two basic strategic opportunities to address these short comings either, enhancements of the existing routes or, the high speed rail option.
18. The review concludes that:
  - York's economy will benefit from being connected to either an enhanced ECML service or by a new HSR service with increased connectivity, reduced journey times and increased capacity.
  - The likelihood is that Leeds, as a major economic centre will be connected to the HSR network either directly into the centre of the city or through a "parkway" stop on the outskirts. Because of the relative proximity of York to Leeds it is unlikely that York could make a sufficiently strong enough argument for a stop on the network. However York could benefit if the parkway stop were located to the east of Leeds and connections times from York were reduced.
  - York could be connected to a HSR network either by local services to say Leeds, it could be served by a "Parkway" stop to the east of Leeds or it could be a service directly into York station.
  - In the short term CYC should continue to lobby for improvements to the ECML but longer term should support the introduction of a High Speed rail line connection either directly or via a parkway station.

### **Enhancements of the Existing Routes**

19. Network Rail's Strategic business plan has identified a number of capacity improvements to be delivered by 2014 at a cost of £560m. The improvements include rail infrastructure particularly approaching London which will reduce journey times by 5 minutes back to 1990 levels, changes to the passenger timetable to create 6 passenger services each hour and therefore increase capacity, new rolling stock to increase both capacity and reduce journey times by a further 5 minutes.
20. Overall journey times could be reduced by around 10-15 minutes when the package of measures of improved timetabling, new rolling stock and rail infrastructure improvements are completed.

### **Potential High Speed Rail Options that have been proposed**

21. Since 2000 there have been several routes proposed either up the west or east coasts that link London with all the major economic centres up to Scotland (shown in the Arup's review attached). These routes are intended to avoid existing bottlenecks in the current network and provide the additional capacity that is needed up to at least 2036. Typically these services would operate at 185mph and would be a major competitor to air services.
22. Only the Strategic Rail Authority of 2001 showed York being connected directly to the network and so it is difficult to estimate the journey time savings of the various proposals. However if York were to be connected then journey time savings to London of between 15 and 25 minutes could be possible with further savings to Heathrow, Birmingham and Manchester.
23. Each of the options have been costed on different bases between £40m/km and £100m/km depending upon the alignment and the need for tunnelling. Clearly the cost of the project will be in the order of several £billions. It was estimated that the earliest the network could be completed would be 2025.

### **Outcomes of HS2**

24. The paper produced by HS2 in March 2010 concludes that high speed rail will be the best way of accommodating increasing demand for inter-city travel and that other options are inferior and would be more environmentally damaging e.g. increasing motorway capacity.
25. HS2 had been tasked with considering an initial route from London to Birmingham. It concluded this was too small to be worthwhile and the government has therefore endorsed HS2's recommendation of a Y-shaped network linking London to Birmingham and on to Manchester on the west and East Midlands, Sheffield and Leeds on the east (a total of 335 miles). (see annex B). Journey time savings of 60 minutes would be made on the Leeds-London journey, reducing the journey time to 1 hour 20 minutes.
26. The government says that from the outset the high-speed lines will be used by trains serving Liverpool, Newcastle, Glasgow and Edinburgh but these destinations will be connected by existing rail lines beyond Leeds and Manchester.
27. HS2 estimates that the cost of designing and building the first 120 miles between London and Birmingham will be £15.8bn - £17.4bn. The whole Y-shaped network would cost an estimated £30bn.
28. As well as speeding up inter-city travel, high speed rail will also free up capacity on the existing rail network for more services between London and growth areas as well as for freight.
29. The new passenger hub is likely to be Euston with a link to Heathrow Express rather than directly to Heathrow. No comments were included on the existing ECML, which currently terminates at Kings Cross.



## **Consultation**

30. A consultation on HS2's detailed recommended alignment between London and the West Midlands will take place in the autumn, after further work on possible mitigation measures has been completed. Ministers have also requested HS2 to undertake detailed work on route options for lines from the West Midlands to Manchester, Sheffield and Leeds for early in 2012.
31. Officers attended a meeting with the Association of Northeast Councils on 3<sup>rd</sup> March 2010 to gain a common understanding of policy position, important issues and to consider a common approach to further lobbying.

## **Options**

32. Option 1 – Agree the policy position in the Arup review and support the HS2 proposals in the longer term whilst continuing to lobby for enhancements to the ECML
33. Option 2 – Do not agree the policy position in the Arup review.

## **Analysis**

34. Option 1 - The Arup review considered that a direct link to high speed rail at York would be unlikely. The outcomes of the HS2 study have proved this to be correct. The number of stations on a high speed rail line would need to be minimised in order to maintain the journey time savings and cost benefit of the scheme.
35. The exact nature of the connection at Leeds has not been determined and could be city centre or parkway station. A parkway station to the east of Leeds would provide York with improved access to the high speed line, consistency of journey time and better accessibility to rail and high speed rail for the wider York area.
36. The timescales for delivery of high speed rail are estimated as 2026 for the opening of the London to Birmingham section and extensions to Manchester and Leeds in subsequent years. Continued investment in the ECML is essential during this period to ensure the planned improvements and expected reductions in journey times are delivered. New clock face timetabling has already been proposed and further improvements to stock and infrastructure are expected by 2014.
37. There is a long lead in time on delivering new rolling stock. It is essential that York, as part of the city region, actively lobbys for improved rolling stock to ensure that upgrades are delivered in the region and are not lost to other areas that will also be presenting a business case for capacity and quality improvements. A key element of any future investment will be the electrification of the line between York and Leeds as part of the TransPennine route. If York is not to be directly connected to the high speed rail line then faster running speeds can be achieved and extra capacity added through electrification.

38. Option 2 – As HS2 has now reported and has not recommended extension of the line beyond Leeds and has recommended stations at Sheffield and Leeds any efforts to continue to lobby for direct connections for York are unlikely to be supported by the government or the city region.

### **Corporate Priorities**

40. Any improvements to rail connections would contribute to the Council's priority in promoting a Thriving City by reducing the traffic congestion and improving the attraction of the City to Tourists.

### **Implications**

41. This report has the following implications:
- **Financial** – No impact
  - **Human Resources (HR)** - No impact
  - **Equalities** – As this is an information report there will be no impact on equalities, however if any future works are promoted then this issue will be considered at that time.
  - **Legal** - No impact
  - **Crime and Disorder** - No impact
  - **Information Technology (IT)** - No impact
  - **Property** - No impact
  - **Other** – No impact

### **Risk Management**

42. There is a risk to the Council's reputation if it does not continue to engage through the City Region and other forums in further discussions to try and identify improvements to the ECML as well as lobby for the best outcome for York in relation to the high speed rail connection. The risk has been assessed as below 16 and therefore only requires monitoring.

### **Recommendations**

43. It is recommended that:
- (i) The policy position for York as set out in the Arup review is agreed and that further work focuses on:
- Reducing journey times between Leeds and York, particularly through the electrification of the line between Leeds and York,

- Promoting the benefits of any HS2 parkway stops being located to the east of Leeds, and
  - Securing shorter term improvements to the ECML
- (ii) Members and officers continue to lobby through the appropriate forums for ongoing investment in the ECML.

Reason: To ensure that the advantages of high speed rail connections are realised for York and that continued investment in existing rail infrastructure and facilities is not delayed or cancelled given the indicative 2026 start date for HS2.

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**Report Approved**

**Date** 11 May 2010

**Specialist Implications Officer(s)**

**Wards Affected:** All

**For further information please contact the author of the report**

**Background Papers:**

Arup High Speed Rail review paper  
HS2 command paper

**Annexes**

Annex A – Arup High Speed Rail review paper  
Annex B – HS2 recommended high speed rail route

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City of York Council

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**Improving Inter-Urban  
Rail Links to York**

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Assessment of the  
Potential Options

City of York Council

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**Improving Inter-Urban  
Rail Links to York**

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Assessment of the  
Potential Options

August 2009

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This report takes into account the particular instructions and requirements of our client.

It is not intended for and should not be relied upon by any third party and no responsibility is undertaken to any third party

Job number 209591

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## Executive Summary

York already benefits from attractive, fast and comfortable rail links to some cities, and this helps to attract investment and make the city a convenient location for employment. York's economy is forecast to grow significantly over the next 20 years, particularly associated with the following sectors bio-technology, education, IT, tourism, public services, plus financial & business services. The number of new houses is also set to increase, with almost 15,000 new homes by 2026. These factors will help to stimulate further growth over the next 10-20 years. Network Rail has recently produced demand forecasts that suggest long distance rail demand using the East Coast Main Line (ECML), North TransPennine and Cross Country routes will increase by 1-2% per annum to 2036. Inevitably, this predicted growth will necessitate capacity improvements for the inter-urban network, with the links to London, Birmingham and Manchester particularly important. There are two main themes to deliver these improvements:

- enhancing existing lines;
- constructing wholly new high speed alignments.

This reports analyses the strengths and weaknesses of those options.

There are a number of opportunities to enhance existing routes, and these could potentially be delivered in a relatively short timescale, with some of the required funding already committed. Network Rail's Strategic Business Plan includes a commitment to invest £560m by 2014 to deliver various infrastructure schemes to boost capacity, improve performance and potentially reduce journey times. Furthermore, a standard pattern timetable and new rolling stock could also be introduced within a similar timescale. Implementing this package of measures could reduce journey times to London by around 15 minutes. The Manchester Hub proposals refer to the approaches to Manchester Victoria and Piccadilly stations. The delivery of the Hub could help to reduce journey times from York to Manchester by around 15 minutes, although the implementation timescale is longer, and the funding sources are yet to be confirmed.

Since the publication of the Eddington Report that principally advocated improvements to the existing rail network, the level of support for High Speed Rail (HSR) has increased significantly. The success of the first UK High Speed Rail Link (HS1) operating between London St Pancras and the Channel Tunnel, together with various continental examples has highlighted a number of transformational benefits. These include significantly faster journey times (to improve accessibility between cities and their labour markets, boosting economic growth), and capacity relief for existing lines.

We have examined various proposals from several scheme promoters. HSR offers the potential to improve rail connectivity from York to other major population and employment centres. However, there are a number of risks associated with the delivery of HSR including:

- magnitude of costs (studies by Greengauge 21 indicate a cost of £100m/km, including optimism bias, significantly higher than the continental schemes);
- complex planning processes leading to lengthy timescales (a timescale of 15-20 years is typical for some continental schemes and HS1);
- relatively modest journey time reductions to some cities, given the costs described above. For example, the headline journey time savings to London are similar to the savings that could be achieved from the planned upgrades.
- It may be difficult for York to make the case for a stop on the HSR, given the proximity to both Leeds and Sheffield, and the resulting trade-offs between journey time savings and access to the network. If York is not connected directly to HSR, the journey time savings would be further reduced.

In addition, the following actions are recommended. City of York Council should:

- work with external stakeholders to secure short to medium improvements to the ECML and North TransPennine Route, to deliver journey time and capacity enhancements. The short term improvements already have committed funding and the delivery of these measures will help to strengthen links with key population centres.
- continue to develop their proposals to improve local rail connectivity to York;
- continue to be supportive of HSR to the Yorkshire and Humber region, albeit recognising there are a number of risks associated with the delivery of HSR, and the scale of the benefits that could be realised for York might be relatively small.

# 1 Background to the Study

## 1.1 Transformational Impacts of HS1

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Since the publication of the Eddington Report that principally advocated improvements to the existing rail network, the level of support for High Speed Rail has increased significantly. The first UK High Speed Rail Link (HS1) operates from London St Pancras, providing fast services to Paris and Brussels, with connections to other continental cities. High Speed Rail (HSR) enables higher operating speeds (typically 300kph), helping to cut journey times.

