

**Notice of a public meeting of
Executive**

To: Councillors Gillies (Chair), Aspden, Ayre, Brooks, Dew, K Myers, Runciman and Waller

Date: Thursday, 29 November 2018

Time: 5.30 pm

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

A G E N D A

Notice to Members – Post Decision Calling In:

Members are reminded that, should they wish to call in any item* on this agenda, notice must be given to Democracy Support Group by **4:00 pm on Monday, 3 December 2018.**

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

1. Declarations of Interest

At this point, Members are asked to declare:

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

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

2. Minutes

(Pages 1 - 8)

To approve and sign the minutes of the last Executive meeting, held on 18 October 2018.

3. Public Participation

At this point in the meeting members of the public who have registered to speak can do so. The deadline for registering is **5.00pm on Wednesday, 28 November 2018**. Members of the public can speak on agenda items or matters within the remit of the committee.

To register to speak please contact the Democracy Officer for the meeting, on the details at the foot of the agenda.

Filming, Recording or Webcasting Meetings

Please note that, subject to available resources, this meeting will be filmed and webcast, or recorded, including any registered public speakers who have given their permission. This broadcast can be viewed at <http://www.york.gov.uk/webcasts> or, if recorded, will be uploaded onto the Council's website following the meeting.

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

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

4. Forward Plan (Pages 9 - 16)

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

5. York Central Enterprise Zone Investment Case (Pages 17 - 46)

The Corporate Director of Economy & Place and the Director of Corporate & Customer Services to present a report which sets out the investment case for the York Central Enterprise Zone and recommends that a capital budget be established to deliver the enabling infrastructure for York Central.

- 6. York Station Front Proposed Improvements - Public Engagements** (Pages 47 - 118)
The Assistant Director, Transport, Highways & Improvement to present a report which sets out progress to date on the above scheme and seeks approval to submit a planning application and proceed to work with partners on the detailed scheme in the Spring.
- 7. Rugby League World Cup 2021** (Pages 119 - 124)
The Interim Corporate Director, Children, Education & Communities to present a report which asks Executive to agree the council's financial contribution to York's bid to be a host city for the Rugby League World Cup in 2021.
- 8. Older Persons' Accommodation Programme - A Further Phase** (Pages 125 - 136)
The Corporate Director of Health, Housing & Adult Social Care to present a report which gives an update on the provision of older persons' accommodation across the city and asks Executive to agree the direction of the next phase of the Programme.
- 9. The Inclusion Review and the Special Needs Capital Grant** (Pages 137 - 150)
The Interim Corporate Director, Children, Education & Communities to present a report which provides an update on the review of processes and provision for children with special educational needs and / or disabilities (SEND) and seeks approval for projects forming part of the SEND scheme in the Children's Services capital programme.
- 10. 2018/19 Finance and Performance Monitor 2** (Pages 151 - 178)
The Deputy Chief Executive / Director of Customer & Corporate Services to present a report which details the council's overall finance and performance position for the period 1 July 2018 to 30 September 2018.
- 11. Capital Programme Monitor 2, 2018/19** (Pages 179 - 198)
The Deputy Chief Executive / Director of Customer & Corporate Services to present a report which sets out the projected out-turn position of the council's capital programme for 2018/19, along with requests to re-profile budgets to and from current and future years.

12. Treasury Management Mid Year Review and Prudential Indicators 2018/19 (Pages 199 - 214)

The Deputy Chief Executive / Director of Customer & Corporate Services to present a report which provides a mid-year update on treasury management activities for the period 1 April to 30 September 2018.

13. Lord Mayoralty 2019-20 (Pages 215 - 220)

The Assistant Director, Legal & Governance, to present a report which asks Executive to consider the points system for the annual nomination of the Lord Mayor of York and to confirm that the political group with the most points be invited to make the nomination for the coming municipal year.

14. Maladministration Finding (Pages 221 - 240)

The Monitoring Officer and / or the Interim Corporate Director of Children, Education & Communities to present a report which complies with the statutory duty to report a finding of maladministration made by the Local Government and Social Care Ombudsman.

Note: As this item has been on the Forward Plan for less than 28 days before the meeting, it has been included on the agenda under the council's urgency procedures. The reason for the urgency is the need to ensure that the Executive receives the Ombudsman's report within the statutory timescale.

15. Urgent Business

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

Democracy Officer:

Name: Fiona Young

Contact details:

- Telephone – (01904) 552030
- E-mail – fiona.young@york.gov.uk

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

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

Contact details are set out above.

This information can be provided in your own language.

我們也用您們的語言提供這個信息 (Cantonese)

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

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

Bu bilgiyi kendi dilinizde almanız mümkündür. (Turkish)

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

 **(01904) 551550**

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City of York Council

Committee Minutes

Meeting	Executive
Date	18 October 2018
Present	Councillors Gillies (Chair), Aspden, Ayre, Douglas, K Myers, Runciman and Waller
Apologies	Councillor Dew
In Attendance	Councillors D'Agorne and Looker

Part A - Matters Dealt With Under Delegated Powers

52. Declarations of Interest

Members were asked to declare at this point in the meeting any personal interests not included on the Register of Interests, or any prejudicial or disclosable pecuniary interests, that they might have in the business on the agenda. No additional interests were declared.

53. Exclusion of Press and Public

Resolved: That the press and public be excluded from the meeting should any discussion arise on Annex 2 to agenda item 9 (Duncombe Barracks, Burton Stone Lane), on the grounds that it contains information relating to the financial or business affairs of any particular person (including the authority holding that information). This information is classed as exempt under Paragraph 3 of Schedule 12A to Section 100A of the Local Government Act 1972 (as revised by the Local Government (Access to Information) (Variation) Order 2006).

54. Minutes

Resolved: That the minutes of the Executive meeting held on 27 September 2018 be approved and then signed by the Chair as a correct record.

55. Public Participation

It was reported that there had been four registrations to speak at the meeting under the Council's Public Participation Scheme.

Brian Watson spoke on matters within the Executive's remit. He queried whether the Executive had ever responded to or discussed questions he had asked at previous meetings, particularly about the Community Stadium.

Gillian Vance spoke in relation to Agenda Item 6 (Planning for the Possibility of a 'No-deal' Brexit), on behalf of York for Europe. She expressed the view that the report underestimated some of the risks of Brexit and urged the council to create a specialist 'Europe Officer' post and to support calls for a 'People's Vote'.

Cllr Barbara Boyce also spoke on Agenda Item 6, in a personal capacity. She expressed sadness at the prospect of leaving the EU and fears for the consequences, stating that the effects of Brexit on the lives of York citizens should not be underestimated.

Andrea Dudding spoke on Agenda Item 7 (Attendance Management and Well Being, as Lead Convenor & Branch Secretary of UNISON. She stated that the union had not been consulted, contrary to paragraph 38 of the report, and objected to the proposal to engage an external company to reduce absence levels, as this would not address the root causes of the issue.

56. Forward Plan

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

57. Planning for the Possibility of a "No-deal" Brexit

The Chief Executive and the Head of Corporate Policy & City Partnerships presented a report which outlined the discussions and activities under way in York to plan for the possibility that the UK might exit the European Union (EU) without an agreement in place.

In the event of such a 'no-deal Brexit', EU law, regulations and trade agreements would cease to apply to the UK immediately upon exit. The report examined the potential effects in York of this particular scenario that would require a response in the short term. It noted that the council was also working alongside regional partners to consider the wider impacts of Brexit.

Data from the 2011 census indicated that York had a relatively low proportion of EU migrants living in the city, so may be less affected than some other places by a reduction in EU workers. York's buoyant economy also meant it was better placed than many other cities to weather any negative effects. However, a no-deal Brexit could still have a significant financial impact on the council.

The Leader, Deputy Leader and Opposition Group Leaders expressed their own views on the issues but were agreed on the need to prepare and be kept informed. Having noted the comments made under Public Participation, it was

Resolved: (i) That the discussions and activities under way be noted.

(ii) That a further update be brought to the Executive meeting in December.

Reason: To ensure that York is as prepared as possible in the event of a 'no-deal' Brexit.

58. Proposed Temporary Uses of Part of Castle Car Park

The Assistant Director, Communities & Equalities presented a report which sought approval for two proposed temporary uses of part of the Castle Car Park during 2019.

The first proposal was from Lunchbox Theatrical Productions (LTP), for another season of the pop-up Rose theatre and 'taste village' successfully hosted on the site in 2018. The relevant dates were 26 May to 10 September 2019, inclusive of set up and take down. About 153 car park spaces would be needed, with LTP to pay the council at a rate of £1,047 per day. The second was from Bifrost Entertainments, to install a Viking themed theatrical experience on the car park between 8 January and 3 May, with a Viking Great Hall and courtyard theatre. This would need about 100 spaces. The charge would

be £136,500 in total, with payment to be scheduled in stages and a deposit paid upfront, to reflect the fact that this was a new type of venture with greater commercial risk. Both proposals were considered to fit with the Castle Gateway masterplan for the area, as detailed in paragraphs 13-15.

In response to questions from Members, officers confirmed that Bicroft must make their initial payment before coming on site and this would depend on sufficient advance ticket sales. A large number of school children had attended shows at the Rose, as indicated in paragraph 5 of the report, and LTP were working closely with York Museums Trust to address the issues with visibility of the Castle Museum mentioned in paragraph 7.

Resolved: (i) That the proposed uses of part of the car park be approved, subject to planning permission and other relevant statutory approvals and, in the case of the Viking Hall proposal, the additional measure set out in paragraph 38 of the report.

Reason: To enable these proposals, which represent significant additions to York's cultural offer, to proceed.

(ii) That authority be delegated to the Assistant Director, Legal & Governance, to draw up the necessary leases.

Reason: In order to move the process forward.

59. Attendance Management and Well Being

The Deputy Chief Executive / Director of Customer & Corporate Services presented a report which provided an update on current activities to manage attendance and support well-being across the council and proposed arrangements to appoint a dedicated team to achieve a reduction in absence levels.

Despite the measures already introduced, as outlined in paragraphs 5 to 8 of the report, sickness levels across the council had increased from 10.2 days in 2016/17 to 11.5 days in 2017/18. Details were provided in paragraphs 13 to 20, with a breakdown of variations across departments in Appendix 1.

It was proposed to set a target to reduce sickness absence figures by a third, to align them more closely with the public sector average of 8.5 days per annum, by means of a dedicated team to focus on attendance. Two options were available, as detailed in paragraphs 34-36:

Option 1 – an in-house team, with staff employed by the council.
Option 2 – external provision by a specialist company. This was the recommended option, as it would achieve the target sooner.

In response to comments made under Public Participation and questions from Members, officers accepted that a further discussion should have taken place with union representatives on the proposals and confirmed that unions would be involved in the process going forward. Concerns were raised that a ‘100% risk’ contract, as mentioned in paragraph 36 of the report, could provide a financial incentive to return unwell staff to work prematurely.

Resolved: That approval be given to engage with an external provider, as outlined in Option 2, to provide a dedicated service (selected through the council’s procurement process) for a 2 year period, to reduce sickness absence, with the caveat that a contract with 100% risk to the provider be avoided.

Reason: To support the council in achieving a one-third reduction in its sickness absence rates by April 2021 and to transfer skills and knowledge to internal managers during this period.

60. Duncombe Barracks, Burton Stone Lane

[See also under Part B]

The Assistant Director of Housing & Community Safety presented a report which set out proposals to purchase part of the Duncombe Barracks site on Burton Stone Lane from the Reserve Forces and Cadets Association (RFCA), in order to deliver a mixed-tenure housing development, with 40% affordable housing.

The RFCA had offered the council first option to purchase the site, which had been registered as surplus to requirements by the Ministry of Defence (MoD).

The following options were considered, as set out in paragraphs 13-15 of the report and discussed in paragraphs 16-27:

Option 1 – purchase the site before obtaining planning consent. Although not the council's usual practice, this was the recommended option as it would secure ownership at the earliest opportunity, bringing the benefits detailed in paragraph 18.

Option 2 – purchase the site subject to obtaining planning consent.

Option 3 – withdraw the council's interest in purchasing the site.

Resolved: (i) That Option 1 be approved and the site be purchased (subject to contract) prior to residential planning consent being obtained and with preliminary ground investigations and surveys to be undertaken before completion of the purchase.

(ii) That the site be added to the scope of the Housing Delivery Programme, as approved by Executive in July 2018.

Reason: In order to develop a mixed tenure housing development, including 40% affordable housing, and a future income for the council from rents and sale receipts.

Part B - Matters Referred to Council

61. Duncombe Barracks, Burton Stone Lane

[See also under Part A]

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The following options were considered, as set out in paragraphs 13-15 of the report and discussed in paragraphs 16-27:

Option 1 – purchase the site before obtaining planning consent. Although not the council's usual practice, this was the recommended option because it would secure ownership at the earliest opportunity, bringing the benefits detailed in paragraph 18.

Option 2 – purchase the site subject to obtaining planning consent.

Option 3 – withdraw the council's interest in purchasing the site.

Recommended: That Council approve a capital budget of £2.55m to fund the purchase of Duncombe Barracks and the detailed survey and design work necessary to bring forward the site to a full planning application.

Reason: In order to develop a mixed tenure housing development, including 40% affordable housing, and a future income for the council from rents and sale receipts.

Cllr I Gillies, Chair

[The meeting started at 5.35 pm and finished at 6.45 pm].

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Forward Plan: Executive Meeting: 29 November 2018

Table 1: Items scheduled on the Forward Plan for the Executive Meeting on 20 December 2018

Title and Description	Author	Portfolio Holder
<p>Construction Charter Purpose of Report To seek approval for the introduction of a minimum standards charter in respect of construction projects procured by the council.</p> <p>Executive will be asked to:</p> <ul style="list-style-type: none"> • Adopt the charter • Agree that the Council ensures all potential and existing contractors are aware of the charter • Agree that the council monitors performance of contractors against the standards included in the charter. 	Debbie Mitchell	Executive Leader (incorporating Finance & Performance)
<p>Approval to Appoint Construction Contractor for Centre of Excellence for Disabled Young People at Lincoln Court Purpose of Report To update the Executive on the progress made on the two projects and seek agreement to jointly procure a contractor. The report will provide information on the procurement strategy, which has been run as a combined procurement for one contractor to work on the two projects concurrently, plus an update on the planning application and a project timetable.</p> <p>Executive will be asked to:</p> <ul style="list-style-type: none"> - Note the progress made to date on the projects - Note the benefits of procuring one contractor to deliver both projects - Seek approval to procure a contractor in line with procurement strategy. 	Vicky Japes	Executive Member for Adult Social Care & Health and Executive Member for Education, Children & Young People

Title and Description	Author	Portfolio Holder
<p>Delivering Social Value Purpose of Report To present a corporate social value policy for the council, which has been developed to communicate the approach to social value both internally and externally. It will be used to explain to residents, suppliers and other stakeholders what we expect when they work with the council.</p> <p>Executive will be asked to: approve the policy.</p>	Debbie Mitchell	Executive Leader (incorporating Finance & Performance)
<p>A1237 Dualling Update Purpose of Report To update Members on the progress of the project to dual the Outer Ring Road following the announcement made by the Minister of Transport that upgrading a section of the A1237 would be one of the first schemes to be delivered using the new Major Road Network fund.</p> <p>Executive will be asked to:</p> <ul style="list-style-type: none"> - Recommend to Council the inclusion of match funding in the Capital Programme for dualling of the first phase of the ring road from the A19 to the Little Hopgrove roundabout. - Approve the expenditure of the local funding on further development of the scheme in advance of confirmation of funding from the Dept. for Transport. - Approve the development of the dualling design to ensure full integration with the current West Yorkshire plus Transport Fund roundabout upgrade project. 	Tony Clarke	Executive Member for Transport & Planning
<p>Planning for the Possibility of a ‘No-deal’ Brexit – Update Purpose of Report To update Executive on activities to ensure the council is as prepared as possible in the event of an exit from the EU without a withdrawal agreement.</p>	Will Boardman	Executive Leader (incorporating Finance & Performance)

Title and Description	Author	Portfolio Holder
Executive will be asked to: note the discussions and activities under way and identify any other actions which the council should pursue at this time.		