The construction of HS1 was delivered in two phases and has increased rail mode share (versus air), and helped to transform journey times. This has strengthened the competitiveness of high speed rail versus other modes. For example, the improved rail service now achieves a mode share greater than two-thirds for London to Paris flows. HSR has also helped to deliver other benefits, and is expected to act as a catalyst for delivering major regeneration schemes including Ashford, Stratford and the Thames Gateway. Other continental examples have also delivered a range of benefits.

## 1.2 Primary Objective of Future HSR Corridors in the UK

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During the past 12 months, the discussion of opportunities for high speed rail (HSR) in the UK has significantly risen up the political agenda. The success of the first UK High Speed Rail Link (HS1) operating between London St Pancras and the Channel Tunnel, together with various continental examples has highlighted a number of potential benefits. The main driver for HS1 was improved connectivity between London and Paris / Brussels via the Channel Tunnel. The previous route via south London was very slow in comparison with continental high speed operation.

In contrast, capacity relief for existing lines, particularly into London, has been identified as an important factor in the case for new high speed links. With much of the existing network already operating at or close to capacity on the approaches to London, there is an urgent need to create new capacity to support longer term growth. It has been suggested that if a wholly new alignment is required, this additional capacity should be delivered as a high speed route.

## 1.3 Development of Other HSR Proposals in the UK

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A study commissioned by the Strategic Rail Authority in 2001 examined a number of potential options, and this study produced outline business cases. A number of key conclusions have emerged from the SRA report, including the importance of links to Scotland that would provide an attractive alternative to the domestic air market. Links to Heathrow are important and strengthen the business case by opening up new travel markets.

Greengauge 21 was created as a non-profit-making organisation to lobby for the development of high speed rail. In response to the growing evidence base highlighting the benefits of high speed rail, and resulting political lobbying, the Government has established "High Speed 2". HS2 was established with a remit to examine possible route options by the end of 2009. Proposals have also emerged from other political parties including the Conservatives. An alliance of local authorities known as "2M" has expressed concern about the future expansion proposals for Heathrow Airport and has instead prepared some ideas for a high speed rail network to offset the potential requirement for additional airport capacity.

The inclusion of a TransPennine link could generate economic benefits between West Yorkshire and Manchester. Greengauge 21 estimate faster connections across the Pennines would generate wider 'agglomeration' benefits to supplement the economic business case. These benefits would comprise an important component of the overall

business case, since the financial business case for a TransPennine link is relatively weak, given the scale of the capital costs.

#### **1.4 The Commission**

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Arup has been commissioned by City of York Council (CoYC) to examine the potential for improving strategic inter-urban rail links. Although most journeys to work originate from York and neighbouring North Yorkshire, the longer distance rail links are critically important to support connectivity with wider markets and help to attract inward investment. York's strategic location on the rail network means it benefits from attractive rail links to many parts of the UK, particularly to London, and to a lesser extent, Birmingham, Manchester and Manchester Airport. This helps to make York a desirable place to live, do business and visit for tourism.

This report considers the potential benefits of HSR for York. Understanding the possible implications of them for York is essential to ensure that the Council is able to develop its strategy for rail and, therefore, make the case effectively for the most beneficial package of improvements. It is accompanied by a supporting document describing the latest position on HSR in the UK.

#### **1.5 Structure of the Document**

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Chapter 2 outlines the importance of good connectivity to other city regions, helping to support the delivery of plan-led economic growth and housing. This section also assesses the quality of existing rail links, both to other city regions and local feeder services to York. The factors contributing to the capacity bottlenecks along the main corridors are also examined.

Chapter 3 considers the potential options for HSR if additional capacity is required. The potential benefits and costs are examined, together with the risks, possible value for money assessment and likely timescales for implementation.

Chapter 4 considers alternative solutions to HSR that could be delivered in a shorter timescale. There is scope to deliver incremental enhancements to the network that could generate some of the benefits compared with HSR, but at significantly lower cost and a shorter delivery timescale.

Chapter 5 identifies a possible strategy to enhance inter-urban rail links to York, both in the short to medium term and the longer term.

## 2 The Case for Improved Inter-Urban Rail Links

### 2.1 Current Economic Performance

#### 2.1.1 GDP and Economic Connectivity

The UK population is continuing to grow and in order to accommodate this growth in the future there are challenging targets for housing and job growth across the country. The north is expected to accommodate a significant proportion of this growth. Furthermore, there is an ongoing goal to reduce the north-south divide. In recent years there has been growing interest in the role that transport has in stimulating, growing and supporting the economy.

The Yorkshire and Humber Region's economy is worth about £82bn, similar to Scotland and Norway. Transport connections from the region to London and Heathrow are vital to support this economic prosperity, helping to attract new investment in key economic sectors. The recent removal of flights to Heathrow Airport for Leeds Bradford International Airport means the region has a major competitive disadvantage, exacerbated by the poor surface connections to Heathrow. Therefore, the quality of rail services to London has become even more important. Links to the global financial centre of London and the international gateway of Heathrow are vital to maintaining and growing the financial, legal and business services sectors in the region.

The value of the York economy is currently about £3.1 billion, which is forecast to grow to £4.3 billion by 2025<sup>1</sup>. The administrative area of the City of York is home to approximately 105,000 workers<sup>2</sup> and the economy is focussed around six core sectors.

• Public sector employment	• Financial and Business Services
• Health and bio-technology	• IT
• Education	• Tourism

York's role as a key tourism destination is underpinned by the 4.2 million visitors to the city each year. Its status as a centre for science and biotechnology is confirmed by its classification as one of the six 'Science Cities' in the UK. The 'Science Cities' are designed to lead the development of deeper links between business and the science base and ensure that science, technology and innovation succeed in becoming the engine of economic growth.

A recent report was published by Centre for Cities: 'York: Prioritising Prosperity'. The report identified that York is a reasonably strong city economically. It has recovered following the decline in its traditional manufacturing base, such as confectionery, restructuring towards higher value service sectors with the growth of tourism, financial services and the city's science cluster. One of the key emerging conclusions from the report is that York should prioritise policy to support the areas that will make the biggest difference to its economy, namely York Northwest and developing the science and technology cluster. It is important to maintain and develop solid transport links to support the planned growth for the city.

The strength of the financial and business services sector over many years has helped to attract high value jobs, and this prosperity has helped to support high value jobs in other sectors. Transport is acknowledged as the 'glue' that will help to create a cohesive city region, as well as integrating the economy more effectively with the rest of the UK.

There is a strong economic case for improving inter-urban rail links serving the wider Yorkshire and the Humber region, and York specifically, given the size of regional economy and its contribution to the UK. Inter urban rail links offer the potential to transform the

<sup>1</sup> Progress in York and North Yorkshire, Yorkshire Forward

<sup>2</sup> Office of National Statistics

regional economy by bringing business within a shorter travel time to London and helping to close the productivity gap with the UK average.

## **2.2 Housing Growth**

The Yorkshire and Humber Region has experienced rapid population and housing growth, with the economic growth helping to attract new population. York's population in 2007 was approximately 195,000, having increased by 6.6% since 2001<sup>3</sup>. There are proposals for substantial plan-led growth, as set out in the Regional Spatial Strategy, including delivery of 14,450 new homes between 2009 and 2026<sup>4</sup>. This equates to a further 15-20% increase in the population during this period. Delivering this growth will be crucial to expanding and diversifying the economy of the city and the wider city region.

A significant proportion of this growth would be in locations close to the city centre and rail station such as the proposed York Northwest growth point. Delivering this growth in a sustainable way makes it vital to develop the rail services offered from York.

## **2.3 Drivers of Change**

There has been significant growth in rail demand affecting York. For example, the number of rail passengers to / from York has increased by 27% between 2002/03 and 2007/08. This growth in demand has led to increased load factors using many trains.

Network Rail has recently produced a range of growth forecasts as part of the "Scenarios and Long Distance Forecasts" workstream. Four forecasting scenarios have been defined, and further details of the underlying assumptions are outlined in the Network Rail report<sup>5</sup>. Growth forecasts have been prepared for a number of routes between 2007 and 2036, including the ECML, TransPennine and Cross Country corridors. The forecasts take account of the planned housing and employment growth highlighted earlier in Chapter 1, plus other drivers of demand.

The results indicate between 35-70% growth will occur to 2036, depending on the specific scenario, equating to a 1-2% increase per annum for the routes to London. The growth rates for TransPennine are broadly similar to the London routes, but the forecast rates for Cross Country are about 20% higher.

The results emphasise the requirement for improved rail services to accommodate future growth to London from the Leeds and Sheffield city regions, but also better connections to the Midlands and the North West. These improvements will be particularly necessary during the peak periods, when overcrowding already occurs on many services. The forecast demand growth could also necessitate the introduction of wholly new services from other destinations that are not directly served.

## **2.4 Performance of the Inter-Urban Rail Connections**

### **2.4.1 London**

The route between York and London attracts significant rail passenger flows (>750,000 trips per annum), reflecting the fast, high quality rail links between the two cities. Links to the global financial centre of London and the international gateway of Heathrow are vital to maintaining and growing the financial and business service sectors in York.

There are currently two services per hour between York and London, with journey times around two hours, resulting in an average speed of about 95mph. The typical load factor using National Express East Coast trains is around 55%, but most services between London and York are significantly busier.

<sup>3</sup> Office of National Statistics

<sup>4</sup> Regional Spatial Strategy, Yorkshire and Humber Assembly Region

<sup>5</sup> Network Rail "Network Route Utilisation Strategy", Scenarios and Long Distance Growth

Network Rail analysis presented in the RUS indicates the ECML is currently operating close to capacity for the following reasons:

- the current mix of passenger and freight services, given the differences in operating speeds (60/75mph for freight and up to 125mph for passenger services);
- specific capacity bottlenecks approaching London (Hitchin Junction, Welwyn viaduct and Alexandra Palace to Finsbury Park).
- the predominantly twin track layout between Grantham and York causes operational conflicts;
- deployment of a non standard timetable pattern for passenger services which reduces the available capacity;
- some trains (Grand Central from Sunderland, Hull Trains and future Harrogate / Bradford Interchange services) only operate as 5 car formations, thus significantly reducing the seated capacities compared with the National Express East Coast services.

#### **2.4.2 Heathrow Airport**

There are no direct rail links to Heathrow Airport, with passengers forced to travel via central London. Overall journey speeds to Heathrow are slower, given the requirement to interchange. Furthermore, direct flights between Leeds Bradford International Airport and Heathrow are no longer available, reducing the journey opportunities available to travel between the two destinations, mainly for onwards connections. As a result, rail has become increasingly important to provide these links.

#### **2.4.3 Manchester**

There is half-hourly service from York to Manchester Airport, plus an extra service to Liverpool via Manchester. Although York benefits from a high frequency service to Manchester, the attractiveness of these links is constrained by the relative slow journey times compared with journeys to London. Journey times from Manchester to York are currently around 82 minutes, resulting in average speeds of around 50mph.

There are a number of engineering constraints that reduce overall line speeds. The requirement to serve intermediate stations such as Dewsbury, Stalybridge and Garforth further contributes to slow journey times. The timetabling of these longer distance trains is constrained by the interaction with local stopping trains between Manchester and York. Although a small number of services operate during the peak periods as 6-car formations, there are significant overcrowding problems affecting other trains. This overcrowding is forecast to worsen as economies both sides of the Pennines grow.

#### **2.4.4 Newcastle and Scotland**

There are five services per hour to Newcastle from York, with the fastest journey times around 60 minutes, achieving average speeds of about 80mph. There are two services per hour to Edinburgh taking around 150 minutes, with some trains extended to serve other major population catchments, including Glasgow, Aberdeen, Dundee and Inverness.

#### **2.4.5 Midlands and South West**

York benefits from 2 trains per hour to the West Midlands, although services do not depart at regular intervals. Services are extended to the Thames Valley or the South West (Plymouth). Trains via Doncaster offer faster journey times, reflecting the more direct route. There are no direct services from York to Nottingham or Leicester with passengers required to change at Sheffield or Derby. In particular, connectivity to Nottingham is particularly poor, given the slow journey times between Nottingham and Sheffield.

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## **2.5 Assessment of the Intra-City Region Rail Links**

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Although York has good rail services on several corridors, the quality of other routes is relatively poor. Connectivity from Harrogate, Thirsk, Selby and Scarborough to York is relatively poor, particularly in terms of train service frequencies. Some of these settlements have just an hourly service (or less), with some routes constrained by poor quality rolling stock. This highlights a requirement to improve the quality of some local feeder services to strengthen connectivity to York.

However, York is promoting a number of rail improvements to strengthen connectivity. Regional Transport Board funding has been secured for a new station at Haxby, whilst a submission was also prepared to convert the Harrogate Line to tram-train operation, with the proposals linked to the development of the York Central site. The conversion to tram-train would deliver a step change quality in for this corridor.

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## **2.6 Summary of the problems**

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Chapter 2 has highlighted the contribution of York to the wider Yorkshire and Humber economy. Significant housing and employment growth is planned, and this will increase demand for travel, both locally, and for longer distance to the major destinations. This growth is corroborated by the growth forecasts prepared by Network Rail. Chapter 2 illustrates the importance of good transport connectivity to these destinations. Although York does benefit from fast, frequent links to London, there is still scope to deliver improvements. Furthermore, there is significant potential to strengthen linkages to other destinations including Manchester, Birmingham, the East Midlands and local settlements.



### 3 Enhancing the 'Classic' Routes

The discussion in the previous chapters highlighted the importance of improving inter-urban rail links to/from York. There are two main types of solution:

- enhancing existing routes;
- constructing wholly new high speed rail alignments.

In Chapter 3 we examine the potential for enhancing existing routes, principally the ECML and TransPennine links. York already benefits from excellent rail links to London so enhancing the ECML could form a solution offering both lower costs and reduced delivery timescales. There may also be scope to incrementally upgrade the existing TransPennine rail corridor via Huddersfield to improve links between Manchester and York.

#### 3.1 East Coast Main Line

##### 3.1.1 Committed Infrastructure Enhancements

Although the ECML is currently operating close to capacity, Network Rail's Strategic Business Plan has identified incremental capacity improvements to be delivered by 2014. Network Rail is committed to spending £560 million on various infrastructure schemes during the next Control Period (CP4). This investment will help to make better use of existing capacity and reduce journey times. The package of improvements includes:

- 4<sup>th</sup> running line at York Holgate Junction, (currently, north of Holgate Junction, there is only three lines on the approach to York station, and this can lead to delays);
- Shaftholme Junction remodelling to minimise conflicts between passenger and freight services;
- Upgrading the GN/GE joint line (between Doncaster and Peterborough via Lincoln) to create a freight diversionary route;
- Peterborough station area capacity enhancements;
- Grade separated junction at Hitchin;
- Alexandra Palace to Finsbury Park capacity improvements.

The introduction of extra trains using the ECML has led to journey times gradually increasing, with extra performance and pathing time added. For example, current journey times between York and London have been extended by about 5 minutes compared with the mid 1990s. The completion of the infrastructure schemes described above could deliver greater network resiliency and help reduce journey times to levels experienced in the 1990s.

##### 3.1.2 Revised Passenger Timetable

In addition to the Network Rail infrastructure proposals, there are proposals to introduce a new passenger timetable. Network Rail developed this timetable as part of the Route Utilisation Strategy and it is expected to comprise of standard pattern departures. The '6+1' timetable would create sufficient capacity for 6 passenger services per hour, plus an hourly freight service between London and Doncaster. The freight improvements described above for the GN/GE line would also be required to release the necessary track capacity.

The revised timetable would primarily deliver benefits during the off-peak. The higher train frequencies would enable some trains to run non-stop between London and York, with other services calling at the smaller stations south of York. This extra capacity would help to support the growth forecasts highlighted earlier. The amended timetable would also help to reduce journey times. The removal of each station stop could typically save around 5 minutes. The revised timetable would be delivered in the short term, although the recent announcement affecting the National Express East Coast franchise could affect the timescales to deliver these improvements.

### 3.1.3 New Rolling Stock

The DfT recently announced the Agility Trains consortium as the preferred bidder for the Intercity Express Programme (IEP). The new rolling stock this consortium will provide will replace the current mix of High Speed Trains and Class 91 / Mark 4 stock using the ECML offering a number of benefits:

- seating capacities per train will be increased by around 15%;
- trains will be lighter, thus offering better acceleration to achieve faster journey times;
- energy consumption will be reduced;
- journey times will be reduced by around 5 minutes between London and York (pro-rata estimate based on modelled timings between London and Edinburgh).

The new rolling stock will be deployed from 2014.

### 3.1.4 Further Enhancements

Similar to the existing rolling stock, the new Agility Trains rolling stock could operate at 140mph. However, other infrastructure improvements will be required to support the faster operating speeds, particularly better signalling, changes to the track layout and measures to improve the resiliency of the overhead electrification.

In addition, a menu of other infrastructure schemes could also be evaluated. These ideas could help to avoid various speed restrictions or other capacity bottlenecks along the route, for example,

- speed restrictions near Grantham;
- solutions to avoiding the flat crossing at Newark;
- reducing the interaction with freight near Doncaster.

These enhancements could be delivered in the medium to long term and would be subject to passing the value for money evaluation.

### 3.1.5 Overview of the Improvements

The York to London travel market is the largest inter-urban flow, and the route already benefits from frequent, fast services. A package of improvements has been identified to reduce journey times and improve this vital link to improve connectivity from York. Funding to implement these measures has already been highlighted in the Network Rail's Strategic Business Plan, so the delivery timescales are relatively short (within the next 5-10 years). Overall journey times could be reduced by around 10-15 minutes if the package of measures comprising the revised timetable, the new rolling stock and the infrastructure enhancements, was delivered.

## 3.2 North TransPennine Route

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### 3.2.1 Manchester Hub

Similar to the ECML, there is also scope to deliver a package of incremental improvements in a short timescale for the North TransPennine Route. Network Rail, in conjunction with the Northern Way, is developing plans for the Manchester Hub. The delivery of this project could generate significant economic benefits, both for longer distance and local passengers. The Hub proposals are still being developed, but could deliver a step change in capacity for the central Manchester area, helping to improve connectivity between key destinations.

Furthermore, a package of other improvements could also be delivered to help reduce journey times to both Leeds and Sheffield from Manchester to about 40 minutes. This would save around 10-15 minutes compared with the current journey times. Examples could include measures to increase line speeds in various locations, including the Huddersfield area, Guide Bridge, and via the Hope Valley. Feasibility studies are currently underway, but there is no committed funding to deliver the infrastructure measures.

### **3.2.2 Holgate Junction**

The additional Holgate Junction capacity described Section 3.1.1 will also help to reduce journey times via the TransPennine corridor from Manchester. This will help to minimise conflicts between services, and the resulting journey time delays.

### **3.3 Links to the Midlands**

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Whilst York benefits from direct links to the West Midlands (Birmingham) and East Midlands (Derby), there are no direct trains to Nottingham or Leicester. Many of the Cross Country services are overcrowded, and this affects service quality. Some of the busiest trains have been lengthened, but residual crowding problems remain. The recently published Yorkshire and Humber RUS has suggested the existing Cross Country service via Doncaster could be re-routed via Leeds. This change will be subject to DfT approval, although it could address some of the overcrowding issues affecting the Leeds route. However, journey times affecting one hourly service between York and the West Midlands would be extended.

Services between Sheffield and Nottingham were improved in December 2008, but journey times are still relatively slow. Various engineering measures could be implemented to cut journey times, subject to meeting value for money criteria. East Midlands Trains has developed proposals to increase frequencies between Sheffield and Derby for inclusion in the December 2009 timetable. Proposals are subject to ORR approval.

### **3.4 Timescales and Costs**

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The proposed enhancements to the inter-urban routes have a short term timescale for implementation. However, enhancing existing lines does need careful management, given the potential implementation risks and scope for cost escalation.

The Network Rail Strategic Business Plan has identified a number of measures during the next Control Period (CP4, for delivery by 2014). Some of the funding to enhance the ECML is already committed as part of CP4, with around £560m allocated. The new Agility trains rolling stock will also be delivered within this period.

Some improvements to the TransPennine routes will also be delivered within the next Control Period, and the ongoing Manchester Hub studies for Network Rail will explore the scope of reducing journey times to Manchester from Leeds and Sheffield to around 40 minutes. In partnership with other stakeholders, CoYC needs to continue lobbying for the delivery of these improvements.

## 4 Potential High Speed Rail Route Options

### 4.1 Understanding the Principal Benefits

Before examining the possible route options, the potential strategic benefits that could be generated by HSR include:

- capacity constraints affecting inter-urban routes towards London. The identification of possible solutions to alleviate these bottlenecks is the main factor contributing to the development of high speed and driving the consideration of new rail corridors. In particular, the WCML is already very congested, and there is a recognition that HSR could be the most effective way to resolve these constraints;
- a 2001 study commissioned by the Strategic Rail Authority concluded a new high speed line may be more effective and offer better value for money than comprehensive enhancements;
- although the analysis presented in Chapter 3 demonstrates there are incremental solutions to boost capacity, a new HSR would help to alleviate some of the busiest sections of the ECML. This would provide widespread benefits, for the Yorkshire and Humber Region, but also to benefit other locations, including the North East, East Midlands, and the East of England;
- HSR would transform the York economy by bringing business within an easier days travel time to London with the delivery of transformational journey times. Significantly higher operating speeds (typically up to 186mph, 300kph) would be responsible for achieving these journey times;
- builds on the successes of the York economy – York has redefined its economic focus in recent years by delivering financial and professional services, and helping to expand the number of high value jobs would help close the 15% productivity gap with the UK average;
- depending on the alignment proposed, there is potential to transform connectivity from York to the key international gateway of Heathrow, particularly as the city has no easy access to direct flights to Heathrow. It may be possible to improve connections between York and the Leeds and Sheffield city regions.

### 4.2 Summary of Potential Route Proposals

#### 4.2.1 Identification of Routes

The fundamental factor influencing the requirement for a new high speed rail alignment are capacity constraints affecting the existing network. To address these capacity constraints, some potential route options have been identified by different stakeholders, as shown in Figures 4.1 to 4.5. Several of the proposals would potentially alleviate the London / Birmingham / Manchester corridor, given the capacity constraints affecting this corridor. Several other north – south corridors are being examined including alignments via the East Midlands.

The reports published to date develop the discussion on HSR options, but the Government has yet to announce a formal position (June 2009).