Table 2: Items scheduled on the Forward Plan for the Executive Meeting on 17 January 2018

Title and Description	Author	Portfolio Holder
<p>Annual Discretionary Rate Relief Decision Paper Purpose of Report To propose any new awards of discretionary rate relief for the period 2019-2021.</p> <p>Executive will be asked to: consider any new applications against the budget available and approve any new awards.</p>	David Walker	Executive Leader (incorporating Finance & Performance)
<p>A Cultural Strategy for York Purpose of Report An extensive engagement exercise has produced a seven year development plan to ensure that:</p> <ul style="list-style-type: none"> • York will be internationally recognised for its exceptional heritage and unique arts offer. • Residents and businesses in York will benefit from York’s unique cultural offer, leading to greater investment and participation in the city. • The cultural offer for York’s residents will be expanded beyond the city centre. • All citizens, irrespective of age or background, will be proud to be engaged with York’s arts and heritage offer, which will include a wide range of inclusive opportunities. <p>Executive will be asked to: approve the plan.</p>	Charlie Croft	Executive Member for Culture, Leisure & Tourism
<p>Housing ICT Programme – Sign Off for Chosen Housing ICT Solution Contract Purpose of Report To set out the proposed chosen IT solution that has been selected as part of the full Housing ICT Programme procurement process for a replacement Housing and Building Service ICT system, including a summary of the tender process, who submitted bids, and a summary of overall scores.</p>	Daniel Keenan	Executive Member for Housing & Safer Neighbourhoods

Title and Description	Author	Portfolio Holder
<p>Executive will be asked to: sign off for signing of a 5-year contract with a chosen supplier for a contract value over £500,000.</p>		
<p>The Sale of Land to Facilitate the Transfer and Transformation of Haxby Hall Care Home Purpose of Report To update Members on the outcome of the procurement process for a care provider for Haxby Hall Care Home, and to seek approval for the provider to be granted a 125 year lease for the site.</p> <p>Executive will be asked to:</p> <ul style="list-style-type: none"> - Note the appointment of the Preferred Bidder as the new residential care provider for Haxby Hall Care Home - Note that the provider will enter into a contract to provide 9 residential beds for people living with dementia for 10 + 5 years at Actual Cost of Care at the Haxby Hall site - Agree to grant the Provider a long lease of the site for a term of 125 years in return for the council receiving payment of a premium, which will enable the provider to improve, redevelop and transform the existing care home. 	<p>Tracey Carter and Vicky Japes</p>	<p>Executive Leader (incorporating Finance & Performance)</p>
<p>Re-procurement of Occupational Health Services for City of York Council Purpose of Report To make Members aware that the current occupational health contract comes to an end in June 2019, to clarify the ongoing need for an occupational health service and to seek permission to re-procure.</p> <p>Executive will be asked to: approve the re-procurement.</p>	<p>Kay Crabtree and Trudy Forster</p>	<p>Executive Leader (incorporating Finance & Performance)</p>

Title and Description	Author	Portfolio Holder
<p data-bbox="91 186 1312 264">The Implication of the Government Announcing the Lifting of the Housing Revenue Account (HRA) Borrowing Cap</p> <p data-bbox="91 268 405 304">Purpose of Report</p> <p data-bbox="91 308 1344 386">To provide an overview of the implications of the government announcement that the borrowing cap on the HRA has been lifted.</p> <p data-bbox="91 427 1370 505">Executive will be asked to: agree to the principle of appropriating the General Fund Sites to the HRA and the way this will be funded.</p>	<p data-bbox="1451 186 1697 264">Tom Brittain & Patrick Looker</p>	<p data-bbox="1778 186 2085 304">Executive Member for Housing & Safer Neighbourhoods</p>

Table 3: Items Slipped on the Forward Plan

Title & Description	Author	Portfolio Holder	Original Date	Revised Date	Reason for Slippage
Annual Discretionary Rate Relief Decision Paper <i>See Table 2 for details</i>	David Walker	Executive Leader (incorporating Finance & Performance)	29/11/18	17/1/19	To allow additional time for some voluntary organisations to get their applications back so they do not miss out on this crucial funding.
The Sale of Land to Facilitate the Transfer and Transformation of Haxby Hall Care Home <i>See Table 2 for details.</i>	Tracey Carter and Vicky Japes	Executive Leader (incorporating Finance & Performance)	29/11/18	17/1/19	To enable officers to work up options for the recommendations.
Re-procurement of Occupational Health Services for City of York Council <i>See Table 2 for details.</i>	Kay Crabtree and Trudy Forster	Executive Leader (incorporating Finance & Performance)	29/11/18	17/1/19	To enable further detailed work to take place with regard to the procurement requirements.

<p>Revised Housing Revenue Account (HRA) Business Plan Purpose of Report Following the report to Executive in July on the Housing delivery programme and the intention to appropriate the general fund sites into the HRA to build housing, there is a need to revise the business plan to insure that it reflects the ability to build the sites out.</p> <p>Executive will be asked to: approve the revised HRA Business Plan.</p>	<p>Tom Brittain & Patrick Looker</p>	<p>Executive Member for Housing & Safer Neighbourhoods</p>	<p>29/11/18</p>	<p>14/2/19</p>	<p>Following the Prime Minister's announcement that the government intend to lift the HRA borrowing cap, it is prudent to wait until the detail behind that announcement is clear before amending the business plan. It is envisaged that the detail will be available by Christmas and so the HRA business plan report will be brought to Executive in February 2019.</p>
<p>Planning Enforcement Update Purpose of Report To outline current working practices in enforcement, recent changes and reviews going forward.</p> <p>Executive [Member] will be asked to: note the changes and reviews going forward.</p>	<p>Rob Harrison</p>	<p>Executive Member for Transport & Planning</p>	<p>29/11/18</p>	<p>14/3/19</p>	<p>Due to further work and clarification this report will now be considered by the Executive Member for Transport and Planning at the Decision Session on 14 March.</p>



Executive**29 November 2018**

Joint report of the Director of Economy and Place and the Director of Corporate and Customer Services

Portfolio of the Executive Member for Finance and Performance and Executive Member for Economic Development & Community Engagement

York Central Enterprise Zone Investment Case**Summary**

1. York Central is a 72 hectare (ha) area of land adjacent to the railway station and is one of the largest brownfield sites in northern England, see plan at Annex 1. It provides a huge opportunity for regeneration providing new homes, Grade A commercial office space, an enhanced National Railway Museum and a range of new public spaces and facilities.
2. The scheme is being promoted by the York Central Partnership (YCP) which is made up of Network Rail (NR) Homes England (formerly the Homes and Communities Agency or HCA), the National Railway Museum (NRM) and the City of York Council (CYC).
3. This report sets out the investment case for the York Central Enterprise Zone (EZ) and makes a recommendation to establish a capital budget to support the delivery of the enabling infrastructure to bring the scheme forward.

Recommendations

4. Executive is asked :-
 - i. To recommend to full council a total capital budget of £155m, including an additional contribution from the Council of £35m to deliver the enabling infrastructure and open up York Central for the delivery of the masterplan and for future allocation of this budget to be agreed by Executive.
 - ii. To allocate £1m of additional business rates income, from the 18/19 LCR business rates pilot, to the Venture Fund
 - iii. To agree approval of up to £3m of the Venture Fund to be used to finance early years deficits on the revenue costs of borrowing related to

the £35m CYC contribution, this being repaid from future Enterprise Zone receipts

- iv. To agree prudential borrowing of £35m with this being financed from future retained business rates as part of the York Central Enterprise Zone, plus in early years the use of Venture Fund referred to separately.

Reason: - To ensure the delivery of York Central and to provide funding for enabling infrastructure including a new access route to York Central within the timescale of available grant funding

Background

5. The delivery of York Central is essential to the growth of York, contributing significantly to the growth of the regional economy, through the provision of high quality office space, and to meeting housing need in the city. Though the site has been earmarked for regeneration for many years, previous attempts to deliver the scheme have not come to fruition and we are now poised to seize this once in a lifetime opportunity to make this development a reality.
6. York Central Partnership (YCP) is a partnership of landowning bodies on the York Central site and is comprised of Network Rail, Homes England National Railway Museum and CYC. Over the last 3 years YCP have developed a comprehensive masterplan for the 72 ha site and are currently awaiting the determination of an outline planning application for the 45ha main site to the west of the railway station, which will deliver up to 112,000 sq m of commercial space and up to 2500 homes as well as a large park, public squares and an expanded Railway Museum (over a net developable area of c25ha). Delivery of the site is central to the Strategic Economic Plans (SEPs) for both LEPS and has enjoyed wide spread national and regional support with it's' designation as both a Housing Zone and an Enterprise Zone.
7. Extensive local consultation and engagement has been undertaken ahead of the planning process which has shown significant support for the scheme despite its many challenges. Previous attempts by the market to bring a scheme forward on this site have foundered and given the unique risk profile of the site it will require public sector leadership and ownership to bring the site forward for development.
8. There have been a number of developments which have finally enabled the scheme to be brought forward :-
 - i. The establishment of the York Central Partnership bringing together all the public sector land owners
 - ii. Assembling the land for redevelopment and commencing the clearing of operational rail use

- iii. Establishment of Housing Zone Status which has brought investment from Homes England to support the delivery of housing on the site.
 - iv. Establishment of the Enterprise Zone which brings with it the potential to retain the additional business rates generated from the site to allow investment in delivering economic growth on the site.
 - v. Securing significant enabling funding from a range of government agencies including the WY+TF, YNYER LEP, Leeds City Region LEP, the One Public Estate Programme, Homes England and the Ministry of Housing, Communities and Local Government (MHCLG).
9. The site has significant infrastructure challenges. It is entirely circumscribed by rail lines, with the rail station at the bottom of the teardrop of land. The East Coast Main Line (ECML) forms a barrier to the north and east, and the Freight Avoiding Lines (FAL) to the south and west. Current access roads onto the site run through minor residential streets in the Salisbury Terrace area, or through the Leeman Road Tunnel and have limited capacity and low bridges, limiting access for high vehicles. They are not suitable to serve a comprehensive re-development of York Central. It is therefore necessary for a new access route into the site to be constructed.
10. It is a priority for all partners to accelerate the delivery of York Central in order to:-
- i. Deliver a significant quantum of much needed mixed tenure housing within the local plan period
 - ii. Deliver essential commercial space to promote economic growth
 - iii. Maximise the ability to facilitate development through retained business rates from the EZ, by early phase build out of commercial space
 - iv. Achieve early land receipts to cover the costs of bringing the site to market
 - v. Undertake capital highways spend before the end date of the WYTF spend deadline in March 2021

Enterprise Zone Investment case

11. This report recommends the creation of a budget totalling £155m to fund core abnormal site infrastructure on York Central and allow viable development to proceed. This would be funded by a combination of external grants, contributions, previously agreed approvals and also significant new borrowing. The financial implications are therefore key in supporting the decision making process. The proposal has the support of the YNYER LEP Board and will go on from Executive to full council in December 2018. Other funding decisions will be taken by WYTF in February and by MHCLG for HIF by March 2019.
12. The Investment case is constituted from

- a. Infrastructure Costs
- b. Funding Strategy
- c. Enterprise Zone Borrowing and Funding
- d. Economic Rationale
- e. Development Appraisal
- f. Phasing
- g. Developer Strategy
- h. Governance
- i. Delivery Programme

Financial Approvals to Date

13. Network Rail has already spent £4.4m on land assembly and rail clearance. Homes England has committed £18.9m towards land assembly and has contributed a further £200k towards the planning costs of the site. In addition Homes England is investing heavily in the establishment of a dedicated delivery team. Though some of this investment is backed by asset acquisitions these will not be realised unless the scheme is developed out so are “at risk” at this stage.
14. The NRM have spent £1.14m on the master planning of their museum development scheme supported by a CYC grant of £200k and they continue to fundraise. As an important cultural anchor they will continue to help shape the overall scheme and integrate their plans with the development of York Central, but their role differs from the major land owners NR and Homes England and from the Council as the custodian for a new part of the city and an enabler of the future scheme. As a Charitable organisation, NRM cannot undertake any development activity on non-Museum land, so NRM will not share in either the York Central development costs or receipts. The NRM have disposed of their surplus land assets to the Homes England in order to integrate them into the overall scheme and facilitate the early phases of their £50m development plans.
15. In December 2013 Members agreed to earmark £10m towards the delivery of York Central. Currently £5,338k has been released to support technical work, masterplan development through to planning, land acquisition costs and site preparation works. There have also been grant contributions from WYTF, Homes England, One Public Estate, Leeds City Region LEP, YNYER LEP and DCLG Enterprise Zone funding. These combine to total £10,349k shown in the table below:

	£'000	£'000
CYC – (£10m Allocation)		
Land purchase approval	1,014	
NRM Masterplan contribution	200	

Other Approvals *	<u>4,124</u>	
Total CYC		5,338
YNYER LEP *		2,890
WYTF Contribution		947
OPE Grant		250
Homes England Grants		689
LCR LEP Grant		200
DCLG EZ		35
Total Funding Available		10,349
*Additional £2,390k grant awarded by YNYER since August 2018 report replaces CYC funding		

Table 1 York Central Funding

16. Actual expenditure to October 2018 and forecast

	Expend £'000
2015/16	112
2016/17	1,565
2017/18	2,197
2018/19 Actual to date	2,127
Estimate 2018/19	4,348
Total	10,349

Table 2 York Central Expenditure

17. These approvals take the project through to the end of the financial year and to the point prior to scheme delivery which require further approvals.
18. Any CYC funding will be at risk until a Partnership Agreement is signed and if the HIF funding is not forthcoming and if the scheme does not go ahead then this funding may be abortive. Should the scheme ultimately not be delivered then an element of these costs would be classed as abortive and need to be written off back to revenue. The estimated liability would total £3,324k based on the full spend of £10,349k at the end of March

Infrastructure Capital Cost

19. The York Central site is heavily constrained by abnormal infrastructure costs, principally related to providing site access, but also related to the brownfield nature of the site. These costs have inhibited the ability of the market to deliver the scheme in the past. A detailed appraisal of these core 'off plot' abnormal infrastructure costs has been undertaken and a cost of £155m determined. This infrastructure includes the new access bridge, highway cycle and pedestrian routes into and through the site, a new station entrance, a 5.5 ha park, 3 public squares with enabling ground works, site clearance, remediation and utilities supply. The masterplan is predicated on overcoming site

constraints and early provision of quality place making infrastructure which will be built out early in the development timetable to increase market confidence, encourage occupiers to the site and also optimise value from each plot. The infrastructure works are organised into logical packages of lots that will allow for efficient procurement and delivery programme whilst optimising market exposure.

20. The indicative breakdown of the key elements of the infrastructure scheme are as follows

	£'000
Enabling Works including site clearance, utility diversions, Millennium Green preparation	11,200
Phase 1 Infrastructure including bridge access onto site, new spine road, drainage	75,800
New Park	19,000
Museum Square and Boulevard	14,400
Southern Access to Site	4,800
Compliant Station Access	3,200
Full Western Station Entrance	17,400
Leeman Road Tunnel, Marble Arch Link	1,700
Leeman Road East	700
Utilities into site	6,800
Total Infrastructure	155,000

Table 3 Total Infrastructure Costs

21. The cost plan includes allowances for inflation to the mid point of construction as well as risk and contingency allowance across the infrastructure packages. Core costs also include prelims, contractor's overhead & profit and professional fees. The cost plan will continue to be iterated as the scheme progresses, and opportunities for cost efficiencies, value engineering, and savings through the sequencing and timing of provision will continue to be explored. It should be noted that there is also scope for costs to increase and unknown issues to be encountered as the scheme progresses. Opportunities to add further commercial and social value to the development through the available funding streams will also be explored as the scheme progresses, alongside the project's relationship with wider development opportunities including land to the front of the railway station.
22. This abnormal enabling infrastructure cost of £155m means that without significant public funding the site is simply not viable and the compound risks of preparing the site for development are not likely to be acceptable to the market. It is therefore proposed that the YCP, having undertaken the enablement and funded the work to date, continue to take the role of infrastructure deliverer for the first phase of infrastructure (CYC) and master developer (NR and Homes

England as the predominant land owners on the site), in order to de-risk the project and bring it within viable financial parameters. Through doing this, the partnership will also exert influence over the timing, nature and quality of development, to optimise fit with policy and corporate objectives whilst respecting the important relationships with local communities, the rest of the city and the historic setting of the site.