Figure 4.1: Identification of Possible HSR Corridors – Greengauge 21

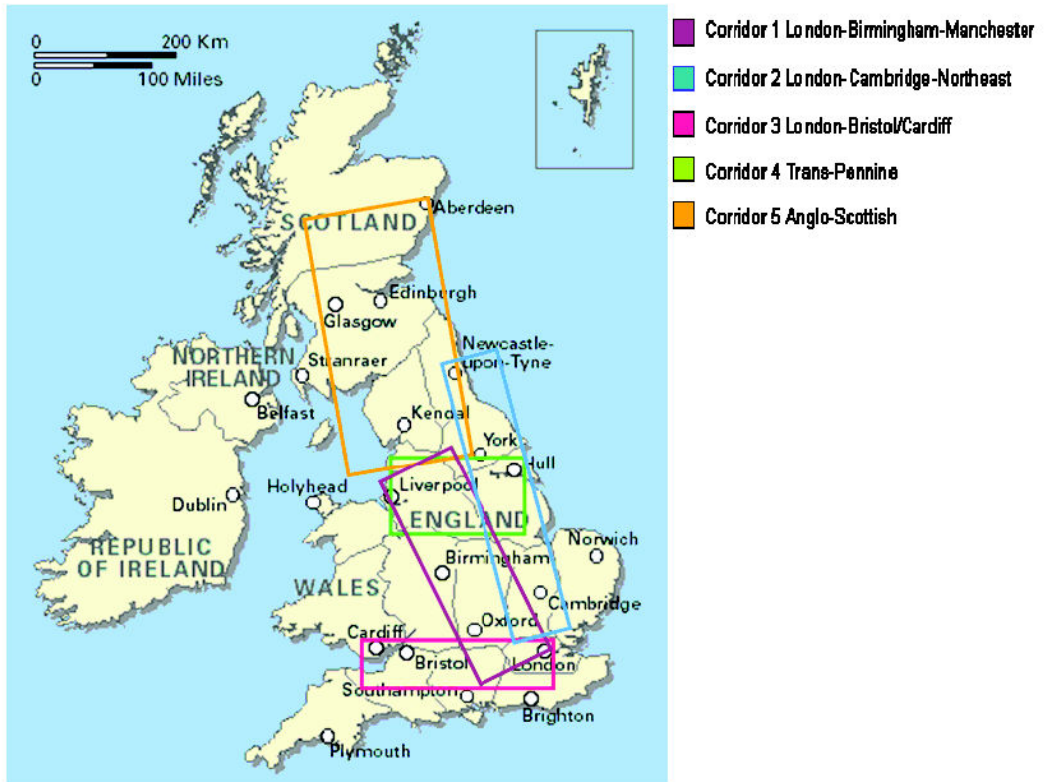
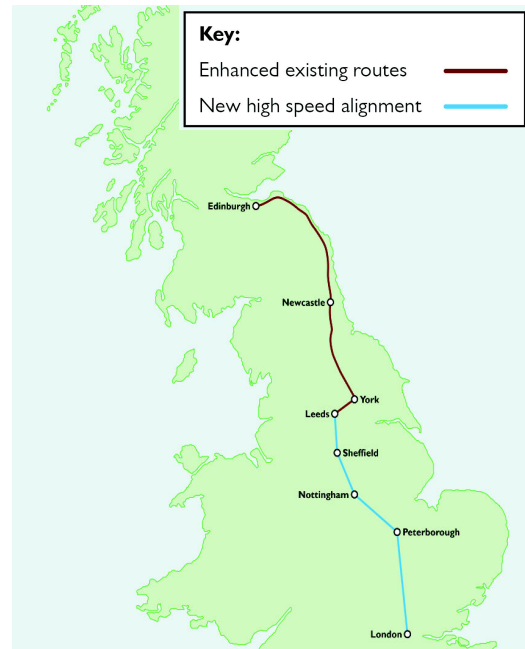
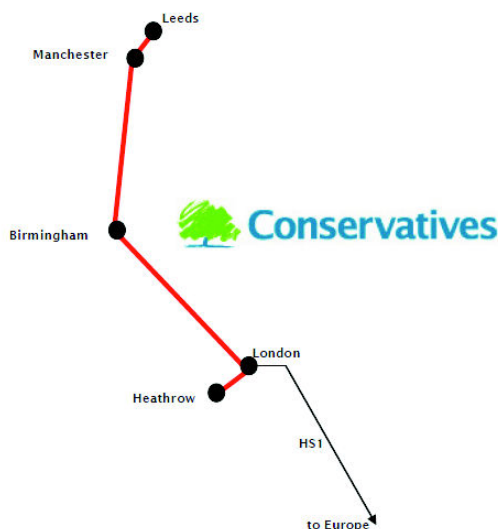


Figure 4.2: SRA Study – London to Scotland / Manchester



Figure 4.3: SRA Study - London to West Yorkshire via Peterborough



**Figure 4.4: Conservative Proposals for High Speed Rail****Figure 4.5: High Speed Rail – 2M Proposals**

#### 4.2.2 Shortlisted Options

Some of the route options put forward for consideration will offer limited benefits for York. As a result, four options have been shortlisted for more detailed analysis.

- Option 1: London to the North via the West Midlands (SRA Study, 2001)** – a “Y” shaped network is proposed offering north south links to Manchester, Yorkshire and Scotland from London. The routes could diverge south east of Birmingham, with one extending towards Manchester, and the other towards the East Midlands, Yorkshire and Scotland. There is no TransPennine link assumed;
- Option 2: London to North via Peterborough and the East Midlands (SRA Study, 2001):** This option was also identified as part of the SRA study, with an alignment from London to Leeds via Peterborough and Nottingham and a link to the ECML east of Leeds;
- Option 3: London to Manchester and York via WCML and TransPennine link (Greengauge, 2006)** - the emerging thinking from HS2 appears to favour an initial alignment from London to Birmingham. There are aspirations to extend the network beyond Birmingham to Manchester and possibly Scotland and / or Leeds. Rosie Winterton, the Minister for Yorkshire and Humber has met representatives from HS2 Ltd to lobby for high speed rail the Region. Further extensions of the West Coast route options beyond Leeds to York have received limited coverage;
- Option 4: London to the North via the M1 corridor (2M Group, 2008):** this is an alliance of local authorities concerned about the environmental impact of the Heathrow expansion proposals. 2M propose that instead of a third runway, the Government develop a high speed rail network linking London with Heathrow, Birmingham, Liverpool and Scotland to the North. The line would extend north from London and serve Leicester, Nottingham, Sheffield, Leeds, Newcastle, Edinburgh and Glasgow. There would also be spurs to Birmingham, Manchester and Liverpool.

### 4.3 Summary of Key Performance Indicators

A range of performance indicators have been used to understand the relative impact of each option, and these are summarised below.

#### 4.3.1 Journey Time Impacts

The journey times below have been calculated using a number of assumptions:

- Trains will operate at a top speed of 186mph (based on the assumed line speed, and comparable to HS1);
- A stop/start penalty has been applied to reflect the delays incurred to allow passengers to board / alight at intermediate stations. Calculated timings have been benchmarked against other studies, for example, SRA and Greengauge 21 reports, and the timings adjusted accordingly.

Table 4.1 below calculates the best possible journey time savings assuming the HSR network includes a stop serving York. The potential journey time impacts shown in Table 4.1 do require a cautionary note, since it is uncertain whether HSR would serve York. If the proposals did not serve York, hence necessitating an interchange in Leeds or Sheffield, the journey time savings shown would inevitably be reduced. Table 4.1 indicates the introduction of a HSR alignment to London would save between 15 and 25 minutes. Option 4 would generate the largest journey time savings, whilst the differences between Options 1 and 2 reflect the small differences in route distance to London. Journey times to Heathrow are significantly reduced in Options 3 and 4, mainly through the introduction of direct journey opportunities. Smaller savings are achieved in Options 1 and 2, due to the assumed journey time reductions between York and London. Options 3 and 4 would also offer direct journey opportunities to Birmingham and Manchester, cutting timings by around 30-40 minutes.

**Table 4.1: Journey Times from York (minutes)**

Destination	London	Heathrow	Birmingham	Manchester
Average Current Time	124	195	120	82
Option	Journey Time Saving			
1	19	19	-	-
2	16	16	-	-
3	1	86	30	37
4	25	93	42	37

Source: Journey time savings estimated by Arup. Current timings calculated using the National Rail Timetable and include an allowance for interchange (Heathrow journeys). Future journey time estimates calculated using assumed speeds and benchmarked against other data sources.

#### 4.3.2 Intermediate Stops

The likely operating speeds and the relative proximity of major population centres will influence the potential number of intermediate stops. With trains likely to be designed to operate at speed of up to 186mph, a maximum of two intermediate stops serving the Leeds and Sheffield City Regions is suggested. If further stops were included within a relatively short distance this would prevent the top speed being achieved and therefore negate the journey time benefits offered by HSR. As a comparator, continental high speed networks typically have gaps of 100-200km between stations.

The feasibility of a stop at York will need to be assessed as part of a wider strategic assessment. Factors such as population catchment and size of the economy will affect the planning process. Taking these factors into account, the HSR stops may be located close to

Leeds and Sheffield given their status, size of the economy and population, since these urban areas are likely to generate the largest strategic benefits.

#### 4.3.3 Connectivity to Key Destinations

As mentioned in the section above, there is a degree of uncertainty over how York will be connected to the HSR network. The table below identifies the implications for York. The city already has direct journey opportunities to London, Manchester and Birmingham. Table 4.2 identifies that without significant journey time savings the potential benefits of HSR are somewhat diminished. In terms of connectivity, Options 3 and 4 could deliver some improved journey opportunities, particularly to Heathrow. If York was not connected to the HSR network, this would necessitate a change at either Leeds or Sheffield, and the resulting interchange penalties could effectively remove the journey time benefits achieved by HSR.

**Table 4.2: Comparison of Connectivity Benefits to Major Destinations**

Option	Destination			
	London	Heathrow	Birmingham	Manchester
1	No connectivity benefit unless York was directly served by HSR	Heathrow is not directly served by HSR. Limited journey time benefits unless York was directly served by HSR	No connectivity benefits	No connectivity benefits
2	No connectivity benefit unless York was directly served by HSR	Heathrow is not directly served by HSR. Limited journey time benefits unless York was directly served by HSR	No connectivity benefits	No connectivity benefits
3	No connectivity benefits, since journey times via TransPennine and WCML would be slower	Potentially offers significant journey time savings, given the direct link from HSR	Direct access to HSR required to achieve any journey time savings	Direct access to HSR required to achieve any journey time savings
4	No connectivity benefit unless York was directly served by HSR	Potentially offers significant journey time savings, given the direct link from HSR	Direct access to HSR required to achieve any journey time savings	Direct access to HSR required to achieve any journey time savings

Source: Arup analysis

#### 4.4 Costs

Compared with the likely costs to improve some inter-urban corridors, the capital costs associated with constructing a HSR alignment will be high. We have reviewed the out-turn costs from a range of European projects and HS1 to understand the typical range. The typical range for European schemes is about £25-30 million/km (DfT New Line Capacity Study – Cost Estimates, July 2007).

This cost range is broadly similar to the out-turn costs for the first phase of HS1 south of Ebbsfleet to Ashford. However, the construction of the second phase north of Ebbsfleet to St Pancras via Stratford is predominantly in tunnel. As a result, the cost per kilometre is significantly more expensive, with indicative capital costs of about £85 million/km.

Scheme costs were also prepared to support the SRA study. The typical costs for Options 1, 2 and 4 shown above are about £40m / kilometre. The costs per kilometre for Option 3 are



higher, in excess of £50m per kilometre. However, the cost assumptions presented in the SRA study only include a 30% allowance for optimism bias, and this smaller allowance is not consistent with the DfT guidance.

In contrast, the estimated capital costs for the London to Birmingham section prepared by Greengauge 21 is around £11bn, or around £110m/km. This is significantly more expensive than the continental schemes or even the tunnel sections constructed for HS1. It is likely some tunnelling will be required on the approach to London and possibly Birmingham, helping to explain the higher costs. However, it is expected much of the alignment will be constructed at-grade. The inclusion of 66% optimism bias in accordance with Government guidance contributes to the higher costs per kilometre. The magnitude of these costs does raise concerns about the affordability of HSR in the UK, particularly in a constrained fiscal environment.

#### 4.5 Value for Money

The growing funding constraints mean HSR proposals will be subject to greater scrutiny to assess the benefits and costs, and the resulting value for money. The initial business case work prepared for the SRA suggested high speed rail could generate a reasonable benefit cost ratio (up to 1.35) for the different network options evaluated. Table 4.2 presents a summary of the benefits and costs for the options that could potentially serve York. The relatively weak business case for a HSR alignment comprising a TransPennine link is a potential concern, given the possible under-estimation of capital costs and the small allowance for optimism bias. No preparatory business case has been prepared for Option 4.