23. CYC have commenced the procurement of a construction partner using the YorCivil2 framework with an expectation of early appointment of a contractor to feed in to detailed design work in February 2019, early pre-construction works commencing in March 2019 and with a target of signing the main construction contract in July 2019.

Funding Strategy

24. The high level funding proposal for the infrastructure spend is shown below

	£'000	£'000
CYC		
Approved Budget	10,000	
Less allocated	<u>(5,338)</u>	
		4,662
CYC Borrowing – Enterprise Zone		35,000
Housing Infrastructure Fund		77,100
YNYER LEP		3,110
WYTF Contribution		23,500
Balance – Developer Contributions, further grant funding sources, Cost Control		11,628
Total Funding Available		155,000

Table 4 Total Funding Available

25. Looking at each of the funding sources

CYC Approved budget £4.662m

This funding, originally part of the council's EIF, was agreed by Council in December 2013 in order to develop York Central. There have since been specific allocations of £5,338k agreed to fund land acquisition, technical and master planning work and site preparation works.

CYC Borrowing – Enterprise Zone £35.0m (this approval)

This borrowing is recommended based on the assumed level of business rate capture across the Enterprise Zone. The detailed analysis is shown across paragraphs 26 to 37

Housing Infrastructure Fund (HIF) £77.1m

Homes England are the administering body for the Housing Infrastructure Fund (HIF) and CYC are mid way through the co development stage of the MHCLG HIF bidding process with a £77.1m capital grant bid to support the delivery of the project. This is based on the development appraisal of the site showing that without Public Sector Grant Support the site is undeliverable. The bid is expected to be submitted in December 2018 with an associated decision on funding in February/March 2019. HIF is an important part of the overall funding for the infrastructure and the delivery of infrastructure is wholly reliant on success of this bid.

York, North Yorkshire and East Riding (YNYER LEP)

The YNYER have in principal approved £7.5m of Growing Places Funding towards the development of York Central and surrounding area. To date £1.5m has been allocated to the scheme at Scarborough Bridge and £2.89m been provided to fund development costs. There remains £3.11m available subject to final sign off at the LEP.

West Yorkshire Transport Fund (WYTF) £23.5m

The West Yorkshire Combined Authority has approved the inclusion of the York Central Access (York Central + Station Frontage) scheme in the West Yorkshire Transport Fund Programme. This includes the access road and bridge on the site as well as the demolition of Queen St. Bridge and improvements at the front of the station. The proposed contribution for the infrastructure at the rear of the station is £23.5m and would be available to the scheme subject to formal sign off through the WYTF Assurance process at West Yorkshire Combined Authority.

Residual Balance - External Contributions (£11.628m)

The balance of funding of £11.628m is as yet to be determined. There are a number of ways this gap can be managed. This will include

- Cost review – all the costs included in the infrastructure plan are estimates and include levels of contingency/optimism bias. These will need to be managed so that if cost savings can be made these are banked to support later phases of the infrastructure.
- External Funding Opportunities – There are a number of further funding initiatives that the scheme may be able to bid for. This includes Transforming Cities which is available to fund improvements in Transport Connections. Further opportunities could arise from European Funds backed by the European Structural and Investment Fund. There may be further opportunities for further support from LEPs / WYCA / Homes England Funds.
- Developer Contributions - In practice the infrastructure delivered into the scheme will enable developers to proceed with plot development therefore it can be expected that s106 contributions may be available to fund elements of the infrastructure.

- Land Values - there is also the potential for funding from the Partners land receipts should circumstances permit.

The release of capital budgets for infrastructure phases relying on this funding will only be provided when the funding becomes secure.

Enterprise Zone Borrowing and Funding

26. The granting of an Enterprise Zone on the site at York Central allows the council to retain 100% of business rates uplift to 2042 at the site. This potentially provides ongoing revenue that allows the council to borrow to fund a proportion of the total infrastructure costs. Modelling undertaken assumes that the full debt is drawn down in 2022/23 once HIF and WYCA funding has been used, and is then repaid over a 19 year period.
27. The level of income available from retained business rates will depend on a number of variables. The key ones being
- Amount of Commercial Space made available on the development
 - Speed of delivery of the commercial units and letting
 - Rateable Value of properties within the development

There have been a number of models run with varying sensitivities on the above with one “base case” and three additional scenarios are shown below

Scenario	Commercial Space	Delay	RV
Base	Low	None	Average
1	Low	Delay + 3yrs	Low
2	High	Delay + 2yrs	Low
3	Medium	Delay + 3 yrs	High

Table 5 Modelling scenarios

28. The result of the modelling shows that a borrowing level of £35m is affordable and can be repaid under each scenario. There are however potentially significant early year deficits where borrowing costs are higher than revenues. It is proposed that these are funded from Venture Fund and Business Rates Pool with appropriate financing charges applied.

29. The cash flow detail of the models is summarised below

All figures £'000	Base	1 Min Commercial	2 Max Commercial	3 Medium Commercial
Gross Rates	77,686	62,589	109,178	94,510
Debt Costs	-56,620	-56,620	-56,620	-56,620
Internal	-63	-5,183	-627	-1,636

Financing				
Net Rates	21,003	786	51,931	36,254
Max Cum deficit	-751	-11,431	-4,940	-8,159

Table 6 EZ Modelling results

30. The table above shows that across all scenarios the £35m investment is potentially affordable and provides a net surplus of business rates over the period of the Enterprise Zone scheme. The revenues vary according to the sensitivities whilst the debt costs remain constant across all scenarios. The internal financing costs are linked to the deficits should they occur. These are more significant with the longer delays in build out as debt costs are being incurred without offsetting revenues. The modelling shows significant deficits in Model 1 and 3 which assumed 3 year delays which require large council internal financing. The Council is proposing to earmark some resources to enable it to manage these deficits; however the most pessimistic of the scenarios does create significant pressures.
31. There will be further changes to the modelling once the detailed infrastructure cost plan phasing is further iterated, which will determine when EZ borrowing is drawn down to support the infrastructure funding. There will also be ongoing discussions with partners as to phasing and timing of expenditure dependent on likely demand for the commercial development.
32. As set out above, there is a likely shortfall in the ability of enterprise zone receipts to be able to cover the financing costs associated with the £35m CYC debt in early years. Therefore the Council needs to consider how it will finance this shortfall. In order to avoid any impact on the revenue budget, it is proposed that the Venture Fund is used to finance these early year deficits. The value of this shortfall will be dependant upon many issues, including the pace of development, the value of development, and the Council's timing of actual borrowing. This figure based on earlier modelling is in the range of £750k to £11,431k. In reality if the scenarios show a delay to commercial occupation infrastructure spending can be delayed to reduce overall affordability risk. The cash flow shortfalls in reality are unlikely to be at the higher levels. It is considered prudent to earmark up to £3m from the Venture fund to fund any such shortfalls. The use of this fund will be subject to repayment in the future.
33. The Venture fund balance currently stands at £2,752k however there have been commitments approved of up to £1,680k to support the Community Stadium and Attendance Management so the amount unallocated totals £1,072k. There are a number of repayments due to the fund primarily relating to West Offices which will increase the fund to £2.3m by the end of 2022/23. In order to increase the fund to a prudent level, given the proposed use of £3m for York Central, it is proposed to allocate a further £1m from additional business rates. Previous reports (financial strategy February 2018, revenue monitoring

Q1 report) have set out that arising from the Council being a part of the Leeds City Region business rates pool, there is an additional £2m business rates as yet not allocated to any projects. The revenue budget report has however set out that there potentially may be a need to draw down on some of that in 2018/19 due to pressures in particular in relation to children's services.

Allocating £1m from the business rates to the Venture Fund is considered both prudent in the context of York Central, but also retains some of the business rates for other considerations linked to the Councils budget strategy. The table below shows the forecast year end balance of the Venture Fund including the additional £1m allocation. All use of the Venture fund relating to York Central will be monitored in line with usual revenue and capital budget monitoring reports.

	Forecast year end Venture Fund Balance £'000
2017/18	2,752
2018/19	3,729
2019/20	2,914
2020/21	3,239
2021/22	3,421
2022/23	3,309
2023/24	3,346
2024/25	3,549
2025/26	3,760
2026/27	3,979
2027/28	4,028
2028/29	4,079
2029/30	4,131

34. It is recommended that Council approves a budget of £155m to deliver infrastructure across the York Central site. It will then be for Executive to make approvals from that budget to fund specific work packages. Given the scale of investment and potential financial risks, Executive will only be asked to release funds where funding has either been secured from external partners or part of the CYC approval envelope.
35. There are advantages in that the significant external funding from HIF and WYCA will require spending in the early years meaning that the CYC funding can be delayed to the end of the process. This reduces the early year borrowing costs reducing the pressure on the Venture Fund.

Economic Rationale

36. York has a constrained economic core, with our ancient walled city providing few opportunities for significant developments. York Central has been identified as York's most significant development opportunity for over half a century. The quantum of employment space which will be provided in York Central represents a unique opportunity to shape the future development of our economy, redressing falling wage and GVA trends.
37. The region's SEPs identify the site as a housing and employment growth priority and set out, for YNYER a priority to 'fast track employment sites with market demand for high value sector growth', and for LCR a vision 'to be a globally recognized economy where good growth delivers high levels of prosperity, jobs, and quality of life for everyone'.
38. Aligned with this, the York economic strategy 2016-2020 has four long term targets:
 - To increase wages to above the national average by 2025
 - To meet in full our city's business space and housing requirements
 - To grow employment in our high-value sector firms 20% faster than baseline
 - To maintain our comparative advantages in employment, skills and connectivity
39. The successful delivery of York Central's workspace, housing and connectivity will play a crucial role in enabling the city and the broader region to meet these targets. To increase wages, we need to support the growth of high-value jobs in sectors such as financial services, rail engineering, digital technology and professional services. These jobs need high quality well-connected office space, and there is currently a shortage of such space in central York. The commercial floor space identified in the outline application has the potential to provide a supply of space which would support high-value employment.
40. The commercial floor space is a scarce resource to support curated long term growth in industries which provide high value employment. As the project develops, it will be important to evolve the outline strategy to target high-growth sectors when seeking developers and occupiers for the commercial space. The likely growth sectors include financial services, insurance, science and technology, and rail and transport high tech engineering. Innovation initiatives through the city's universities, seeking commercialisation opportunities through research, are likely to present additional opportunities. Providing space and facilities which encourage collaboration between university and industry should be a clear priority.

41. Our strategy across the city is to seek to boost the value of retail, leisure and tourism employment through promoting York as a destination for high-value customers. The York Tourism Strategy, which seeks to grow that sector to be a £1bn part of our economy. The expansion of the National Railway Museum will further enhance one of the city's key world class assets, making a significant contribution to this growth.
42. The site as a whole will be an attractive place to live, expressing York's unique world class cultural offer, and providing opportunities for current residents and those moving to York. The site will include 20% affordable housing as well as a range of property types and tenures to optimise social benefits. We already have the highest skill level (in terms of % of the workforce with a level 4 qualification or above) of any city in the North of England. To maintain this advantage, York needs the kind of space which is proposed for York Central for people to live, work and play.
43. Recently published statistics from ONS demonstrate the strength of the York economy. Employment in York grew by 5% in 2017, with 5,000 jobs added across a range of sectors, including 500 jobs in manufacturing, 1,000 in professional, scientific & technical, and 1,000 in administrative and support service activities. There has also been a sharp increase in the percentage of the York workforce with a Level 4+ qualification, with 49% of 16-64 year olds in York attaining at this level. The city has an expanding workforce, increasingly highly-qualified, with many companies beginning to grow. The challenge that many businesses face is in finding appropriate workspace to support this growth. York Central represents the main opportunity for such expansion, particularly for office-based jobs in the broader knowledge economy

Development Appraisal

44. A traditional development appraisal which includes all enabling infrastructure costs shows a deficit in the region of -£100m. The scheme couldn't come forward on this basis and therefore the public sector infrastructure funding package is vital to make York Central happen.
45. The York Central Development Appraisal has been undertaken for the master-developer Partnership by commercial advisors Savills. Market Assessments have been undertaken on an annual basis and have informed the residential and commercial assumptions in the appraisal as well as the masterplan and delivery strategy for the project.
46. The latest partnership appraisal (July 2018), based on the land that Homes England and Network Rail currently have control over, demonstrates that, on the basis of the off plot infrastructure being funded separately, the land has a residual land value of £0.84m per (gross) acre which equates to a £55m residual land value. This value is also equivalent to the sunk costs/

commitments and Existing Use Value (EUV) totalling approximately £55m on the project

47. There are opportunities to create further value in the release of land in the ownership of Network Rail which is currently not declared as surplus due to its on-going use as railway sidings as part of the rail network. The land, known as York Yard South, forms part of the masterplan, but because of its status cannot be assumed to form part of the investment case at this stage. However, provision is made, should it be included, to ensure the value is captured.
48. Savills consider that York is a sought after residential area popular to a wide spectrum of demographics. They identify that York city centre residential market has remained resilient over the past few years, with agents reporting consistently strong market conditions. The restricted supply of homes, and significant demand, has also created affordability challenges. All YCP partners are committed to delivering 20% affordable housing in accordance with planning policy despite the viability challenges of the site and hence investment in infrastructure helps meet this requirement for the city.
49. York's restricted supply of office space means York Central provides the opportunity for creating game changing economic growth through "Grade A" office space. There is currently little "Grade A" office space in York and this has resulted in a lack of investment in the city from financial and professional services sectors. This lack of supply has also created a pent up demand and discussions are being held with a number of potential high quality early occupiers for the office space. The Enterprise Zone status will also enhance the attractiveness to occupiers.
50. Savills consider that commercial values for York Central will set a new benchmark for the city and given the nature of the York Central development and the characteristics of the city. Therefore the site appraisals have included assessments of the proposed rents based on the position of York in the regional market and the location and quality of the proposed development.
51. It should be noted that as a traditional residual appraisal these are today's values. The appraisal does not include for possible value growth, or provide build cost inflation. Value assumption ranges are provided below:
 - Offices – rental £15-£23 per sq. ft.
 - Retail – rental £15 - £17.5 per sq. ft.
 - Residential – market sales £375 - £400 per sq. ft.
52. Comparable residential schemes in York, such as Hungate and Chocolate Works, are already achieving values of £375 per sq. ft. with some prime city centre developments achieving in excess of £450 per sq. ft. And hence residential sales rates have been set to reflect such evidence. The figures for residential sales also reflect the inclusion of affordable housing provision.