**Table 4.2: Summary of Benefits and Costs – High Speed Rail**

Option	Description	Benefits (£ bn)	Costs (£ bn)	NPV	BCR
1	London to Manchester and Leeds	22.0	-17.5	4.5	1.26
2	London to Leeds via Peterborough	12.2	-10.0	2.3	1.23
3	London to Leeds via Manchester	17.1	-16.3	0.8	1.05

Source: SRA Study, NPV (net present value), BCR (benefit cost ratio). No

Since the publication of the initial SRA work, the benefits and costs associated with selected HSR proposals have been re-examined. The assumptions have been updated (minimal upgrades to the ECML are included), and the benefit cost ratios have been strengthened to 2.67:1. The revised BCR means the value for money case to deliver HSR via the East Coast has been significantly strengthened. Furthermore, the inclusion of wider economic benefits would further strengthen the economic business case.

Other important factors affecting the robustness of the business case include:

- the links to Scotland appear important, particularly to compete with the air market more effectively;
- links to Heathrow would strengthen the business case, but the impacts are relatively small;
- the inclusion of a TransPennine high speed link offers limited potential value, with the costs exceeding the benefits.

#### 4.6 City Centre versus Parkway for Station Location

##### 4.6.1 Overview

The location of the station is a critical factor affecting the development of the HSR network. The station must be linked to complementary transport networks that enable the estimated number of passengers to board / alight. A city centre station would provide good access to the adjacent bus and suburban rail networks, but the scope for serving many UK examples

are already constrained by restricted platform availability, limited scope to increase passenger throughput and slow line speeds on the approaches to these stations. The slow speeds restrict the opportunities for through services. Alternatively, entirely new underground stations could be constructed in the city centres, although significant costs would be incurred. Based on the continental examples, city centre stations are generally used at the start / finish of the journey, when the typical journey time penalties are less critical.

Parkway stations are extensively used on the continent to provide intermediate journey opportunities. This type of approach helps to minimise the time penalties incurred with additional stops. The parkways are generally located in locations remote from the urban centres, although they are conveniently located close to the strategic highway network to serve a wide catchment. However, the location of some stations has been criticised for being too remote from the adjacent areas.

#### 4.6.2 Key Performance Indicators

A summary of the key performance indicators is shown in Table 4.1 below.

**Table 4.1 Key Performance Indicators: City Centre Versus Parkway Stations**

Performance Indicator	City Centre	Parkway
Proximity to major employment areas	Termini are centrally located, and therefore offer convenient access to major employment trip generators by public transport or on foot, especially high value employment	Poor connectivity to major employment areas, except by car
Public transport connectivity	City centres already have strong public transport connectivity, and HSR would complement this	Limited public transport access and likely to require significant upgrading
Highway access	Slow, congested access to the city centre. Lengthy timescales to reach the strategic highway network.	Convenient access to the strategic highway network, although extra traffic on the approach to the station could exacerbate existing congestion problems
Station Infrastructure	Already in place but limited room for expansion	New build station could be designed for the purpose of HSR.
Passenger Circulation	Station may already be approaching capacity, and insufficient space to accommodate extra passengers generated by HSR	New station could be built designed to HSR needs and large capacity
Journey Time Impact	Extra city centre stop will have a significant impact on overall journey times due to the reduced operating speeds	Inclusion of an additional stop has a smaller journey time impact compared with city centre stations
Connecting Travel Opportunities	Convenient access to bus and suburban rail networks	Requirement for onward connections to the city centre reduces the advantages of high speed rail
Car Parking	Facilities already operate close to capacity, and there is generally limited space for major expansion	Sufficient space adjacent to the station to construct a large car park

Source: Arup proposals

#### 4.6.3 Implications for York

York has a well established city centre rail station with good public transport links and direct access to city centre businesses. In addition the York Northwest area which includes York Central and British Sugar is a mixed use proposal that will be developed within close proximity of the existing rail station. York Northwest is likely to deliver significant economic benefits to the city of York. Therefore any rail improvements that offer journey time savings and/or better service to wider UK destinations, will support city centre growth and make

York Northwest an attractive investment opportunity. The benefits might be comparable to the impacts in other cities, for example, the Business Park that has developed adjacent to Lille city centre.

#### 4.7 Timescales and Risks

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High Speed 1 is a 70 mile high speed rail link running from London St Pancras to the Channel Tunnel. From the Channel Tunnel portal to Ebbsfleet, HS1 largely follows the M20 motorway corridor. The section from Ebbsfleet to central London is mainly constructed in tunnel. The initial proposals came forward in the early 1990's and the eventual project was phased into two sections. The construction of stage one began in 1998 and stage 2 in 2001; the entire project was completed towards the end of 2007. This timescale is broadly similar to the development of the French schemes.

Using the timescales for delivering High Speed 1 as a suitable comparator, it is likely to take about 15 years to plan, design and construct a new alignment. Therefore, the earliest date for completing HSR2 is around 2025, although these timescales will inevitably be extended if the implementation is phased.

Large scale infrastructure projects can take years to deliver. HSR proposals may go through several iterations before a viable scheme is ready to be delivered. In addition the UK planning process can slow down the progress of proposals.

The capital costs associated with the HSR project will increase dramatically if a lengthy planning process is involved before delivery. Environmental issues will also be prevalent with any HSR proposal. For example, if HSR proposals assume a route via the Chilterns corridor, the timescales for implementation may be further extended. The risks associated with HSR are difficult to calculate at this stage, with no firm political date set for delivering HSR. A measured assumption at this stage therefore is that relying on HSR is a risky approach given the fluidity of the proposals and the costs involved.

#### 4.8 Overview

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Although high speed rail offers the potential to transform journey times to selected destinations, and alleviate capacity constraints, a number of concerns have been highlighted, including the cost, timescales and affordability of the proposals. The indicative capital costs for the London to Birmingham route assumed by Greengauge 21 are significantly higher than any other European scheme and this could affect the affordability of a route via the East Coast. The lengthy timescales to implement an alignment to York, combined with very high capital costs, mean there are **significant** risks associated with this strategy.

## 5 The Future Inter-Urban Rail Strategy

### 5.1 Short to Medium Term Strategy

The York to London travel market is the largest inter-urban flow when compared to the other strategic destinations including Heathrow, Birmingham and Manchester. The forecast demand growth will necessitate improvements to the existing inter-urban services. The analysis presented in Chapter 4 demonstrated HSR represents a longer term solution, so it is recommended CoYC works with external stakeholders to deliver the following short to medium term improvements.

The following is a set of actions that York should pursue with the aim of delivering future rail improvements:

- *Lobby Network Rail to ensure the committed investment for the ECML scheduled for CP4 (2009-14) is delivered, helping to boost existing capacity, and reduce journey times*
- *Engage with the DfT to lobby for the proposed timetable changes, enabling more trains between York and London, with reduced journey times*
- *Lobby DfT to ensure the new Agility trains replace the current rolling stock is replaced within the specified period*
- *Work with DfT, Network Rail and other stakeholders to identify further incremental improvements and develop financial and economic business cases*
- *Support the Manchester Hub proposals to improve links with Manchester and the North West. Work with industry stakeholders to develop a robust financial and economic business case, and lobby DfT and regional stakeholders to secure funding*
- *Continue to develop proposals to improve the complementary local rail network including Haxby Station and the tram-train proposals for the Harrogate Line to strengthen connectivity to the long distance network*

### 5.2 Long Term Strategy

HSR represents a longer term solution that could deliver headline journey time savings to selected destinations, particularly Heathrow Airport, with smaller savings to Manchester, Birmingham and London. Whilst HSR offers the potential to boost the York economy, these impacts need to be offset against the significant risks including affordability, value for money and indicative timescales. Furthermore, there is no certainty that York will even be directly connected to the HSR network.

- *Support proposals to bring HSR to Yorkshire and Humber*
- *Maintain a watching brief on the emerging proposals to understand the implications for York, and if appropriate, develop service proposals to benefit the City*

Annex B



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**Executive**11<sup>th</sup> May 2010**Report of the Director of City Strategy****Footstreets Review – Progress Report****Summary**

1. This report informs the Executive of the progress to date of the various stages of the Footstreets Review. The review was commissioned to assess the current operation of the pedestrianised area and suggest improvements which could be made to it.
2. Following extensive consultation with many stakeholders the review has identified potential short, medium and long term interventions to improve the operation of the Footstreets zone and will also contribute to other pieces of work whose aim is to help shape and reinvigorate the City Centre such as Renaissance York, the City Centre Accessibility Framework (CCAF), the Public Realm Improvement Strategy and the City Centre Area Action Plan (CCAAP).

**Background**

3. There are numerous studies ongoing whose aims are to shape and reinvigorate the city centre as listed in the paragraph above. Most of these studies have different reporting periods and also address differing levels of strategy. The Footstreets Review deals mainly with the operation and coverage of York's pedestrianised area and although it may touch on other areas such as potential usage and the look of the city centre these will be taken much further by the other studies mentioned above.
4. The Footstreets pedestrianisation scheme was first introduced in 1987 and has changed relatively little over the intervening period. The major changes since its introduction being slight amendments to its' operating times and the extension of the zone to include High Petergate.
5. The council have received several requests in the past few years from businesses sited on streets on the periphery of the Footstreets area for the zone to be expanded to include their streets. There have also been complaints from various quarters about the operation of the scheme and its abuse both in terms of parking and access.
6. A report was taken to City Strategy EMAP in January 2007 informing members of the receipt of a petition from Fossgate traders requesting that

Fossgate be included in the scheme, one of the recommendations of that report was that a review of the Footstreets scheme, its coverage and operation should be undertaken.

7. Given the potential scale of the review due to the large number of stakeholders a decision was taken to split it into several phases as shown below:

**Phase 1** : This phase was progressed in parallel with Phase 2 and has also formed the first phase of the City Centre Accessibility Framework (CCAF). It comprised **a high level strategic review of access routes into and within the city centre for all modes of transport**, together with an overview of key drivers for change. This was followed by analysis of how and where these modes might access the city centre in the future, in conjunction with the aspirations for land use in the city centre within the Local Development Framework (LDF) City Centre Area Action Plan (CCAAP). This phase was completed in 2008/09.

**Phase 2** : Done in parallel with Phase 1. This phase involved much more **in-depth analysis of the operation of the Footstreets zone** through surveys of its use and discussions with stakeholders and internal officer groups to **identify the issues** and consequently inform Phase 3 proposals. This phase was completed in 2008/09.

**Phase 3** : **Further analysis of the issues** identified in Phase 2 through further consultation with specific stakeholder groups. **Review of other towns and cities' pedestrianised areas** to identify potential solutions. **Preparation of potential options for improvements** to the operation of the city centre Footstreets Area. As signing and lining play a large part in the operation and enforcement of the Footstreets zone a parallel study has been commissioned to look at this particular area in more depth.

**Phase 4** : **City-wide consultation** on the preferred options. Analysis of the outcome of the consultation and preparation of responses to objectors. If objectors' concerns cannot be satisfactorily resolved undertake public inquiry. If the inquiry returns a positive decision prepare detailed scheme and **seek appropriate permissions** from relevant committees prior to **implementation**.

8. Phases 2 and 3 of the study have been undertaken by external consultants (Halcrow) due to the large amount of resources required to undertake the consultation with the significant number of stakeholders. In addition to the consultation Halcrow were also requested to review the operation of other historic towns and cities' pedestrianised areas in order to identify not only long term solutions but also a range of interventions which could be delivered in the short term. Many of the historic towns and cities initially approached were also found to be undertaking their own reviews therefore the net was spread wider to include Kingston-upon-Thames, Leeds, London, Manchester, Newcastle and Sheffield.
9. The main issues identified during the consultation exercises and surveys undertaken in Phases 2 and 3 of the review are shown below and have



been grouped under themed headings to enable potential solutions to be better targeted. Many of the same issues have been identified in other towns and cities and their approaches to solving them noted by the consultants and used to shape the potential solutions they have put forward for York. Examples include the use of “human-scale” signing on the zone boundary, improved entry treatments to distinguish the zone better and cut down abuse by vehicles, also trials over a set time period of cycle access on certain designated street.