53. Robust cost assumptions have informed the development appraisal, with the build costs having been defined by cost consultants Turner and Townsend based on the York Central proposals:
- Build cost range (dependent on use type and fit out standard) at £93-£163 per sq. Ft.
 - Professional fees at 12%
 - Developer margin at 17.5% for residential, 15% for commercial
 - S106 contributions including assumption of 20% affordable housing
 - Purchasers costs at 6.8%
54. The appraisals prepared by Savills show that there us a reasonable business case to bring the land forward for development to provide new homes and business space for the city. The tables below summarise development appraisals with and without public funding of the abnormal off plot infrastructure costs.
55. Development appraisal without off plot infrastructure funding package:

Revenue	£m	Costs	£m
Net development value	647	Off plot infrastructure costs	155
		Development and construction costs (including on-plot infrastructure)	499
		Developers margin (15-17.5%)	93
Total	647	Total	747
		Funding Gap	-100

56. Development Appraisal with off plot infrastructure funding package:

Revenue	£m	Costs	£m
Off plot infrastructure funding package	155	Off plot infrastructure costs	155
Net development value	647	On plot development and construction costs	499
		Developers margin (15-17.5%)	93
Total	802	Total	747
		Notional residual land value (landowner recovery of sunk costs and EUV)	55

Phasing Plan

57. The scale of York Central is such that it will be built out successively over a number of years. Site constraints mean that the bulk of site infrastructure will need to be implemented early in this programme (exacerbating its viability impacts), though it is also phased. Infrastructure works have been configured to allow flexibility in development phasing approach, and to allow the simultaneous release of multiple plots to market, increasing diversity and accelerating delivery. Establishing a sense of place and providing a range of facilities and amenities early in programme is of critical importance. The currently assumed sequencing and timing of release of commercial development plots is summarised below. This is based on the indicative masterplan scenario.
58. The approach establishes a prime, mixed-use quarter facing onto the new Museum Square early in programme, alongside the creation of a hub of community and SME space in converted buildings at Foundry Yard. Large footprint pre-let's to the rear of the station follow, and the commercial quarter is grown organically away from the station, on the alignment of the new pedestrian boulevard. National Railway Museum uses follow (including the Central Gallery) alongside ancillary retail uses in residential blocks. The phasing will be iterated and evolved as the project develops and development partners are appointed.

Developer Strategy

59. Through providing the strategic 'off-plot' infrastructure to service plots the partnership will manage the site abnormal costs which have inhibited development to date, reduce risk and establish the quality parameters and sense of place all of which are essential for the private sector to engage with the scheme. YCP will create serviced development plots which are viable and ready for development
60. The partners each have different roles to play within this. Homes England and Network Rail, as the majority landowners of the site, will act as Master Developers for the site and will lead on the comprehensive development of the site. CYC will act, in their role within the Partnership, as the attractor of funding and deliverer of the early off plot infrastructure and potentially act as developer of early commercial opportunities. The Museum will deliver its own £50m masterplan to enhance their existing facilities and continue to be the cultural anchor at the heart of York Central.

The Master Developers (Development Partners)

61. Homes England and Network Rail, acting as master developers, will work together to bring forward land for development, procuring developers to deliver

the scheme. This relationship will be governed by a Collaboration Agreement, which is currently in draft form, and is on the basis of cost and existing use value recovery and land value equalisation across the site. This positive collaborative working follows a previous transaction at York Central between Homes England and Network Rail when Homes England acquired land from Network Rail under their agreed Land Transfer Model.

62. By undertaking the role of Master Developer (instead of procuring a private sector partner to undertake this role) a layer of profit return to a developer is removed, and costs to the public purse are minimised. This approach also ensures that the project has flexibility to respond to changing market circumstances and gives greater control over build out rates.
63. The Development Partners will be led by a Project Director, currently being appointed by Homes England on behalf of Homes England and Network Rail. This post is a senior post and will be accountable for the delivery of York Central to Homes England and Network Rail's senior management teams. Further to the dedicated project team, consultant support will be appointed in the following areas:
- Legal
 - Commercial advice
 - Technical support
 - Cost advice
 - Programme management
 - Design Briefs/Design Champion
 - Project assurance
 - Communications and Marketing
64. The Development Partners will not operate in isolation. They are part of a broader governance structure, as illustrated later in this report, which seeks to ensure all elements of the York Central project (including the NRM expansion, the delivery of the infrastructure and the York Station improvements) are coordinated and the interdependencies are managed to ensure delivery.
65. As Master Developers, working with the other YCP partners to create serviced development plots, the Development Partners are accepting a long term engagement with the project and commitment to the associated revenue and capital costs. Plots of different sizes, scales and uses will be attractive to a range of different developers and concurrent, complementary phases will be brought forward at any one time.
66. In accordance with this strategy, individual 'development plots' would be defined, and each plot would be provided with a vehicular access, drainage connection and utilities connections including Superfast Broadband connectivity as part of the gigabit city initiative. The plots will also benefit from

the outline planning consent (which will define development parameters for the plot) and a data room describing the plot's condition (e.g. history, presence of contamination, other constraints, etc.). Plot developers will be required to bring forward development via a development agreement. This agreement will require them to deliver the 'on-plot' infrastructure including public highway within the plots, green spaces, play areas and pathways. The definition of 'development plots' varies from residential to commercial, which is detailed later in this strategy.

67. The role of the Master Developer will include (but not exhaustively):

- Potential further land assembly
- Leading on community engagement
- Leading on stakeholder management
- Manage overall project programme
- Manage phasing plan
- Procuring Design Briefs for individual plots in the context of the Outline Planning Application
- Marketing of York Central
- Attract occupiers (in conjunction with chosen developers and other stakeholders including CYC and the LEPs)
- Procuring developers to deliver plots in phased manner
- Attraction of Registered Provider partner(s)
- Ensuring design standards are met
- Manage discharge of planning conditions
- Facilitate community uses through identification of community spaces in the development and working with stakeholders to identify what they are
- Determine Long Term Management Strategy and establish the solution
- Develop overall project energy waste and recycling strategy
- Commission the delivery of future phase infrastructure (beyond the early infrastructure CYC are delivering)

68. The exact scope and form of procurement for the serviced development plots will be determined over the next 6 months as soft market testing is undertaken and initial development plots are brought to the market. The Delivery Strategy will evolve to respond to this and will be formalised following the appointment of the Project Director.

Soft Market Testing

69. York Central has been a proposal for which there have been a number of failed attempts to bring forward previously. The certainty of planning and funding availability will be critical to give confidence to the development market and therefore, following advice from our commercial advisors, a formal period of soft market testing has not yet commenced. However, given the level of activity

on the site and the anticipation that a scheme will be imminent there has been a strategy of “warming up” the market, including the construction market for the delivery of the infrastructure.

70. York Central Partnership attended MIPIM UK in October 2017 and MIPIM Cannes in March 2018 with the Leeds City Region. As one of the region’s key future opportunities there was significant interest and excitement from national and regional house builders which demonstrated that further wide-ranging soft market testing would be required once the proposals had been further developed. A formal soft market exercise will be undertaken over the next few months which will inform the ultimate delivery strategy.
71. It is anticipated that the first plots will be taken out to market by June 2019, when there will be planning certainty and full site investigations have been undertaken on the plots to further de-risk delivery. Should soft market testing indicate that it is appropriate, marketing commencement may be brought forward.

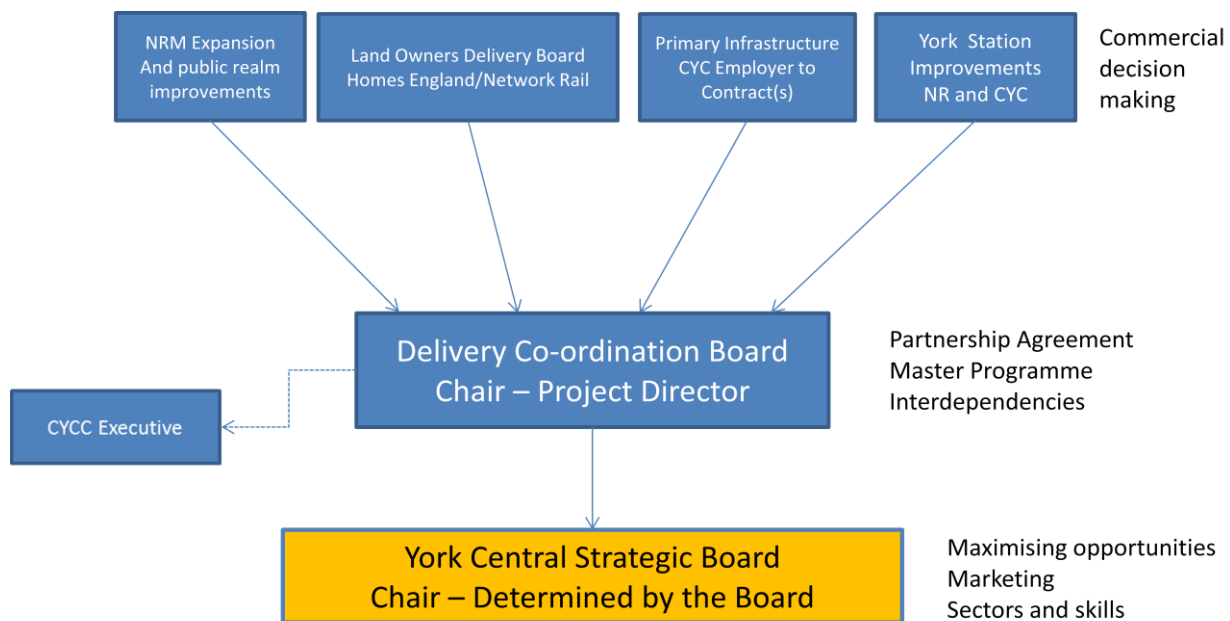
Occupier Attraction

72. The targeting of occupiers for the commercial space will best follow the achieving of certainty around planning and infrastructure funding because a programme for future occupation is dependent on these dates. However, in anticipation of this and given momentum on the site, early discussions have already begun with a number of potential occupiers. A number of key stakeholders have been identified to support the attraction of occupiers and investors in the commercial led element of York Central, and these organisations will be integrated into the project through the Strategic Board:
- The Department for International Trade has already been engaged and is poised to offer further support to attract international businesses to York Central. These connections will be maximised.
 - Both Local Enterprise Partnerships support in identifying potential occupiers will be maximised including events which maximise national and international exposure.
 - Both York based universities have identified growth sectors and also potential space requirements themselves. Their connections to these growth sectors will be vital to be explored and ensure all opportunities are maximised.
 - City of York Council, and the inward investment team at Make It York, has a vital role in steering the overall sectors for targeting based on the wider Economic Strategy for the City. The development of this will be vital to targeting key growth sectors and identifying a critical anchor tenant.
73. In addition to these, other local businesses will continue to be engaged through regular attendance to key city wide events and forums, such as the Chamber of Commerce and Business Improvement District meetings. Dependent on the

nature of occupier and developer interest in the commercial proposition, CYC may also assume a role as development enabler, utilising available funding streams to underwrite development risk and/ or more directly facilitate commercial plot development if this is deemed necessary.

Governance

74. As the project moves onto delivery phase it is appropriate to review and evolve the existing governance arrangements to ensure coherent delivery across a large programme of interdependent projects, including the front of York Railway station and the station itself. This is represented diagrammatically below.



75. The Strategic Board will determine its own chair and will be responsible for

- a. Maximising opportunities
- b. Ensuring Strategic fit
- c. Oversight of programme
- d. Sectors and skills development
- e. Advocating for the scheme
- f. Oversight of the promotion and marketing
- g. Leading effective decision making within their organisation

76. It is anticipated that senior representatives of both LEPs would sit on the Strategic Board.

77. The Delivery Co-ordination Board will be chaired by Project Director and will be responsible for :-

- a. Delivering the commitments set out in the Partnership Agreement
- b. The owners of the Master Programme, Cost and Quality benchmarks as set in Partnership Agreement

- c. Baseline off plot infrastructure cost plan – agreed quality standard and extent
- d. Decision making on delivery of future infrastructure packages
- e. Baseline development appraisal (for monitoring of potential for super-profit via s106)
- f. Proactive reporting from each of the “projects” on deviation from all the above, early identification of issues affecting the critical path
- g. Manage interdependencies
- h. Programme assurance

78. There will be a series of individual project boards for

- Infrastructure Delivery – led by CYC but including NR - consideration to be given to inclusion of LEP representatives to oversee delivery of funding commitments
- Front of Station and Station Board overseeing the works to the front of and including the railway station
- Development Partners – led by Homes England and Network rail
- NRM masterplan project

79. These will all feed into the Delivery Co-ordination Board and will be individually responsible for reporting to funding bodies and ensuring project assurance.

Delivery Programme

80. The delivery programme will evolve during the delivery phase of the project. A summary of key milestones is provided below:

- | | |
|----------------------------------------------------------------------------------------------------------------------|-----------|
| • Submission of Outline Planning Application | Aug 2018 |
| • Submission of Reserved Matters Planning Application for ph 1 infrastructure (western access bridge and spine road) | Feb 2019 |
| • Executive decision on Partnership Agreement | Jan 2019 |
| • WYCA TF funding decision | Feb 2019 |
| • Infrastructure delivery contractor selection | Feb 2019 |
| • HIF Funding decision | Mar 2019 |
| • Pre construction enabling works commence | Mar 2019 |
| • Main Infrastructure contract let | July 2019 |
| • Marketing of residential plots | June 2019 |

- Procurement of Commercial development partners July 2019
- Western Access / Bridge and spine road complete July 2021

Partnership Agreement

81. The council plays a unique place making role in the partnership as long term custodians of the city with an ongoing remit to ensure that the scheme delivers the social and environmental benefits set out in the masterplan and that community engagement sits at the heart of the scheme as it is planned and delivered.
82. . In June 2018 Executive agreed a series of city objectives to be developed as part of the delivery of the scheme relating to
- i. Housing
 - ii. Public realm
 - iii. Sustainability
 - iv. Community
 - v. Economy
 - vi. Culture
83. A Memorandum of Understanding has been agreed by all YCP partners and this will be formalised into a legal Partnership Agreement which will be brought back to Executive in the New Year.
84. The January report will set out how the council will seek to ensure the quality of York Central as it moves into delivery and will outline the financial agreements and the treatment of council land and how the city objectives could be delivered. The Partnership Agreement will be a mechanism for securing some of those objectives but this is supplemented by the council's statutory powers as Planning Authority and Highways Authority and through the council's work on city wide partnership development, community engagement, investment and economic development.

Council Plan

85. The project will assist in the creation of a Prosperous City for All, and be a Council that listens to residents particularly by ensuring that
- i. Everyone who lives in the city can enjoy its unique heritage and range of activities.
 - ii. Residents can access affordable homes while the greenbelt and unique character of the city is protected.
 - iii. Visitors, businesses and residents are impressed with the quality of our city.

- iv. Local businesses can thrive.
- v. Efficient and affordable transport links enable residents and businesses to access key services and opportunities.
- vi. Environmental Sustainability underpins everything we do.
- vii. We are entrepreneurial, by making the most of commercial activities.
- viii. We engage with our communities, listening to their views and taking them into account.

Implications

Financial – Set out in the report and the risk section

Human Resources (HR) – none

Equalities – Equalities impacts will be considered in the full infrastructure planning application and detailed design process

Legal – The Council will predominantly be using its power of general competence granted by section 1 of the Localism Act 2011 in promoting this scheme although other specific powers are available such as the power to borrow contained in section 1 of the Local Government Act 2003 and powers under the Highways Act to provide infrastructure.

When making a decision the Council is bound by its general public law duties, in particular the duty to act reasonably and the duty to act with regard to its fiduciary responsibilities to councils tax payers. The fact that the Council has taken expert advice to support its assumptions evidences that these requirements have been treated seriously. Expert advice, both internal and external, including legal advice will though be required on an ongoing basis throughout this project.

Information Technology (IT) - There are no IT implications.

Crime and Disorder - none

Property – none.