Table 1

Headline Issues	Main Issues Arising from Consultation
<i>Hours of operation</i>	Lack of consistency across the week, limited enforcement, servicing during periods of high footfall, pedestrianised hours do not include the morning and evening peaks
<i>Access and parking</i>	Significant levels of abuse, confusing signing, two-tier disabled access, poor enforcement, presence of vehicles reduces appeal of the zone to pedestrians
<i>Enforcement</i>	Lack of resources, improving partnership working between police and council officers, lack of physical access controls
<i>Signing and lining</i>	Need to rationalise signing to reduce street clutter whilst still maintaining sufficient to be able to enforce restrictions properly, current signing unclear
<i>Appearance of the Public Realm</i>	Car-centred approach adopted initially now outdated, existing infrastructure now looks dated and worn, no consistency across the city centre in terms of colour scheme or materials used
<i>Safety and security</i>	Need to provide a safe environment that is attractive and inclusive, especially important if attempting to promote an evening or twilight economy, need to ensure vulnerable groups aren't marginalised especially when city centre events are taking place
<i>Diversification of uses</i>	Current events spaces sometimes inappropriate to needs of organisers, need to widen the appeal of the city centre to other audiences
<i>Cycling</i>	High levels of abuse currently, cyclists actively encouraged across the city but not into the central core gives an inconsistent message, diversion routes around periphery of zone

	sometimes inappropriate due to high traffic levels, "Cycling City" aspiration to have a city centre which is permeable to cyclists
<i>Extent and boundary of zone</i>	Number of peripheral streets requesting to be included in the zone, high levels of conflict between pedestrians and vehicles on peripheral streets, need to link up current zone to peripheral development sites (Hungate, Castle Piccadilly, York Central)
<i>Marketing, promotion and wayfinding</i>	Poor understanding of visitors of the restrictions and operation of the zone, mapping within and to the zone inconsistent and insufficient, attractions need to be capitalised upon

## Options

10. The main objectives of this review are to increase use of the Footstreets whilst reducing abuse and misuse. To address these objectives and the issues identified in the table above a toolkit of potential solutions has been suggested, this toolkit comprises a large number of individual interventions. It is considered that the most beneficial means of achieving these objectives is to clarify and simplify the operation of the city centre's pedestrianised zone, reduce unnecessary street clutter and improve the experience for users of the zone. Although the resources available in any given financial year will restrict the number and scale of interventions which can be progressed when viewed as a whole they have the potential, in parallel with the CCAAP work, to help reinvigorate the city centre and make it a much more pleasant environment for visitors, shoppers, businesses and their employees.
11. In order to identify which of the interventions could be delivered and over what timescales they were first split into short, medium and long term and then the short term ones prioritised against several criteria (economic impact, accessibility impact, affordability, deliverability and how much influence CYC have in the implementation of them) in order to identify those which could be progressed in the 2010/11 financial year with the funding available.
12. Many of the other potential interventions with longer delivery times or which may be more contentious and will be considered as part of the development of plans and strategies for the city centre (in particular the City Centre Area Action Plan and the City Centre Renaissance project). These include such things as the inclusion of additional streets, alterations to servicing arrangements for city centre businesses, improvements to the Newgate market area and better enforcement regimes, to name a few. The wider implications and future findings of these interventions can then be assessed in an integrated way with the outputs of other studies. It will not be possible

to resource all the interventions shown on the list therefore further prioritisation will be necessary to tease out those which will have the greatest impact whilst still being affordable and deliverable. The “first stage” schemes identified through the prioritisation process are listed in Table 2 below.

13. Other schemes which have also been suggested for short-term improvements but which would involve more work over longer timescales include: updating the signs and lines database, clarifying city centre maintenance roles and budgets, development and trialling covered city centre cycle parking, design highway schemes to reduce conflicts at the zone boundaries, develop a hierarchy for extension areas, develop dedicated footstreets webpages, these are listed in full in Annex A.

14. The following options are available to members to further the delivery of the review’s proposals;

Option 1 – progress scheme development and consult on detailed proposals for all the schemes listed below in Table 2

Option 2 - progress scheme development and consult on detailed proposals on some of the schemes listed

Option 3 - reject the proposed schemes or progress other ones from the list in Annex A

Option 4 - continue further investigation of other schemes with longer lead times. (When and whether these other schemes will be able to be delivered will depend on available funding and whether during further consultation they are deemed acceptable).

Table 2 : Key Short Term Proposals

Proposal	Description	Justification	Next Steps	Issue(s) Addressed	Estimated cost to implement
<b>Standardise Footstreet operation hours</b>	Currently we have three separate operation periods depending on the day of the week, Mon to Fri 11am to 4pm, Sat 10.30am to 4.30pm and Sun 12 noon to 4pm. There are also separate restrictions for Stonegate and Shambles. To reduce confusion and help reduce sign clutter it is proposed to have a standard operating period for the whole week. This operating period could be as per the current Monday to Friday hours or over an extended period as per the proposal below.	The standardisation of the footstreet hours will not only cut down confusion amongst potential city centre users but will also better reflect current trading hours and operation of businesses and attractions throughout the zone, many of which are open 7 days a week. There may be some resistance to extending the hours on a Sunday from city centre churches but their congregations may already have to compete for parking space with shoppers and visitors anyway.	<ul style="list-style-type: none"> <li>• Development of detailed options.</li> <li>• City-wide consultation to assess whether these changes would be acceptable to the various stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Hours of operation</li> <li>• Access and parking</li> <li>• Signing and lining</li> </ul>	~£30K
<b>Extend the Footstreet operation period</b>	Both the morning and evening peak periods are outside the current Footstreet hours therefore walking to, within and through the zone is not attractive to many pedestrians as this tends to be when the majority of servicing takes place. The operating period could be extended to start at 10am and finish at 5pm to give users of the zone an extra two	Extension of the operational hours will help to improve the York experience for visitors as they will extend the period during which the pedestrian is the priority user in the zone, it will also enable many commuters to travel through, to, or within the city centre without encountering vehicles servicing city centre	<ul style="list-style-type: none"> <li>• Development of detailed options.</li> <li>• City-wide consultation to assess whether these changes would be acceptable to the various stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Hours of operation</li> <li>• Access and parking</li> <li>• Safety and security</li> <li>• Diversification of uses</li> </ul>	~£30K

	hours during which they have priority over vehicular traffic.	businesses. This scheme may face some opposition from some of the businesses as it will alter the hours in which they can be serviced but this will bring York more in line with other towns and cities across the UK.			
<b>Investigate the practicalities of removing signing and lining from the city centre</b>	Rationalisation of the Footstreet hours across the whole week should help reduce the size of some of the signs and may enable others to be removed. A separate study has been commissioned by Network Management looking at City Centre Signing and Lining and will be investigating whether the conversion of the pedestrianised area to a Restricted Parking Zone or Pedestrian Zone are viable solutions as they would potentially enable the removal of most of the yellow lines and many of the signs.	Removal of signs and lines will not only improve the aesthetics of the city centre but may also help to clarify where people can and can't park through use of differing paving types or placement of street furniture.	Further investigation of proposals put forward by the signing and lining study including wider consultation with stakeholders	<ul style="list-style-type: none"> <li>• Access and parking</li> <li>• Enforcement</li> <li>• Signing and lining</li> <li>• Appearance of the public realm</li> </ul>	Dependent on what options are deemed appropriate and then whether a public inquiry is needed
<b>Trial of cycle access along designated routes within the Footstreets zone</b>	One of the pre-requisites for the Cycling Town Bid was that the council would seek to make their pedestrianised areas permeable to cyclists. The current signing on the edge of the zone is widely abused by large numbers of cyclists either through a lack of	Cycling groups have for some time campaigned for a designated route to be established through the Footstreets zone to cater for cross-city centre trips, however there will be opposition from groups representing both the	<ul style="list-style-type: none"> <li>• Develop detailed proposals.</li> <li>• Include within the city-wide consultation exercise mentioned in the first two proposals</li> </ul>	<ul style="list-style-type: none"> <li>• Cycling</li> </ul>	£5K to £10K

	<p>understanding as to the meaning of the signs or because they choose to ignore them. A trial of relaxing the cycling ban on one or two designated routes (to be decided) over a set timeframe of perhaps twelve or eighteen months is suggested through the use of an experimental traffic regulation order.</p>	<p>elderly and blind and partially sighted people who have already voiced their concerns. For this reason a trial is proposed which if unsuccessful can be taken out again. The use of similar trials has been used successfully elsewhere in the UK e.g. Cambridge, a trial here identified the issues to be addressed. Fewer issues materialised than envisaged and the trial managed to allay most of the concerns of other user groups prior to the decision to implement on a permanent basis.</p>			
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## Analysis

### Scheme Analysis

15. The justification for each of the proposals is detailed in Table 2 above.
16. Of the numerous schemes suggested by the study the four listed above are the most easily deliverable as they do not involve major changes to infrastructure and do not pre-empt the outcome of other studies as listed in Paragraph 3 above.
17. Even though all four schemes are deemed “first stage” they may take some time to deliver if significant opposition is encountered and there is a distinct possibility that if concerns cannot be addressed satisfactorily that a public inquiry may be required.

### Option Analysis

18. Option 1 – Progression of schemes through to detailed design. Progression of the first two schemes through consultation to detailed design will be dependent on the levels of objections from stakeholders. The signing and lining study work in itself would not be controversial but if the council do go along the route of declaring a city centre Restricted Parking Zone<sup>1</sup> or Pedestrian Zone<sup>2</sup> then this could provoke objections from businesses or other users which if they can't be satisfactorily satisfied may lead to a public inquiry. Provision of designated cycling routes through the current pedestrianised zone may not be popular with some user groups. A similar proposal in Cambridge was successfully trialled with no significant issues encountered, despite initial reticence over the proposals. Issues were able to be resolved before the cycle route was implemented on a permanent basis. A trial could take place in the Footstreets over a set time period which should identify the issues which may then lead to a scheme which all parties can sign up to, however, if this is not possible the scheme may not be pursued. Batching all four schemes together may create more objections but if a public inquiry ensues these can all be dealt with in one go thus saving time and expense.
19. Option 2 – Members may wish to consider the progression of the schemes in a phased manner rather than all at once to lessen the blow to any objectors, however, this may result in increased expenditure in the long run due to having to amend change signing and produce new literature explaining the alterations more than once. If there are significant levels of objection to any of the schemes which cannot be satisfied by tweaking the

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<sup>1</sup> Restricted Parking Zones - allow waiting and loading restrictions (which must be uniform throughout the zone) to be indicated by zone entry signs and time plates within the zone, dispensing with the need for yellow lines or kerb marks.

<sup>2</sup> Pedestrian Zones – pedestrianised areas may be subjected to similar removal of internal lines and kerb marks by providing signage on entry and repeaters throughout the zone.

proposals than any of them may lead to a public inquiry. By considering all the measures at once only one public inquiry will be needed if at all.

20. Option 3 – Members may decide that all the suggested schemes are too controversial or do not take the city centre in the direction they wish, however, the suggested schemes were formulated to address the concerns of the stakeholders. Members may also decide to progress other schemes from the list in Annex A instead.
21. Option 4 – This option can be run in parallel with all the other options and will work other suggested schemes up to a point where they can be put forward for potential implementation.