Risk Management

86. The project contains a number of significant risks, which Members need to consider carefully, and be fully aware of. This is one of the largest capital projects the Council will have embarked upon, with only the Community Stadium, West Offices and the joint Waste Scheme with North Yorkshire County Council being of similar or greater value. It is also by its nature a project that has a number of different partners, and different funding sources. The £35m borrowing backed by Enterprise Zone receipts brings in a number of risks to the council as will be dependent on the overall state of

the economy, commercial demand for high quality offices. Whilst some risks can be mitigated to some extent, even after mitigation there remain significant risks inherent within the Project. These significant risks, in terms of provision of infrastructure and ongoing viability, are further set out in the following sections. Members should formally note and consider the risks

Project Affordability

87. The estimated costs across the infrastructure work streams of £155m have been determined by the Partnership's master planning consultants and verified by cost consultants Turner and Townsend. They include allocations for risk and inflation but ultimately the final cost will be dependent on detailed designs and procurement exercises. Given such a large value it is inevitable that there will be cost pressures across elements of the programme. Overall costs will need to be managed across the stages and overspends in particular phases will need to be offset by changes to scope across other phases. The governance of the project will ensure that cost control is always at the forefront of delivery and CYC in its role of infrastructure deliverer will determine the pace at which infrastructure funding is released and delivery is completed.
88. There is a budget gap currently identified of £11.7m (c7.5% of total infrastructure cost). It is currently assumed that this will either be reduced through value engineering or be funded through the partnership from s106 contributions, further grant funding sources or from land value uplift from landowners. It may be necessary to spend this value before the contributions are received meaning that CYC may have to cash flow some of this budget shortfall. It is proposed that this will not happen without specific approval from Executive and the Partnership Agreement will seek to protect CYC in any forward funding. However reimbursement could ultimately be dependant on the economic success of the scheme and future land value.
89. Given the current wider economic climate there are a number of variables that could change to make the scheme more expensive. These include factors such as changes to the Business Rates regime which could reduce viability of the EZ borrowing, interest rates which have been historically low for a decade increasing the cost of borrowing, inflation which would potentially increase future costs and exchange rates impacting the prices of imported goods.
90. The EZ borrowing is based on current interest rates. There is a risk that they will rise prior to when borrowing is ultimately taken which will impact the overall borrowing cost. A ¼% rise in interest rates adds c£90k per annum to debt costs.
91. It is by splitting the role of infrastructure delivery to the council which reduces the risk in that whilst the partners will be influencing decisions made around infrastructure spending it ultimately will be in the control of the

council as accountable body. This means that cost overruns and overspends can be mitigated across the whole programme of works and expenditure committed only when budgets allow.

Enterprise Zone Receipts

92. As has been identified within the report there has been much modelling of potential income from the Enterprise Zone on the site. The key sensitivities which determine the success or otherwise are

Sensitivity	Impact	Control Measure
Speed of Delivery	Short term cash flow whereby the income receipts do not fund debt costs	If low demand for commercial space 1) Consideration as to the size of the enterprise zone. If additional land were released for housing that would reduce overall debt. 2) Manage costs by reducing infrastructure spend on site 3) Consideration of self developing particular plots
Amount of Commercial / Residential development	EZ revenues are dependent on levels of business rates paid on the site	As per 1) above
Level of Rateable Values	Not reaching assumed rateable values would lead to lower revenues	Working with developers to determine the commercial development is in line with business case.

93. In reality the business rates are directly related to rentals charged out. The developments will only become profitable to developers at the rents which provide the level of business rates modelled. Working closely with the Economic Development group within Make it York, the Local Enterprise Partnerships and other related bodies, the council will need to promote and advertise the advantages of major companies and organisations of the benefit of locating in the high quality offices on York Central. It is by completing the commercial zone in good time and delivering the EZ revenues that will de risk this investment at and early stage.

External Funding

94. The majority of the external funding (subject to HIF and WYCA approvals) has been sourced. The HIF funding is absolutely critical to the development

as it anticipated to fund c50% of the infrastructure costs. Without this funding the scheme in its current form will not progress. The West Yorkshire Transport Fund has allocated an indicative sum of £34m to York Central (including front of station) but release of funds will be subject to detailed business cases being approved. There is also a risk of the Government funding supporting the overall Transport Fund being reviewed post 2021 and therefore it is important to ensure eligible spend is undertaken before that date. In order to meet external funding obligations spend relating to HIF, WYCA and LEPs will be committed first with EZ borrowing funding later expenditure. This will need to be carefully managed with external funding agencies.

Partnership Working

95. There will be a formally agreed partnership agreement that will determine the working relationship between CYC, Homes England and Network Rail. There are issues that the actions of one partner could impact the costs and revenues of another partner. For example much of the infrastructure will require access onto Network Rail land in order to deliver the bridge and new spine road. CYC will require the land to be clear prior to occupation of the contractor. If the site is not clear at the required time costs will be increased. This will need to be mitigated by close working with partners to understand contractor requirements. It may also lead to delays in delivery as the council waits for clear sites.

Abortive Costs

96. In paragraph 18 Members are advised that the abortive costs on the York Central project are currently up to £3,324k if the scheme were not to go ahead. This would need to be written back to revenue and charged back to the accounts. This can be mitigated by using funding from early years EZ revenues (assumed c£900k for 2017/18 and 2018/19) as well as additional Business Rates retention funding (c. £1m) however that will still leave a charge to revenue of over £1m. It is not currently deemed prudent to increase the potentially abortive costs further until HIF funding outcome is announced.

Regulatory Approvals

97. Failure to obtain the necessary regulatory approvals to dispose of land on the site for development or to clear operational railway uses from the site is another significant risk – this could prevent the development of the site in whole or part. Mitigation plans to date include the acquisition and extinguishment of long-term rail industry leases on the site by Network Rail and development of a strategy that identifies relocation sites for the rail uses. In addition, a rail land use strategy for York is being taken forward and it is believed this meets operator needs and Network Rail's planned capacity

improvement schemes. This issue is being mitigated by Network Rail prior to any infrastructure investment with a clear commitment under the proposed partnership agreement to remove rail uses from the site within a phasing plan, to enable site development.

98. An obvious risk is of failure to secure planning permission – this has been mitigated by early engagement with CYC as local planning authority in the ongoing development plans and engagement of stakeholders and local communities at both concept stage and as detailed plans have emerged.

99. A full risk register has been developed by the YCP and will be regularly reviewed by the project board as the project progresses.

Contact Details

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Annex

Annex 1 – Site Plan

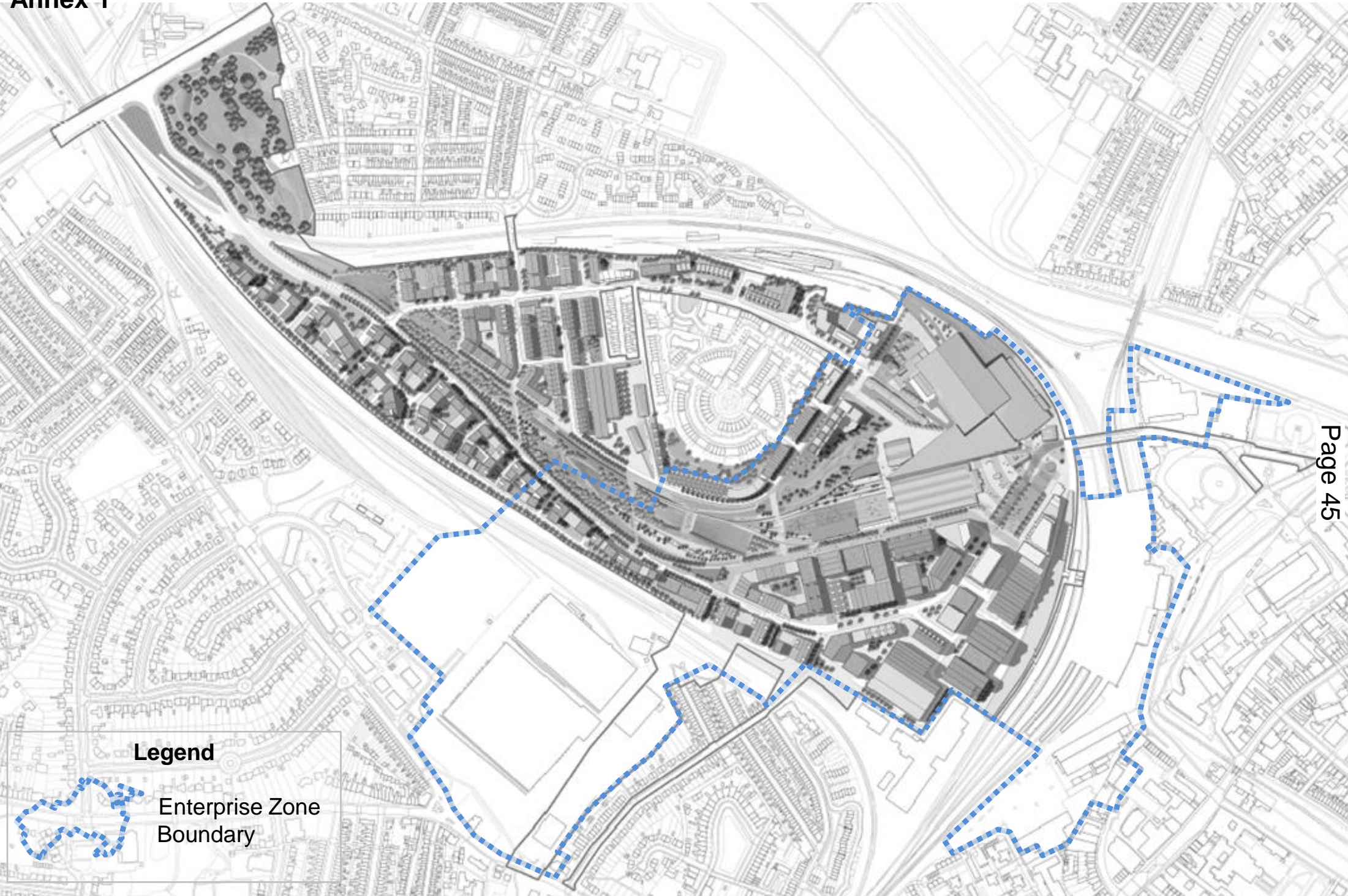
Background Papers:

Previous Executive Reports:

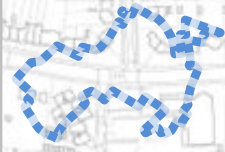
15 November 2017-	York Central – Preferred Access Route and Preparation for Planning
15 March 2018	York Central - York Central Access Construction
21 June 2018 -	York Central Master Plan and Partnership Agreement
30 August 2018 -	York Central Update - Western Access

List of Abbreviations

CYC - City of York Council
ECML - East Coast Main Line
EIA - Environmental Impact Assessment
EZ – Enterprise Zone
FAL - Freight Avoiding Lines
HIF - Housing Infrastructure Fund
LCR - Leeds City Region
LEP - Local Economic Partnership
MG - Millennium green
MGT - Millennium Green Trust
MHCLG –Ministry of Housing Communities and Local Government
NRM - National Railway Museum
ONS – Office of National Statistics
WYTF – West Yorkshire Transport Fund
YC - York Central
YCCF - York Central Community Forum
YCP - York Central Partnership



Legend



Enterprise Zone
Boundary

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Executive**29 November 2018**

Report of the Assistant Director, Transport Highways & Environment

Portfolio of the Executive Member for Transport & Planning

York Station Front Proposed Improvements – Report on Public Engagements**Summary**

1. This report sets out scheme progress to date and seeks the approval to submit a full planning application and proceed to work with partners on the detailed scheme design in spring 2019. This report also seeks permission for the following:
 - to enter into land acquisition negotiations with stakeholders and third party landowners;
 - approval to incorporate design changes to the Masterplan informed by public and stakeholder consultation;
 - approval to proceed with the relocation of statutory undertakers' apparatus affected by the proposed scheme.

Recommendations

2. The Executive will be asked to:
 - 1) Confirm that the public and stakeholder engagement process has been carried out appropriately and endorse the Statement of Community Involvement (SOCl).

Reason: To enable the submission of a full planning application and to proceed to detailed design.

- 2) Approve an instruction to the design team to incorporate design changes informed by responses received in the public consultation.

Reason: To enable the design team to submit a full planning application and proceed to detailed scheme design.

- 3) Approve the submission of a full planning application based on the amended masterplan informed by the SOCI.

Reason: Gain planning permission.

- 4) Approve the project team to pursue land acquisition negotiations with partners, stakeholder and third party landowners.

Reason: To enable Queen Street Bridge to be demolished and the scheme to be constructed as designed.

- 5) Approve funds to continue engagement with statutory undertakers to design and deliver a detailed scheme of utility diversionary work.

Reason: To enable the removal of Queen Street Bridge and the construction of the scheme.

Background

3. York Rail Station is one of the principal gateways into York and currently accommodates over 12m people per year using it with forecasted growth to 38m by 2050. However, the existing transport interchange is fraught with vehicular and pedestrian conflict and the station environment aesthetically poor. Therefore, City of York Council (CYC), in collaboration with Network Rail (NR) and London North East Railway (LNER), has developed a masterplan that proposes to reorganise highway and public realm areas to the front of York Station through:
 - the removal of the Queen Street Road Bridge and rebuilding the Inner Ring Road at grade;
 - the removal of the Parcel Square buildings to create space to re-locate the proposed taxi rank, passenger drop-off and short stay car park. The buildings currently comprise Cycle Heaven and train operating company accommodation;
 - the removal of the York RI band room to provide space for a gyratory road around the York RI gymnasium;
 - the separation of pedestrian, bicycles and motorised transport to provide a safer and more efficient station transport interchange;

- The removal of taxis and passenger pick-up and drop-off from the station porte-cochere to a dedicated area in order to take most traffic out of Tea Room Square and improve air quality in the station;
 - the redevelopment of the areas to the front of the station to diffuse the current congestion and create a new bus interchange, relocated vehicle parking, drop-off and taxi rank and a more attractive public realm arrival experience; and
 - the redevelopment of Tea Room Square to create a safer and more attractive shared space.
4. In November 2016, City of York Council Executive was asked to decide whether to formally join the West Yorkshire Transport Fund in order to fund the major investment required to deliver the York Central and York Station Front Improvements. The Council's decision was to formally join the West Yorkshire Transport Fund to ensure the delivery of the York Central Access Road and Station Gateway scheme.
5. As a result of City of York Council's Executive decision, the scheme is being granted funding from the West Yorkshire + Transport Fund. The fund is administered by the West Yorkshire Combined Authority (WYCA) and is governed through a programme management process (see Annex 1). An Outline Business Case for York Central Access and York Station Front was submitted and approved by WYCA in late 2016. The scheme proposals are now at 'Activity 4 – Full Business Case' in the governance process.

Consultation

6. The York Station Front masterplan public and stakeholder engagement process took place between 11th June and 8th July 2018, and lasted one month. The masterplan consultation process and events comprised public exhibitions, drop-in sessions, heritage walks, targeted stakeholder meetings and an online consultation. The engagement methods were designed to span both traditional forms and contemporary social media platforms.
7. A detailed analysis of the public and stakeholder consultation is presented in the SOCI that will be submitted with the full planning application.
8. The aim of the consultation was to raise awareness and promote the station front masterplan proposals, build trust in decisions already made

about the project and receive and integrate responses on the proposed changes. The following approaches were designed to make the process as effective and transparent as possible:

- involve as many people and identified stakeholders as possible;
- include those who many not normally be involved or feel able to do so;
- provide information that is accessible to all cognitive abilities;
- do the utmost to encourage people to take part in the consultation;
- use traditional and contemporary technology to reach as wide an audience as possible;
- to welcome and value all responses received.

9. For the purposes of the consultation process, stakeholders were defined as follows:

- a) Partners: including Network Rail, LNER, the West Yorkshire Combined Authority (WYCA) and Canada Life;
- b) Internal Stakeholders: including elected members, internal CYC departments, community committees and service providers; and
- c) External Stakeholders: including station users, local communities and community groups, local residents, road and transport users, local businesses, bus and taxi operators, local media, visitors to the city and interest groups.

10. Consultation exhibitions were held in York Railway Station, City of York Council's West Offices foyer and the York RI gymnasium. These locations were selected owing to their visibility and accessibility. At each event, a series of six display boards were set up to present a user-friendly version of the masterplan and to highlight the main features of the scheme. Meanwhile, a video projection of a flythrough of the proposals was presented throughout the consultation at the Council Office location and online. The events were open to the public throughout the month and were staffed by members of the project team as shown in the table below.

Date	Venue	Time
13 th June 2018	York Station	15:00-20:00
20 th June 2018	CYC Offices	10:00-15:00

23 rd June 2018	York Station	10:30-15:00
5 th July 2018	York Station	15:00-20:00

The manned events were advertised on leaflets (see Annex 2) available at the public exhibitions, and through CYC's Facebook and Twitter pages. Visitor comments could be given either directly through post-it notes affixed to the exhibition panels, through discussion with project team staff or on a paper questionnaire or the online version available on project website.

11. The consultation display boards provided comprehensive information on the scheme masterplan and also explained how to access further information presented on the dedicated York Station Frontage webpage (www.york.gov.uk/stationfront). This webpage was created, advertised and frequently updated throughout the process to provide relevant information. The webpage contains a link to the masterplan, fly-through video of the proposals and the interactive panoramic visualisations. In addition, the webpage included a project email address (stationfront@york.gov.uk) where members of the public were permitted to send comments directly to the project team. The display boards also provided instruction on how to comment via CYC's Facebook and Twitter accounts using the hashtag #yorkstation.
12. Meanwhile, the CYC Facebook and Twitter accounts posted regular updates advertising the consultation activities and posted information on certain elements of the scheme to create conversation. The consultation display boards also provided information about the questionnaire (See Annex 3) which was available to complete either through an online form on the webpage or in a hard copy. The written version could be submitted by hand or mailed to the Council's West Offices.
13. The project team, in partnership with York Civic Trust, led a series of guided heritage walks around the masterplan site. Tickets for these walks were free and advertised on Eventbrite. Participants were guided around key historic areas of the masterplan site from the Railway Institute to the Victorian arches and then to Tea Room Square. At each location, York Civic Trust gave a short summary of the heritage of the site, then members of the project team provided an overview of how the proposed scheme will benefit the area. Each heritage walk lasted an hour and participants were given prescribed forms (see Annex 4) in

which targeted feedback could be given. Heritage walks were held as shown in the following timetable:

Date	Time	No. of Walks
27 th June 2018	17:00-19:00	2
30 th June 2018	10:00-14:00	4

14. Emails were sent out to key stakeholders including landowners, directly affected parties, neighbouring businesses, local residents, transport groups and other interest groups with an invitation to meet with the project team or comment on the masterplan proposals. Many stakeholder meetings took place in which the proposals were discussed in detail and thoughts and feedback was recorded.
15. Door to door consultation was carried out by a member of the project team to houses on Queen Street and to businesses that were considered to be directly affected by the proposals. The project team provided a scheme leaflet with and instructions on how to comment on the proposals. In addition, these stakeholders were given the project telephone number and email address to allow ongoing direct contact.
16. Following the launch of the masterplan, proposals and the consultation events were publicised through a number of press releases.

Responses

17. The consultation resulted in almost 1500 responses from stakeholders and members of the public. The responses are summarised in the following table:

Consultation Response	Number of Responses
Post-it notes from the drop-in events and display boards	256
Questionnaire responses	442

Twitter comments	37
Facebook comments	620
Heritage Walk feedback reports	65
Email responses	53
Stakeholder responses	14
Total number of responses	1,486

Partner (Network Rail and LNER) Issues

18. The removal of Parcel Square (formerly the station parcels office) is vital to the delivery of the masterplan. The removal of these buildings permits the construction of the new taxi rank and drop-off area. However, the removal of Parcel Square presents project partners two issues that could significantly impact the delivery of the masterplan. These are:
- a) as Parcel Square currently houses the Cycle Heaven cycle shop and the train operating company crews; both businesses would need to new accommodation before the buildings can be demolished; and
 - b) although these post-war buildings are not necessarily considered to have significant heritage importance in and of themselves, their removal presents complex architectural restoration issues for the treatment of the exposed station facades.

Stakeholder Responses

19. Fourteen key stakeholder group responses were received either through the dedicated email address or through the agreed minutes of meetings with the CYC project team. The content of stakeholder responses are summarised as follows (full details are published in the SoCI):
- a) **York Environment Forum Transport Group:** Support the plans to improve the railway station and applaud a number of aspects of the proposals. However, they raise a number of concerns in relation to the consultation process and development of the plans in isolation from the York Central proposals and the Local Plan and Local

Transport Plan. In addition, they raises issue with the plans failing to develop a proper bus interchange;

- b) **Bike Belles Community Organisation:** provide comments on the need to connect the cycling routes into the City Centre and on connecting with the new Bike Share Scheme;
- c) **The Green Party:** provide overall support for the proposals however raise a number of concerns about the detail in the proposals, including specifically the fact they don't take full account of the likely expansion in the use of rail travel;
- d) **York Civic Trust:** welcomes the basic principle of the proposals and suggests that as a result of the changes the heritage of the station and its surrounding environment might well be better understood and appreciated. However, raises a number of concerns and queries regarding transport;
- e) **York Station Taxis:** views that the plans seem very positive and appear to create a much cleaner open space around the station giving a more user-friendly experience but raise a couple of specific concerns in relation to taxi use;
- f) **York Quality Bus Partnership:** is in favour of the proposals and broadly in favour of the specific features of the proposals but raise queries in relation to the proposed bus stops, bus priority, signage and conflict with cycling;
- g) **York Cycle Campaign:** provided a summary of a member's survey responses to the proposals for the cycling infrastructure. The overall response from members was mainly positive with the scheme being seen to greatly improve the quality of cycling and walking around the station and city as a whole. However, this was subject to some queries and on the condition that the proposals are delivered fully and to a good quality;
- h) **The Victorian Society:** strongly support the wider aims of the masterplan and consider on balance that with mitigation they do not object to the removal of the Queen Street bridge;
- i) **York RI:** appreciate the potential of the proposals for improving the station frontage and main access route into the City Centre but

raise a number of concerns in relation to safeguarding the continued and future use of the York RI;

- j) **York Bus Forum:** supports a number of elements of the plan in regard to the overall visionary nature of the document, emphasis on pedestrian experience and opening up of pedestrian routes. However, they raise serious concerns in relation to the provision of bus infrastructure in the scheme and put forward detailed proposals to create a bus interchange;
- k) **Queens Street Residents:** disappointed that they were not consulted earlier and raise a number of concerns in relation to the impact of the removal of the Queen Street bridge on their homes;
- l) **York Older People's Assembly:** provided a number of specific comments on the masterplan design and how it could be best improved for older people;
- m) **York Private Hire Association:** are generally in support of the scheme and believe it is a great opportunity, including the layout of the proposed taxi rank despite being unable to rank themselves. In addition, the group offered a number of suggestions to improve the scheme;
- n) **York Blind and Partially Sighted Society (YBPSS):** the group welcomed the scheme but were very keen that the design team takes the needs of blind and partially sighted people into consideration. They provided specific details for how this can be achieved.

Public Responses

20. The public responses were received in the form of Post-It notes affixed to exhibition panels, an online and paper questionnaire, Twitter and Facebook, heritage walk feedback forms and emails to the dedicated project email address (stationfront@york.gov.uk). The consultation questionnaires and feedback forms included both closed and open-ended questions to provide a variety of comments and information. The full transcribed copies of the public responses are included in the SOCI.

Summary of Comments and Emerging Themes

21. In the analysis of the consultation responses and feedback, several common themes that emerged. Responses to these themes are set as follows:

22. **Inclusion of a dedicated bus station in the overall design.**

Theme: The overall design accommodates bus stops in a linear arrangement on the public highway which in a location that does not have any terminating services, is the most efficient design solution for running an efficient network of bus services. Demand has been modelled over time to allow for future flexibility in design and accommodation. The bus station design that has been proposed through the consultation process (and has more recently been in the press) is not an appropriate design for a number of reasons including in terms of network efficiency, pedestrian priority and impact on design and historic assets. The bus stops as proposed are slightly further away from the main entrance to the station but this design solution allows the full prioritisation of the pedestrian above other travel modes and creates a more attractive and welcoming arrival and departure to the City. It is not considered that the overall change in walking distance (30-40m increase) is material in the overall design of the scheme, where most stops will still be within approximately 100m from the station.

Response: A detailed response to the issue of the bus station has been drafted and this is available in Annex 4.

23. **Appropriateness of consultation methodology.**

Theme: The consultation process has well exceeded many consultation programmes for a scheme of this size and importance, with a wide range of accessible consultation forms and events including open and closed questions with feedback through number of modes.

Response: Liaison continues with the York Central team to ensure that the two developments complement one another. There will be a further, formal, consultation period as part of the planning application process.

24. **Impact on Queen Street residences.**

Theme: Noise, air quality, and pedestrian movement will all change in the vicinity of Queen Street residences.

Response: This is being fully assessed as part of the EIA process. Ongoing liaison with residents is recommended going forward through the project.

25. **Design and accessibility.**

Theme: Concerns regarding detailed design, shared surface use, design and location of street furniture, the use of benches and seating are all being fully considered at a high level for the planning application stage and in more detail at detailed implementation stage (it is proposed the final landscape design will be addressed through the imposition of an appropriate condition).

Response: Design will follow best practice in terms of the use of the space with priority for pedestrians over vehicles, but also balanced with the needs of all groups within the community.

26. **Wider movement networks.**

Theme: The scheme has been designed to link to existing pedestrian and cycle networks as far as possible with improvements within the application boundary through the provision of cycle routes, pedestrian spaces and crossing points for example. The application boundary has been extended in places to extend improvements to a logical spot / end point such as the end of a space or path, but investment in the network can only extend so far in relation to the proposed scheme (i.e. references are made to the Leeman Road tunnel, Micklegate junction, links through to Station Rise, and Lowther Terrace).

Response: The development could lead to further improvements beyond the application boundary but it does not impede routes or such improvements for the future. Investment to create a better pedestrian and cycle network on Scarborough Bridge is an example of an improvement in progress which connects to the station front scheme.

27. Retail and cafés.

Theme: On balance, the addition of more retail and café provision within the station is supported. However, this is beyond the scope of the planning application which proposes solely the paving of the portico and Tea Room Square, not any specific use to be contained therein.

Response: Any such use would need to be subject to the relevant consents and led by the station operators.

28. York RI Buildings.

Theme: Concerns have been raised regarding the demolition of the York RI Band Room and also the impact on the York RI and its functions.

Response: The York RI band room is of concern to the project team and discussions are currently underway with Network Rail to find an appropriate outcome. Technically however the route for a circulatory road around the York RI is required. The team will continue to work with York RI to resolve this matter.

29. Changes.

Theme: The comments that have been raised are mostly positive and focus on specific matters within the overall scheme. Many will be dealt with and responded to in the detail of the public realm design and this process will show how these have been resolved. Others are beyond the scope of the application or are not material planning considerations in the progression of the planning and listed building consent applications.

Response: It is recommended that focused specific consultation is ongoing with the York RI, local residents and statutory consultees through the whole planning process to ensure that specifics are understood and mitigated. The methodology for achieving this will be developed as the scheme progresses.

Consultation Conclusions

30. In total 14 stakeholder groups responded and over 1,400 comments were received from the general public. Responses were channelled through a variety of sources including social media, email and written responses, together with face-to-face meetings and events. The vast majority of the respondents were supportive of the scheme.
31. From the analysis of consultation data, several important themes have emerged. In particular the traffic impact caused by the demolition of Queen Street bridge, the need for a dedicated bus interchange, the suitability of taxi and cycle provision and the impacts on existing facilities such as the York RI buildings.
32. The majority of respondents felt that the proposals would provide an improved transport interchange and station arrival experience.
33. In general, less than 10% of respondents rated their current arrival experience into the station as good or very good and respondents listed accessibility and congestion issues as major negative aspects to the current station usability.
34. Around 50% of respondents strongly agreed that that the proposals would improve the setting for the city's heritage.

Current Activity

35. The project team, together with the appointed planning agent Arup, have been working to deliver a suitable planning strategy for the scheme. The strategy has been guided by regular engagement with City of York Council planners, technical specialists and conservation team, as well as engagement with Historic England and other statutory authorities and interest groups. Meanwhile, following scoping, the planning agent is currently producing an Environmental Impact Assessment.
36. A detailed scheme of ground and archaeological investigation has been completed and an interpretive report is expected in the coming weeks. Early indications show that ground conditions are favourable to the

construction of the proposed scheme and there have been no significant archaeological finds.

37. Noise, air quality, ecology and environmental surveys have been commissioned and will be carried out in the coming weeks.
38. Owing to the creation of new public realm and redesigned streetscapes, the project team has begun engagement with Counter Terrorism organisations to include appropriate measures into the developing landscape design.
39. As well as engagement with Historic England and other statutory authorities and heritage interest groups, an architect has been appointed to advise on treatments to the station fabric once the Parcel Square buildings have been removed. A number of initial architectural scenarios have been presented that are sympathetic to issues surrounding the treatment of walls, doorways, windows and canopies of the listed station buildings. Discussions have also begun on possibilities for the treatment of the new public realm that would be created beneath the Victorian arches in the Bar Walls and ways in which railway heritage may be represented.
40. The project team has opened a dialogue with statutory utility providers and is developing a scheme of diversionary works.
41. The design team has appointed a contractor to offer advice on construction and phasing. Involvement of a contractor at an early stage helps in the development of the design process by providing advice on construction method, build-ability, sequencing and helping to identify construction risk.
42. The funding for the station front scheme will be provided through the West Yorkshire + Transport Fund as noted above in paragraph 5. This scheme is directly linked to the York Central Access for the purposes of funding and governance, and therefore a Final Business Case (FBC) submission is currently being prepared to seek the release of funding for both schemes. The FBC submission is to be made in November 2018 and a decision will be made by WYCA in February 2019.

Recommendations to Members

43. The Statement of Community Involvement (SOCi) has been designed and carried out in a rigorous and professional manner. Public and stakeholder data has been carefully and thoroughly analysed with legitimate themes identified and appropriate recommendations put forward. Therefore, it is recommended that the SOCi is formally endorsed by the executive.

44. The preliminary scheme design that informed the York Station Front Masterplan was informed by comprehensive technical and stakeholder consultation workshops. Follow on technical meetings and workshops have been carried out to analyse consultation data and reassess technical aspects of the masterplan. The design team wishes to incorporate changes to reflect public and stakeholder feedback. These changes are identified in the plan shown in Annex 5. In outline they comprise:
 - a) **Queen Street Cycleway/Parking.** The proposed segregated cycleway on Queen Street runs between the footpath and eight permit holder parking spaces. Residents of Queen Street believe that this would leave them vulnerable to both cyclists when accessing their vehicle from the nearside and vulnerable to cars at the offside. Consequently, the design team is assessing the possibility of re-locating the segregated cycleway to the offside of parked vehicles;

 - b) **Cycle Access to the Station.** Comments were received during the consultation from cyclists concerned over access to the station across the proposed super crossing. The design team is currently reviewing ways to provide a safe way of accessing the station from the west-bound side of the carriageway;

 - c) **Counter-Terrorism Measures.** The creation of new, more open public spaces will lead to greater vulnerability to hostile actors. After taking advice from counter-terrorism advisors and carrying out risk assessments, the project team is now engaged in designing a suitable method of incorporation protection measures in to the future landscape design;

 - d) **Private Hire Taxis.** Following a stakeholder meeting with York Private Hire Taxi Association, the design team is currently

considering options to include a dedicated private hire meeting area;

- e) **Rail-Replacement Buses.** Following discussions with project partner LNER, the design team is currently devising a suitable system for managing rail replacement buses in the proposed short stay car park;

It is recommended that the Executive endorses these changes to the future design.