### **Consultation**

22. A great deal of consultation has taken place over the past couple of years with internal council officers and numerous stakeholder groups all of whom have an interest in the operation of the city centre. The consultation has taken the form of face to face meetings, focus groups and written submissions depending on the stakeholder groups involved. As there were a large number of stakeholders consulted who have very varied views on how the city centre should be used and who should have access there have been several views expressed which are polar opposites and the consultants have tried to take a balanced view in formulating the potential improvement schemes.
23. Consultation is also ongoing through the City Centre Renaissance project which is considering the best way to invigorate the city centre economy. The further work needed to progress the four scheme proposals to detailed design will ensure that timescales for the City Centre Renaissance, Footstreets and other City Centre studies are aligned.
24. If members are happy with the proposed initial schemes then council officers will undertake a wider public consultation to gauge York residents' views. If the outcome of this is positive then the schemes will be progressed or work started on the ones which will take longer to deliver.

### **Corporate Objectives**

24. Improvements to the city's pedestrianised area will help contribute to many of the council's corporate objectives
25. Thriving City – improvements to the public realm and extension of the Footstreet hours will help make the city centre more attractive to visitors and residents and thus may help city centre businesses through greater footfall and longer hours to spend their money during.
26. Sustainable City – walking is the most sustainable form of transport and improvements to the city centre to encourage more walking will have a positive impact. Trialling cross city-centre cycle routes will hopefully also encourage residents to cycle for some of the trips which they might currently



do by car or public transport especially if they don't have to use parts of the inner ring road to get from one side of the city to the other.

27. Safer City – removal of some traffic from the city centre if the Footstreets hours are extended will cut down the risk of casualties as pedestrians will be able manoeuvre more easily around the city without having to cross between parked lorries or with service vehicles trying to squeeze through gaps to access businesses. As discussed above if cyclists don't have to use the inner ring road then the risk to them will be reduced.
28. Inclusive City – standardisation and extension of the footstreet hours will give vulnerable road user groups a longer period over which to use the city centre in relative safety free from the majority of traffic. Trialling cycle centre cycle access routes will enable them to cross the city centre much more easily compared to the present situation.
29. City of Culture – longer footstreet hours will potentially enable more events to take place in the city centre and over a longer time period.
30. Healthy City – encouraging residents and visitors to walk and cycle will have a positive effect on the city's health and longer hours of operation will potentially reduce the potential of pedestrian / cyclist collisions with vehicles especially during the morning and evening peak periods.

### **Implications**

31. **Financial** – It is anticipated that funding for the delivery of the improvements to the footstreets will be made available from the City Strategy Capital Programme over the next few years. It is proposed to fund the £70k required for the implementation of the measures which have been costed in table 2 (Cycle access trial and operating hours standardisation/extension) from the Footstreets Review, Minor Pedestrian Schemes and City Centre Accessibility Improvements allocations in the 2010/11 programme. The allocations would be rationalised under the Footstreets Review line when the entire programme is consolidated to incorporate the carryovers from 2009/10 in a report to the Executive Member at the 6 July Decision Session.
32. Further allocations may be required if the signing and lining study being undertaken by Network Management results in a recommendation to make changes to the arrangements within the footstreets area. Proposals for the funding of any measures will be presented for approval at future decision session meetings.
33. **Human Resources (HR)** – The work generated can be accommodated into existing staff workloads.
34. **Equalities** – A full Equalities Impact Assessment (EIA) will be required for the project. Further consultation on all the recommended schemes needs to be carried out and the EIA will be undertaken as part of progressing the schemes.

34. **Legal** – Both as Local Highway and Road Traffic Authority, the Council would act within the law in talking forward any settled proposal or proposals.
35. **Property** – The Council has a number of operational and commercial properties within the Central Area so it is important that consultation takes place with the Corporate Landlord and the business tenants and occupiers of the Council's commercial portfolio on any proposals to extend the hours of operation of the Footstreets restrictions.
36. **Crime and Disorder** –Tackling crime, the fear of crime and perceptions of crime should be a fundamental issue in respect of the footstreet review. Community Safety within York City Centre extends beyond traditionally recorded crime to encompass a variety of threats and nuisance such as illegal street trading, touting, aggressive begging, busking, nuisance skateboarding/cycling, rough sleeping, car crime, petty street crime, organised retail crime, misuse of drugs and other anti-social behaviour. It is also important to recognise that the day and night time periods experience different crime and disorder issues. Research also shows that crime and community safety is a priority for businesses, visitors and residents. Making York Safer should include carefully managing the location of new evening venues in pedestrian areas in relation to toilets, taxi ranks, bus stops, takeaway premises and car parks etc. It is important to ensure that crime and anti-social behaviour is 'designed out' of all new developments within the city centre including footstreets.
37. **Information Technology** – No implications.

### **Risk Management**

38. Measured in terms of impact and likelihood, the risk score for the recommendation is less than 16 and thus at this point the risks need only to be monitored, as they do not provide a real threat to the achievement of the objectives of this report.

### **Recommendations**

39. The Executive is asked to
  - a. Note the progress thus far with the Footstreets review.
  - b. Support Option 1 to begin to progress all four suggested schemes concurrently to a point where a city-wide consultation can be undertaken and request officers to bring a further report back to Members once detailed options have been developed.
  - c. Support Option 4 to continue investigation of some of the schemes with a longer lead time.

Reason: To increase use and reduce abuse and misuse of the Footstreets by reducing confusion about the operation of the Footstreets zone, improving the appearance through reduced street clutter and

accommodating cross city centre movement by cyclists along set routes. Progression of all four schemes at once could reduce the amount of additional consultation needed.

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All

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**Annex A** – List of “first stage” schemes identified during Phase 3 of the review

**Background Papers:**

York Footstreets Review (Phase 3) Final Report – March 2010, Halcrow



Annex A - List of “first stage” schemes identified during Phase 3 of the review

Theme	Measure	Key Risks to Delivery (where appropriate)	Priority (1-4)
Hours of Operation	Standardised hours	Required weekend access to particular attractors (e.g. places of worship)	1
	Extended hours	Potential risk of public inquiry if high number of objections received from retailers or city centre residents	1
Access & Parking	Investigate ‘blue badge’ parking relocation	Change in policy likely to require lengthy consultation period, hence requirement for early consideration	3
	Clarify distinction between badges	Compliance with DfT signing regulations	3
	Amend on-street signage	Compliance with DfT signing regulations, requirement to reduce on-street clutter by minimising amount of signage	3
Signing & Lining	Reverse psychology in signage approach		3
	Update database of signs and lines		2
	Provide ‘human scale’ signage	Compliance with DfT guidelines	3
	Investigate practicalities of removal	Difficult to “trial” in a designated area without creating even more signing	1
Appearance of the Public Realm	Undertake condition survey		3
	Clarify maintenance roles and budgets	Uncertainty regarding future funding security	2
	Develop ‘Design and Reinstatement Guide’		3
Safety & Security	Continue street light renewal programme		4
	Continue ‘Windows of Opportunity’ project	Dependant on lifetime of ongoing project, outside responsibility of Directorate	4
	Graffiti removal programme	Dependant on resource availability of Street Care and Cleaning team, , outside responsibility of Directorate	3
	Establish city centre warden role	City Centre Management funding availability, acceptability of enhanced responsibility by enforcement	3

Theme	Measure	Key Risks to Delivery (where appropriate)	Priority (1-4)
Diversify Uses	Maintain and expand events provision	Expansion dependant on ability of Visit York and City Centre Management to accommodate additional events	4
	Pavement licences handbook for retailers	Outside responsibility of Directorate, dependant on priorities of Licensing Services	3
Cycling	Develop and trial cycle parking facilities	Identification of suitable sites	2
	Investigate opportunity for further provision	Locations partly influence by relative success of cycle access trial	3
	Trial of cycle access to zone	Opposition from vulnerable user groups	1
Extent & Boundary of Zone	'Concept closure' of Fossgate	Delays from consultation, potential objections to trial amongst retailers, impact on wider city centre traffic flow	3
	Design highway schemes to reduce conflicts	Compatibility with wider highway schemes and improvements proposed around the city centre	2
	Develop hierarchy for extension areas		2
Marketing & Promotion	Develop dedicated footstreets webpage	Assumes commitment for maintenance and update by either CYC or Visit York	2
	Strengthen dialogue with retailers		3



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**Executive**

11 May 2010

Report of the Assistant Director (Lifelong Learning and Culture)

**York Mystery Plays 2012****Summary**

1. This report updates the Executive on work to develop the biennial production of mystery plays in the city. It recommends that Council funding previously allocated for a production of the Mystery Plays in York Minster be reallocated to a proposed production to be undertaken jointly by York Museums Trust, York Theatre Royal and Riding Lights Theatre Company in 2012.

**Background**

2. In March 2004, following a report commissioned by the Council, it was informally agreed with partners that the city would encourage and support a two-year rolling programme for the York Mystery Plays commencing in 2006. An ad hoc group, the York Mystery Plays Co-ordinating Committee, was established to facilitate and co-ordinate the various partners in producing their element of the two year cycle of productions.
3. There were three main elements to the committee's plans:
  - The York Guilds mystery plays on wagons to be produced every four years as part of the agreed cycle: These were produced in 2006 and will take place again this year.
  - The York Youth Mysteries: Produced by the Council and partners in 2008.
  - A York Minster Mystery Plays in 2010: 10 years after the highly successful Millennium Mystery plays in the Minster.
4. The York Minster Mystery Plays have not been able to go ahead in 2010 because the organising board have not been able to secure a 6 week period in the Minster, free from capital works, between now and 2015.
5. The Council had made a grant of £75k towards the 2000 Minster production. In November 2005 the Executive agreed in principle to provide £100k to the 2010 York Minster Mystery Plays 2010 (at the rate of £20k a year over five years). York Minster Mystery Plays Board and the Council entered into a service agreement on this basis in July 2006.

## **Consultation**

6. Consultation has been undertaken with all partners through the York Mystery Plays Co-ordinating Committee chaired by the Dean. All parties are in agreement that the Council's resources should be redirected towards a 2012 production. The York Minster Mystery Plays Board have indicated that they will plan a large-scale Minster production within the biennial cycle to mark the completion of the York Minster Revealed project. For the 2012 production the committee suggested that, following their success with the Railway Children, an approach be made to the York Theatre Royal to develop an outdoors production of the Mystery Plays in 2012.

## **The proposal**

7. The York Mystery Plays 2012 Partnership, a collaboration between York Museums Trust, Riding Lights Theatre and York Theatre Royal, is proposing a major community production for August 2012 to be performed in Museum Gardens. The partnership has drawn up an artistic outline and a forecast budget, which includes the £100k previously committed to the 2010 Minster production. Advice from sponsorship experts confirms that the support from the Council is crucial to its production and fundraising ambitions, as this is a pre-requisite for other grant and sponsorship funding from other public and private bodies.
8. The vision is to create a bold, exhilarating piece of story-telling theatre on an operatic scale and to re-invigorate the tradition and the language and make these plays accessible to a modern audience: To stage the biblical stories in a way that resonates with both past and present and appeals to those of religious faith or none. A small number of high-profile actors will make a professional contribution to a large cast of community performers of all ages and backgrounds drawn from our city – The People's Mystery Plays. The aim is to bring an extraordinary and passionate performance out of our community, resourced with the highest aesthetic and production values, to remind us that the ownership of this tradition rests with the people of York.
9. The production will be the centrepiece of a colourful daytime Community Festival of related events and free performances of 'wagon' and other plays in public spaces around the city. This rolling programme of events will increase the attractiveness of a full day out in York but, most significantly, it will hugely increase the opportunities for a wide range of businesses, associations and educational groups from within the York community to collaborate in creating a memorable cultural landmark.
10. Careful consideration has been given to the idea of returning the Plays to the Museum Gardens to stage them against the ruins of St Mary's Abbey. This dramatic setting was used for most of the productions in the modern era (1951-1988) and with the ability these days to provide covered seating for the audience, the Plays can again be experienced in the context that suits them best – in the open air, against a superb backdrop with immediate links to the historical period from which this remarkable cycle of biblical plays grew.