- 45. Based on the success of the public consultation and the clear public support for the scheme, it is recommended that a full planning application is submitted together with an application for Listed Building Consent and Scheduled Ancient Monument Consent. The proposed masterplan will form the background to the application with a design for the key elements informed by analysis of the SOCI.
- 46. In order to carry out utility diversionary works and to construct the designed scheme, land will need to be acquired or agreements put into place. To date, the project team has carried out an investigation into the current status of landownership. Approval is recommended for a detailed strategy of land acquisition along with delegated authority to the Assistant Director of Transport, Highways & Environment to purchase land by private agreement up to £500k in any one interest. Approval is also sought to prepare draft Compulsory Purchase Orders if these are found necessary in order to reduce the risk of the programme being prolonged if negotiations with landowners become protracted (Any decision to authorise the actual making of that CPO would be referred back to the Executive for determination in a subsequent further report).
- 47. The project team is currently in engagement with utility statutory undertakers and developing a strategy for diversionary works to enable the removal of Queen Street Bridge and construct the scheme. Initial indications show that the scheme of diversionary works will be complex and technically very challenging. It is recommended that design of an appropriate scheme of diversionary works and continuing technical engagement with utility service providers is endorsed.

Council Plan

48. The York Station Front proposals are well aligned with the aims of the Council's Plan 2015-19. The implementation of Station Front scheme of highway and public realm improvements will answer an integral part of the key a to "provide a prosperous city for all:"
- where local businesses can thrive;
 - where efficient transport links enable residents and businesses to access key services; and
 - provide opportunities for residents and visitors to travel for employment and leisure.
49. Improvements to transport and public realm infrastructure are important to improved productivity; which in turn leads to economic growth and wealth. Meanwhile, the scheme design presented in the masterplan greatly enhances the heritage and environment of the station front area so that everyone who lives in or travels to the city can enjoy its unique splendour and range of activities.
50. Through well-planned and meaningful consultation, we have shown that the Council listens to residents to ensure that the delivery of a scheme that is desired and works for local communities. This is achieved through the careful and unprejudiced consideration of all responses to the public and stakeholder engagement and the production of a detailed Statement of Community Involvement. In doing so, the Council has shown that we are transparent and always consider the impact of our decisions in relation to communities and equalities. This is reflected in our analysis of the consultation responses and the reappraising and reintegrating of people's views into the scheme design.

Implications

Financial Implications

51. The estimated cost for the York Station Front scheme is currently £15.4m. This price includes the project management costs and the fundamentals for demolition of Queen Street Bridge, utility diversionary works and of scheme delivery. However, this estimate excludes third party land purchase, demolition of buildings and architectural treatments to the station facades. Release of funds from the WY+TF will be processed through the Project Assurance process and approval at meetings of WYCA.

Human Resources

52. There are no known human resource implications.

One Planet Council / Equalities

53. The One Planet Council Better Decision Making Tool has identified the following areas which can be explored further during the design and development of the York Station Front Scheme:

- a) Investigate an appropriate scheme of anti-terrorism response to incorporate into the landscape design;
- b) Research methods to provide sustainable landscape and sustainable drainage options;
- c) Continue to consult, research and build upon the team's understanding of heritage in and around station;
- d) Identify a philosophy to provide public art to enhance public engagement and wellbeing in the public realm.

Legal

54. In order to deliver the York Station Front scheme, various parcels of land will need to be acquired or have agreements in place. The project team is in active discussion with the Council's legal team in the pursuance of land purchase by private agreement. Legal Services will provide resources to process the conveyance and land transfer agreements.

55. Currently there are no plans to acquire any land through Compulsory Purchase Order unless as a matter of last resort. However the Council have engaged the services of a law firm to prepare the documentation for Compulsory Purchase in order that it is ready to make an order if necessary. Support from Legal Services will be required to manage the process.

56. Formal legal agreements will need to be drawn up with our collaborative partners, Network Rail and LNER in order to safeguard each party's interests throughout the course of the project. These will be based on extant railway sector procedures and the need to protect public sector funding to ensure commitments are undertaken by the responsible organisation during the course of the scheme.

Crime, Disorder and Anti-Terror Measures

57. Owing to the location of the scheme in an asset of strategic importance with large congregations of people, the station front scheme has been identified as a site at risk for acts of terror. The project team is currently seeking advice from stakeholders and interested parties in order to incorporate appropriate protection measures in the scheme design.

Property

58. Existing pieces of land from project partner, Network Rail, and third party landowners, will be required to deliver the scheme. The land acquisition strategy is currently under review along with decisions over which parties will own land titles in future. Property Services' assistance will be sought to advise and support the project team to achieve this.

Risk Management

59. There is a risk that the programme could become prolonged out if land acquisition negotiations become protracted. It is recommended to procure professional services to provide help and advice in procuring or seeking agreements for each parcel of land.
60. There is a risk of withdrawal of funding by WY+TF. All projects in the WY+TF Programme are under review by HM Government in order to ensure efficient delivery. Therefore, there is a risk that funding could be withdrawn if targets for delivery are not met by the WYCA as a whole.
61. There are risks associated with the chosen planning strategy and the success of the approval process. Owing to the complexity of negotiation with NR and LNER over demolishing Parcel Square buildings and the York RI band room together, along with the treatment of the listed station structure, there are risks associated with the success of the chosen planning strategy. Risks can be mitigated by maintaining close working relationships with partners and keeping issues and negotiations high on agendas.
62. There are programme risks associated with the complex diversionary works required ahead of bridge demolition. Risks can be mitigated by building a close relationship with utility companies and designing a detailed diversionary scheme.

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Report **Date** 19/11/18
Approved

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Wards Affected: List wards or tick box to indicate all

All

 tick

For further information please contact the author of the report

Background Papers:

No background papers are attached.

Annexes

Annex 1 – WYCA Project Assurance Process (attached).

Annex 2 – York Station Front Consultation Leaflet.

Annex 3 – York Station Front Exhibition Boards.

Annex 4 – Response to York Bus Forum.

Annex 5 – General Arrangement Drawing for Public Consultation.

Annex 6 – Drawing showing Design changes to reflect public and stakeholder feedback.

Annex 7 - One Planet York Better Decision Making Tool

List of Abbreviations Used in this Report

CPO – Compulsory Purchase Order

WYCA – West Yorkshire Combined Authority

WY+TF – West Yorkshire Plus Transport Fund

NR – Network Rail

LNER – London North Eastern Railway

FBC – Final Business Case

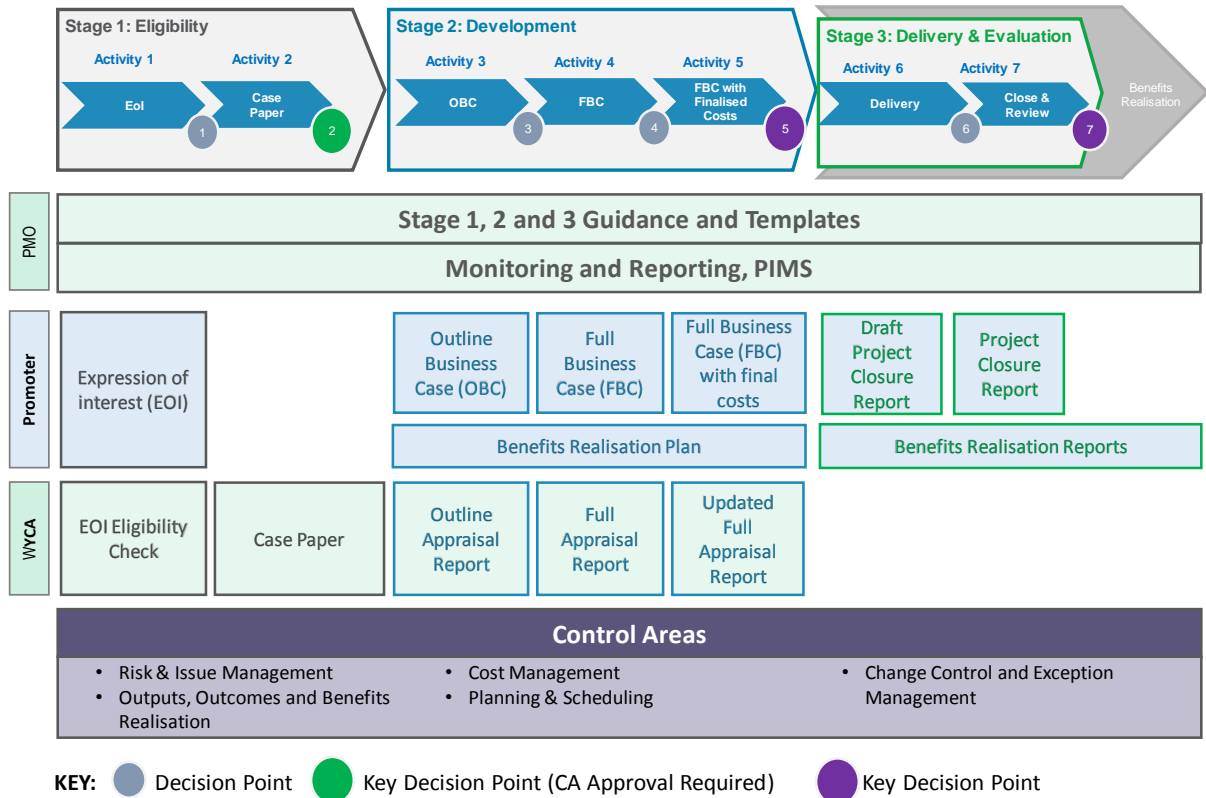
SOCI – Statement of Community Involvement

York RI – York Railway Institute

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Annex 1 WYCA PROJECT ASSURANCE PROCESS

WYCA ASSURANCE PROCESS



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Annex 2

YORK STATION FRONT CONSULTATION LEAFLET

HOW TO FIND OUT MORE

Information boards about the transformation of the front of York Railway Station are on display at two public consultation locations from Monday 11 June 2018 till Monday 9 July 2018:

- Beside the lift adjacent to Platform 3 and the buffer ends of Platform 1 at York Railway Station
- In the foyer of the City of York Council's West Offices, Station Rise, York, YO1 6GA

You can view the plans and fill in an online questionnaire at:

www.york.gov.uk/stationfront

HOW TO JOIN THE CONVERSATION

We are asking your views about the masterplan and the main features of the first phase to be delivered, covering the changes to the road layout, transport arrangements and public spaces outside of the station. We want to know your thoughts on the masterplan ideas, including:

- Do you think these plans would make a fitting entrance to the city?
- Would they make it easier to access the station and to change modes of transport?
- What would you like to see or do in the new public squares?

E-mail:

stationfront@york.gov.uk

On-line:

www.york.gov.uk/consultations

www.york.gov.uk/stationfront

By Post:

York Station Front (Major Projects Team)
Transport Office, West Offices, Station Rise
York YO1 6GA

Social media:



/CityofYork



@CityofYork

Using the hashtag: **#yorkstation**

**PLEASE GIVE US YOUR VIEWS
BY MONDAY 9 JULY 2018**

Transforming the front of York Railway Station

www.york.gov.uk/stationfront



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PROJECT PARTNERS:



OUR AMBITION

City of York Council, working closely with Network Rail and the Intercity East Coast Franchise, wants to improve the arrival and departure experience by creating a more welcoming and pedestrian-friendly gateway to the city.

MASTERPLAN

The masterplan for the York Station east entrance is designed to create a place for people, which functions as an effective interchange for all types of transport. The proposals will make arriving and using the station simpler and easier for pedestrians, cyclists, drivers or those on public transport.

The masterplan prioritises pedestrian and cyclist movements and creates new public spaces, to provide an improved gateway to York. Removing the Queen Street Bridge creates extra space around the City Walls and in front of the station and opens up the views to the City Walls and archway.

This transformation will be delivered as a series of separate phases over time, with each phase requiring an individual planning application.



DELIVERY OF HIGHWAY WORKS

Funding has been secured, through the West Yorkshire-plus Transport Fund, and the Leeds City Region Growth Deal, by the City of York Council to deliver the first phase, which would include the changes to the highway and public spaces. This project, together with the development of York Central, the new Scarborough Bridge project, and the Hudson House project, will help unlock this area of York to future investment.



CURRENT HIGHWAY WORKS

- 1 Removal of Queen Street Bridge to create extra space for new highway works and public realm
- 2 Station Square and new pedestrian crossing to improve pedestrian experience and access into the City Centre
- 3 Pedestrianised Tea Room Square to remove congestion and improve the pedestrian experience
- 4 New public space below the City Wall arches
- 5 Segregated Cycle routes to improve cycle access to and around the station
- 6 Bus stops moved away from entrance to ease congestion and create a transport hub
- 7 Removal of Parcel Square for station taxi rank and public drop-off
- 8 Short stay car parking and public pick-up moved
- 9 Station refuse collection areas

FUTURE DEVELOPMENTS

- 10 Refurbished Porte-Cochere
- 11 Future multi-storey car park to reduce the footprint of the long stay car park
- 12 Future development plots

Annex 3

YORK STATION FRONT EXHIBITION BOARDS

Transforming the front of York Railway Station



Visualisation of proposed transformation of the station frontage

THE VISION

York Railway Station helped to transform the city. The largest in the world at the time it opened in 1877, the station connected York faster and more frequently to the wider world. It helped attract new businesses, create jobs and wealth for the region while opening up York's heritage to more visitors from across the country and beyond.

Now the railway station and surrounding area are set to play just as big a role in the first half of the 21st Century. The station will play a key role in connecting the city centre and surrounding communities with York Central; one of the largest city-centre regenerations in Europe. The York Central development will transform under-used land around the station into vibrant and distinctive neighbourhoods, cultural spaces, and a high-quality commercial quarter at the heart of York.

City of York Council, Network Rail and Intercity East Coast franchise operator are working together to make sure that the entrance to the station provides a fitting gateway to the city; one which reflects both York's stunning heritage and its bright future. The project aims to reorganise the roads and entrance to the station in order to:

- Remove conflict between vehicles and pedestrians, making it simpler and easier to interchange between modes of transport
- Create new public spaces and a more pedestrian friendly experience
- Create an improved setting for the City Wall, the railway station and other heritage buildings

Alongside York Central, the new pedestrian and cycle access over Scarborough Bridge and the Hudson House development, the station front project will play a key role in unlocking the potential of the area.

These proposals will help to transform York's economy; attracting investment, creating homes and jobs, providing much better transport links for residents and visitors, connecting communities and preparing the station for a tripling of passenger numbers as HS2 and Northern Powerhouse Rail take shape over the coming decades.

MORE INFORMATION ABOUT THE PROJECT

In addition to these public consultation boards, the following information is available online at www.york.gov.uk/stationfront

- The full York Station Frontage illustrative masterplan
- Fly-through video
- Details of walking tours of the masterplan area
- Interactive panoramic visualisations

PUBLIC CONSULTATION

We have developed a masterplan building upon previous public consultations, one in 2016 and another earlier this year, which featured the broad proposals for the 'front' (eastern entrance) of the station.

We are asking your views about the masterplan and the main features of the first phase to be delivered. This will cover the changes to the road layout, transport arrangements and public spaces outside the station. The planning application should be submitted in Autumn 2018.

JOIN THE CONVERSATION

We want to know your thoughts on the masterplan ideas, including:

- Do you think these proposals would make a fitting entrance to the city?
- Would they make it easier to access the station or to change modes of transport?
- What would you like to see or do in the new public squares?

This consultation launched on Monday 11 June and will close at midnight on Monday 9 July 2018. These boards are on display at York Railway Station, beside the lift adjacent to Platform 3 and the buffer ends of Platform 1, and in the foyer of the council's West Offices, Station Rise, YO1 6HT, where you can also view a full copy of the masterplan.

You can talk through the plans with members of the project team at these times:

York Railway Station	13 June 2018	3 - 8pm
City of York Council Offices	20 June 2018	10am - 3pm
York Railway Station	23 June 2018	10.30am - 3pm
York Railway Station	5 July 2018	3 - 8pm

You can give us your feedback and views in a number of ways:

- Add your thoughts on a post-it note and attach them to the available boards. (Please don't include personal information).
- Join the conversation on the City of York Council's Facebook and Twitter accounts, simply using the #yorkstation hashtag.
- Fill in the online questionnaire to help capture your views and comments. If you don't have access to the internet, hard copies are available from the customer service desk in the station foyer or at the City of York Council's Customer Centre Offices (West Offices).