11. In the fourteenth century from sunrise to sunset on Corpus Christi day, the Mystery Plays travelled through the streets of York on wagons, stopping to perform to gathered audiences at various 'stations'. The essential spirit of this will be captured in a wide-ranging festival of performances and events running alongside the performances in the Museum Gardens. This could include a whole variety of street performance, dance, music, film and digital art, special exhibitions and a 'medieval fayre' – all presented in ways that connect with York's Mystery Play heritage.
12. To ensure that by the summer of 2012 many aspects of this venture have been piloted, the partnership plans to instigate a series of stepping-stone activities. including appointing a York Mystery Plays Community Producer during summer 2010 whose job will be to identify and support the creation of up to 24 separate community-based "creative hubs" in York. These "hubs" will take responsibility for engaging a broad range of people to work with the professional core staff on the creation and presentation of the stories in the Mystery Plays.
13. As part of the stepping stones York Theatre Royal and Riding Lights Theatre Company will collaborate on a community production of Anthony Minguella's Two Planks and a Passion, about a community production of the Mystery Plays, on the York Theatre Royal stage in Summer 2011. The aim would be to work with up to 1,000 members of the community throughout the production.
14. The partnership has requested that the Council retains an active interest in the production of the plays in Museum Gardens through a commitment to provide in-kind support through the relevant Council departments and an advisory role on the partnership board.

### **Options**

15. The principal options are:
  - To agree the reallocation of the sum of £100k to a 2012 production in Museum Gardens to be delivered through the York Mystery Plays 2012 Partnership
  - To retain the £100k and seek alternative proposals for a production in 2012
  - To reclaim the £100k as a budget saving

### **Analysis**

16. Although it would be possible simply to reclaim the £100k there is a significant opportunity presented to us in 2012 by the conjunction of the Yorkshire Gold Year of Festivals leading up to the Olympic Games, the Queen's Diamond Jubilee celebrations, and York 800, our own celebrations of the signing of our city charter. We can use these events to put a clear focus on York as a city of culture. Furthermore, when the Minster staged their Mystery Plays in 2000 'First Stop York' estimated a value of over £1.6m to the local economy at 2000 prices.
17. Any production of the York Cycle of Mystery Plays attracts national and international interest. The Millennium production was a genuinely 'world' event

and there is every reason to expect any 2012 production to retain that status. The Mystery Plays, therefore, as well as being spiritually uplifting and a remarkable community event, have a significant benefit for the local economy, dovetailing with Visit York's objectives and supporting the City of Festivals initiative.

18. The 2000 production levered in over £1m to the city's economy (over and above the production budget). An increased level of benefit would be expected from the 2012 production given that it will be city-wide.
19. The project proposed by The York Mystery Plays Partnership would:
  - Deliver a spectacular production of the York Mystery Play in Museum Gardens as the centerpiece of a 3 week long city wide festival in August 2012
  - Ensure that many residents in local neighbourhood groups, educational groups and business associations get the chance as 'community players' to collaborate in creating a memorable cultural landmark
  - Support a wide range of performances, events and activities running alongside the performances in the Gardens and connected to York's Mystery Play heritage to provide a strong, inclusive festival feel to the city
  - By starting now, allow for a strong grounding in the local community. In their modern reincarnation it has become the tradition that the Plays are performed by a largely voluntary cast but with a professional design, direction and production team. With potentially over 400 local performers involved the earlier that the project commences its detailed planning the more likely a successful outcome is

### **Corporate Priorities**

20. The staging of the 2012 York Mystery Plays would contribute to a number of corporate objectives including strengthening local communities, developing opportunities for residents to experience York as a vibrant and eventful city, supporting an thriving economy and improving opportunities for a healthy, active lifestyle.
21. It would contribute to a range of LAA targets including:
  - % of people who believe people from different backgrounds get on well together in their local area
  - Participation in regular volunteering
  - Environment for a thriving third sector
  - Young people's participation in positive activities
  - Engagement in the arts

### **Implications**

22. **Finance:** The £100k funding already allocated to the Minster Mystery Plays in 2010, which are no longer able to go ahead, will meet the cost to the Council of supporting the 2012 Mystery Plays. That cost will remain unchanged by this report, unless the Council chose to retain the money and allocate it to other

activities or score it as a saving. However, if this were the case then the Council would certainly receive further requests for financial support for a 2012 production of the Mystery plays as part of the two-year cycle. As the £20k budget allocation for 2009/10 has yet to be paid out, the Executive will need to agree a carry forward of this amount to 2010/11.

23. The plays will cost in the region of £1m of which around half will come from box office income. The Partnership will be required to raise the balance. This is broadly the same proportion of investment / funding as was the case in 2000 and as was proposed for the 2010 Minster production.
24. The £100k would be paid out in two tranches of £50k, the first in 2010/11 and the second in 2011/12.
25. **Legal:** The Theatre Royal would be the accountable body within the York Mystery Plays 2012 Partnership. The grant of Council funding to the Theatre Royal for this purpose would be subject to the drawing up of an appropriate service agreement to be approved by the Head of Legal Services.
26. **Equalities:** There is real potential to work within the community element of the York Mystery Plays 2012 partnership proposal to support our equalities agenda of inclusive arts right across the city in neighbourhoods, voluntary groups and communities of interest.
27. The report has no implications relating to:
  - Human Resources
  - Crime and Disorder
  - Information Technology

### **Risk Management**

28. The main risk associated with this proposal is that the partnership is not able to deliver the plays in the gardens due to factors beyond its control e.g. severe weather conditions. In such circumstances the Council's grant may already have been spent on preparatory work and therefore would not be recoverable. Another area of risk would be some other failure in the delivery of the plays which could damage the reputation of the Council and / or open the Council up to liability. These risks will be mitigated as far as is possible by the service agreement which will ensure that:
  - the Council's grant is not expended before a rigorous business plan is in place
  - insurance cover is in place where practicable
  - sound operating procedures are adopted
  - the council has a seat on the partnership board
29. The risk level is medium and will therefore require regular active monitoring by Council officers.

### Recommendations

30. The Executive is asked to agree to reallocate the budget available for the 2010 Minster Mystery Plays to the York Mystery Plays 2012 partnership, subject to the drawing up of a satisfactory service agreement, and to approve the carry forward of the £20k 2009/10 budget to 2010/11.

Reason: To ensure 2012 Mysteries Play production that includes the wider community and supports our commitment to a two-year Mystery Plays production cycle.

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**Wards Affected:**

All

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**Background Papers:** York Minster Mystery Plays 2010 Report to Executive, November 2005



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**Executive****11 May 2010****Report of the Director of City Strategy****York World Heritage Site Bid: – Information Only Report****Summary**

1. This brief information report informs and updates the Executive on progress towards a York World Heritage Site bid since the Report to the Executive on 17<sup>th</sup> March 2009. It also gives details of the Stage 1 Application Form for a revised UK Tentative List of World Heritage Sites released by the Department of Culture Media and Sport (DCMS).

**Background & Context**

2. The Executive considered a Report [Progress on York and possible World Heritage status](#) at its meeting on 17<sup>th</sup> March 2009. At that meeting, Executive resolved:
3. that the DCMS's proposal to adopt a new, short UK Tentative List and the two-stage nomination and decision process to create the new UK Tentative List be supported;
4. that: (a) A Stage 1 application be submitted for nomination to the new UK Tentative List, based on Option 3 and (b) If successful at Stage 1, a Stage 2 application be submitted for nomination to the new UK Tentative List;
5. that approaches and investigations to secure partnership funding to facilitate the early appointment of a World Heritage Site Project Officer be supported;
6. that the Executive be updated on progress at each stage and that a further report on partnership, finance, timetable, HR and other arrangements be brought to the Executive if York is successful at Stage 2.

**Consultation**

7. The York World Heritage Steering Group has continued to meet during 2009 and 2010. However, no other external consultation has been carried out over the preparation and content of this Report

**Information / Update Provided**

4. The City of York responded to the DCMS in support of their consultation proposal to adopt a new, short UK Tentative List and to put in place a two-stage nomination and decision process to create the new UK Tentative List.
5. The DCMS released its response to this consultation exercise in January 2010. The Government announced that it will prepare a new UK Tentative List. The current Tentative List has been formally closed; all sites on the old Tentative List must reapply through the new application process. On the 19<sup>th</sup> March 2010 DCMS released details of the application process which is designed to produce the new Tentative List of sites in the UK and Dependent Territories.
6. The information released on 19<sup>th</sup> March 2010 included details of the Stage 1 application process. The Stage 1 application has to be made on a short, concise electronic form. The completed Stage 1 form has to be submitted to the DCMS no later than 11<sup>th</sup> June 2010. Further information may subsequently be requested from candidate sites. DCMS has in effect adopted the two-stage application process supported by the Executive decision on 17<sup>th</sup> March 2009.
7. The final Tentative List will be announced in 2011; the first nomination to UNESCO World Heritage Committee from the new Tentative List will be made in 2012.
8. The form is deliberately brief so as not to impose unnecessary costs on applicants. Short statements should be provided in response to each of the questions. The form is intended to produce summary information to identify those sites which deserve more detailed consideration, because, on the face of it, they have the potential to meet UNESCO's stringent tests. All the applications will be considered by an independent expert panel and, in some cases, further information may be sought.
9. The application form will be completed and the bid submitted by the City of York Council. The York World Heritage Steering Group will continue to meet and provide expert technical advice to officers. The Steering Group will also continue to undertake activities to promote and publicise the case for York as a World Heritage Site.
10. Further work has been and continues to be carried out on the proposed World Heritage Site boundary. The proposed boundary will generally coincide with the Central Historic Core, but will be amended where appropriate to more accurately reflect the spatial distribution of waterlogged archaeological deposits at Hungate, St George's Fields and Holgate Dock. The proposed World Heritage Site Buffer Zone will coincide with the Area of Archaeological Importance which was designated in 1984 under Part 2 of the 1979 Ancient Monuments and Archaeological Areas Act.
11. If York is successful in its bid to be included in the new Tentative List, it is possible that the City could be nominated to UNESCO in 2012. This would of course coincide with the 800<sup>th</sup> anniversary of the city gaining its charter and other important events happening in the UK in 2012.

12. Discussions will be resumed with potential partners to identify partnership funding so that an officer can be appointed who will be able to take on World Heritage roles and responsibilities if the Stage 1 bid is successful.
13. A great deal of strategic planning policy work is currently underway which could be used to create a Management Plan for a York World Heritage site. The reports which form the evidence base for the Local Development Framework (LDF), the LDF Core Strategy, the LDF City Centre Area Action Plan and the Central Historic Core Conservation Area Appraisal, together with the current work by Prof Alan Simpson and his team for the York Renaissance Economic Vision and Master plan and the future work programme of the York Renaissance Team and the York Renaissance Academy will all provide a substantial and significant platform for a Management Plan. These strategic policy documents and reports will significantly reduce the costs of making a bid to UNESCO.
14. A further report will be brought back to the Executive when the results of the Stage 1 application are known and to report on progress on identifying partnership funding.

### **Corporate Strategy**

- 15 World Heritage status will make a significant contribution to York as a Thriving City, a Sustainable City, a Learning City and a City of Culture.

### **Implications**

- 16 Any implications arising from the issues raised in this information report will be addressed within any associated decision-making reports required in the future.

### **Risk Management**

- 17 There are no risks arising from the contents of this Report

### **Conclusions**

- 18 This report is for public and Member information only.

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**Report Approved**  **Date** 29 April 2010

**Wards Affected:** *List wards or tick box to indicate all*

**All**

**For further information please contact the author of the report**

**Background Papers:**

***All relevant background papers must be listed here.***

*Executive Report* [Progress on York and possible World Heritage status](#) 17<sup>th</sup> March 2009

*Executive Report* [Should York be a World Heritage Site?](#) 24<sup>th</sup> April 2007