Project Partners:



Transforming the front of York Station

HIGHWAY WORKS PLANNING APPLICATION



Following this consultation, City of York Council will submit a planning application for the first phase in the transformation of the front of York Station. This planning application will deal with the demolition of Queen Street Bridge, the reorganisation of Queen Street and Station Road parking and taxi areas and changes to the surrounding public spaces.

SCOPE OF THE HIGHWAY WORKS PLANNING APPLICATION

The extent of the Highway Works Planning Application is shown by the red line on the map above. This application will cover:

- 1 Demolition of the Queen Street Bridge, reinstatement of the earth rampart at the corner of the City Wall, recreation of Queen Street 'at grade' (ground level).
- 2 Demolition of Parcel Square and the RI band building.
- 3 Sympathetic reinstatement of the station façade at Parcel Square
- 4 Realignment of the road and creation of new bus stops.
- 5 Provision of segregated cycle routes.
- 6 Creation of the new areas for station taxis, public drop-off and short stay car parking (includes public pick-up).
- 7 Creation of pedestrianised spaces in front of the station, in Tea Room Square and below the City Wall arches.
- 8 Reorganisation of parking for York RI and the RI Gym.
- 9 Provision of a temporary car park to the western side of the York Railway Station, so that the total amount of car parking spaces remains the same.

WHY DELIVER THE MASTERPLAN IN PHASES?

There are different landownerships and potential funding arrangements for the proposed masterplan, so it will be delivered in separate phases. Each of these phases will be carried out as separate projects by different partners to different timescales, with a separate planning application for each phase. City of York Council has secured funding through the West Yorkshire-plus Transport Fund and the Leeds City Region Growth Deal for the highway works elements of the scheme.

Separate applications will also be submitted for Scheduled Monument Consent and Listed Building Consent for works around the City Wall and to York railway Station.

DELIVERY OF THE HIGHWAY WORKS

The construction works to improve the environment in front of the station will cause short term disruption. The construction method is being designed to minimise this disruption, and to make sure that transport routes remain open and pedestrians and vehicles can continue to access the station.

WHEN WOULD THIS HAPPEN?

Subject to obtaining planning approval, the scheme would be delivered to the following approximate timescales.



PARCEL SQUARE

The removal of Parcel Square provides the opportunity to create an improved area for station taxis and public drop-off close to the station entrance.

We are talking to existing users of this area about relocating within the station.

The station façade would then be sympathetically restored. A canopy to cover the taxi pick up area, which will provide shelter for users, is currently being designed.

PARKING ARRANGEMENTS

In the long term, the masterplan sets out how the existing car parking on the eastern side of the station could be combined into a new multi-storey car park. This multi-storey car park would be delivered subject to a separate planning application.

During the first phase, as much car parking as possible will be retained on the eastern side of the York railway Station. In addition, at this early stage, we are seeking temporary permission for extra car parking on the western side of the station, to make sure that there is no change in the total number of car parking spaces.

This temporary parking is separate from and does not include any parking in the York Central masterplan.

Transforming the front of York Station

WHAT ARE WE TRYING TO ACHIEVE?

Current Issues

- 1 Poor arrival experience
- 2 Unclear pedestrian route to city centre
- 3 Station frontage dominated by vehicles
- 4 Poor air quality in Porte-Cochere
- 5 Tea Room Square congestion
- 6 Greater demand for better cycle facilities

Issues to solve - This project aims to resolve the above key issues

The Scarborough bridge project provides an improved walking & cycling route between the station and the city centre

York Station and Queen Street Bridge, 1920

Victorian Railway Arches, 1911

RI Gymnasium

Parcel Square after the bombing raid, 1942

Replacement building constructed in Parcel Square, 2017

WHY DO WE NEED TO MAKE CHANGES?

REORGANISE THE ENTRANCE AND ROADS

Improving the layout of the area outside the station needs space. Much of the available space is dominated by the redundant Queen Street Bridge. The Victorian bridge was built when trains used the lines through to the old railway station (now the council's West Offices), so has not been needed since the 1960s. The bridge is built very close to the rampart of the City Wall, and hides a large section of the walls from view. It also obscures several of the Victorian railway-era York RI buildings.

CONFLICT BETWEEN VEHICLES, CYCLES AND PEDESTRIANS

Arriving at and leaving the station can be awkward and confusing. The very busy area is dominated by vehicles, with no public space to enjoy an area which features some of the city's most striking heritage.

The station entrance and exit is very difficult to understand, with visitors often unsure where to go next. Taxi ranks, bus stops, drop-off points and pedestrians are all crammed into a small area with narrow walkways, which creates congestion.

Tea Room Square frequently 'clogs-up' while the covered Porte-Cochere, which acts as a taxi rank and drop-off point, obstructs pedestrian access and has created an area with poor air quality.

A CONFUSING TRANSPORT INTERCHANGE

You have told us during two York Central consultations that the station front could be significantly improved, and needs to provide a better transport interchange, in particular for buses.

While recorded accidents involving cyclists are low, improved cycling facilities would encourage much greater use of cycling.

THE PROPOSALS

These boards provide more detail about the proposed changes to the front of the station to create a better gateway to the city. The key features include:

- Removing Queen Street Bridge to provide the space needed to make changes to the road layout.
- Creating a better transport interchange by separating arrival points for each type of transport.
- Making the area more pedestrian-friendly, with a new pedestrian crossing
- Move the taxi rank, creating a 'Station Square' involving the Porte-Cochere (the current taxi rank/ drop-off point) and Parcel Square area. What do you think should happen here?
- Create a new, high quality public space in Tea Room Square (currently the turning circle for deliveries and entrance to the short stay car park). What would you like to see this space used for?
- Segregated cycling routes and improved cycle parking

Once you have looked at the proposals, please remember to join the conversation. We want to know your views on the proposals, and what you would want to see or do in the new public spaces.

Add your thoughts on the boards, fill in the questionnaire (hand in at the customer service desk at the station), or go online at www.york.gov.uk/stationfront or through social media using #yorkstation.

BUILDING ON THE HERITAGE OF THE SITE

Removing Queen Street Bridge would create space for the highway changes. Its removal also offers the following opportunities to better celebrate the heritage of the City Wall and the archways:

- The sloped earth rampart to the City Wall can be reinstated to improve the setting of this ancient monument.
- The views of the City Wall and the Victorian arches through the City Wall will be opened up.
- There will be more space around the remaining buildings from the Victorian railway era including York RI, the railway worker's cottages, the RI Gym, Water Tower and Ivy Cottage, improving the views of them.
- The removal of vehicles from the York Railway Station's Porte-Cochere will allow the Porte-Cochere to be refurbished and the architecture of the station to be enhanced.

The "Parcel Square" area to the south of the York Railway Station's entrance was badly damaged by a bomb during World War II. The replacement building does not match the original architecture of the station. Removing it would make more space for taxis and allow for a more sympathetic reconstruction of the station facade.

DESIGNING FOR THE FUTURE

The number of passengers will increase from 13 million to 38 million over the next 30 years due to the growing popularity of rail travel, the York Central development and the arrival of HS2 and Northern Powerhouse Rail.

City of York Council's draft local plan sets out an ambition for the sustainable growth of the city, which includes increased bus services.

These proposals respond to both of these opportunities, allowing for more bus services and future aspirations for more cycle parking within the station, as well as more station taxi pick-up and public drop-off space.

Transforming the front of York Station

MASTERPLAN



MASTERPLAN STRATEGY

The masterplan for the York Station east entrance is designed to create a place for people, which functions as an effective interchange for all types of transport. The proposals will make arriving and using the station simpler and easier for pedestrians, cyclists, drivers or those on public transport.

The masterplan prioritises pedestrian and cyclist movements and creates new public spaces, to provide an improved gateway to York.

Public transport, including buses and taxis would move to a transport interchange directly south of the station entrance. Short and long stay parking for private vehicles are located further south, accessed from a one-way loop road. Longer term, the car parking could be combined into a multi-storey car park and development brought forward on vacant plots.

Please see the website (www.york.gov.uk/stationfront) for a fly through animation of the proposed scheme, together with interactive panoramic views from different locations.

KEY FUTURE DEVELOPMENT OPPORTUNITIES

- 1 Station Square and new pedestrian crossing
- 2 Refurbished Porte-Cochere
- 3 A new pedestrianised public space at Tea Room Square
- 4 New public space below City Wall arches
- 5 Segregated cycle routes
- 6 Bus stop cluster
- 7 Station taxi rank & public drop-off
- 8 Short stay car parking & public pick-up
- 9 Station refuse collection areas
- 10 Future multi-storey car park
- 11 Future development plots



Transforming the front of York Station

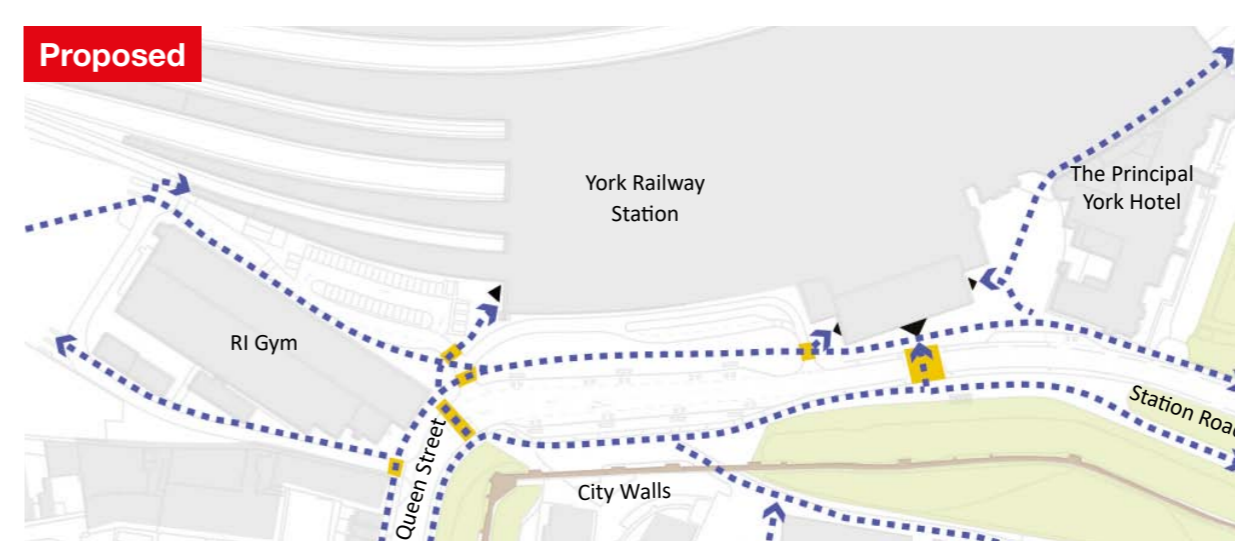
MOVEMENT STRATEGIES

PROPOSED CHANGES

The maps below show how the proposed changes would affect users of each mode of transport.

PEDESTRIANS

The wide pedestrian crossing in front of the station entrance and wider pavements improve the experience and clarity of the pedestrian routes to the city centre.



- Station entrances
- Pedestrian routes
- Pedestrian crossing

CYCLISTS

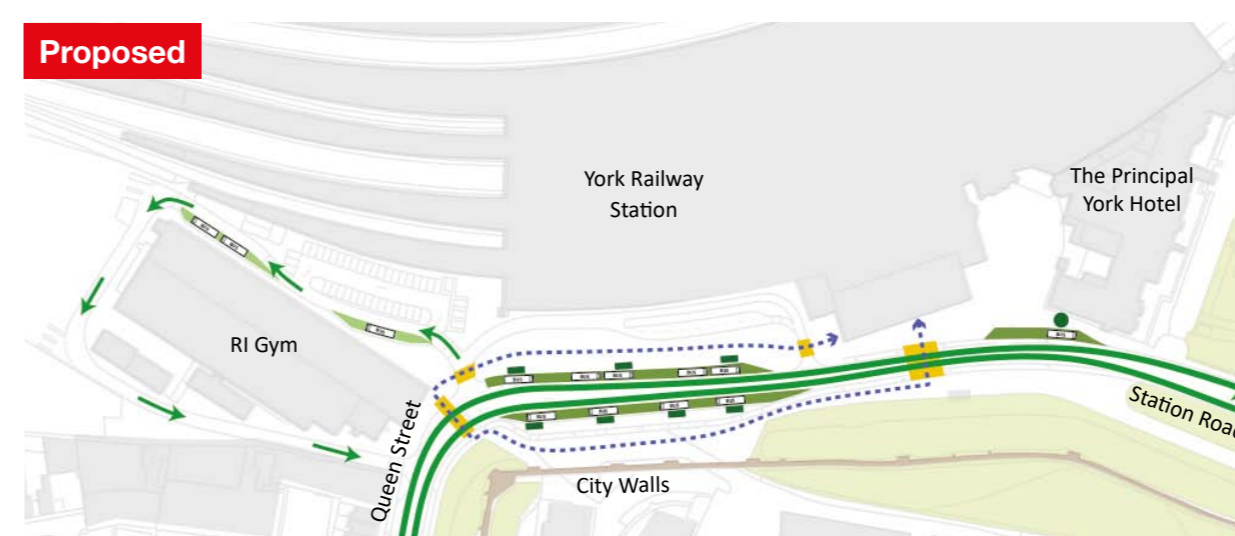
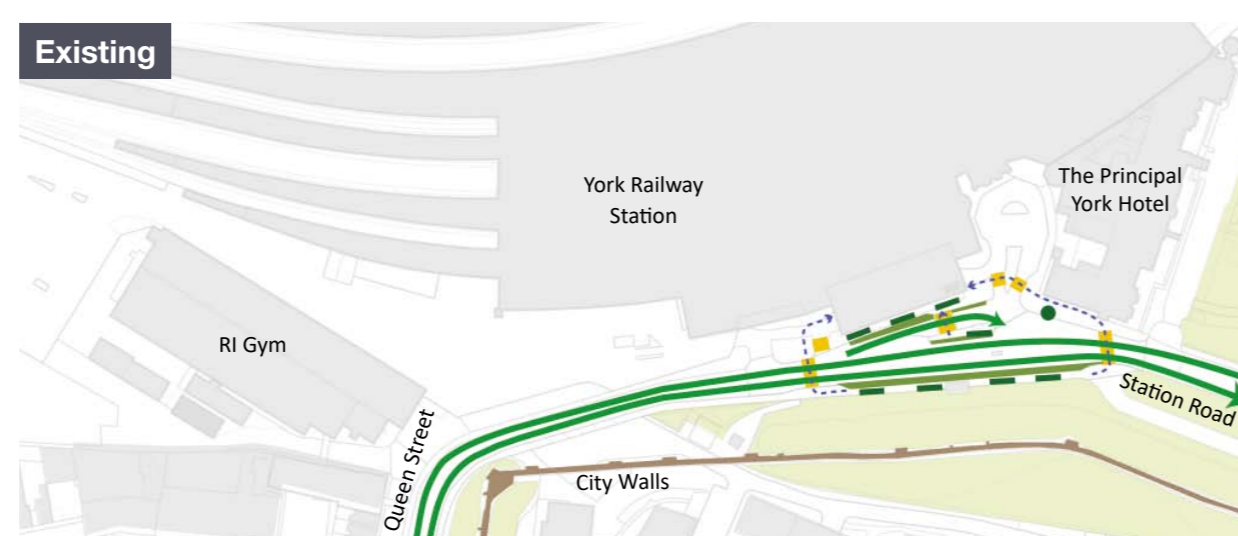
New segregated cycle routes and wider shared cycleways along with increased cycle parking increases safety and encourages more people to cycle to the station.



- Segregated cycle route
- Cycle route shared with pedestrians
- On road cycle route
- Pedestrian crossing
- Existing cycle parking
- Potential cycle parking

BUSES

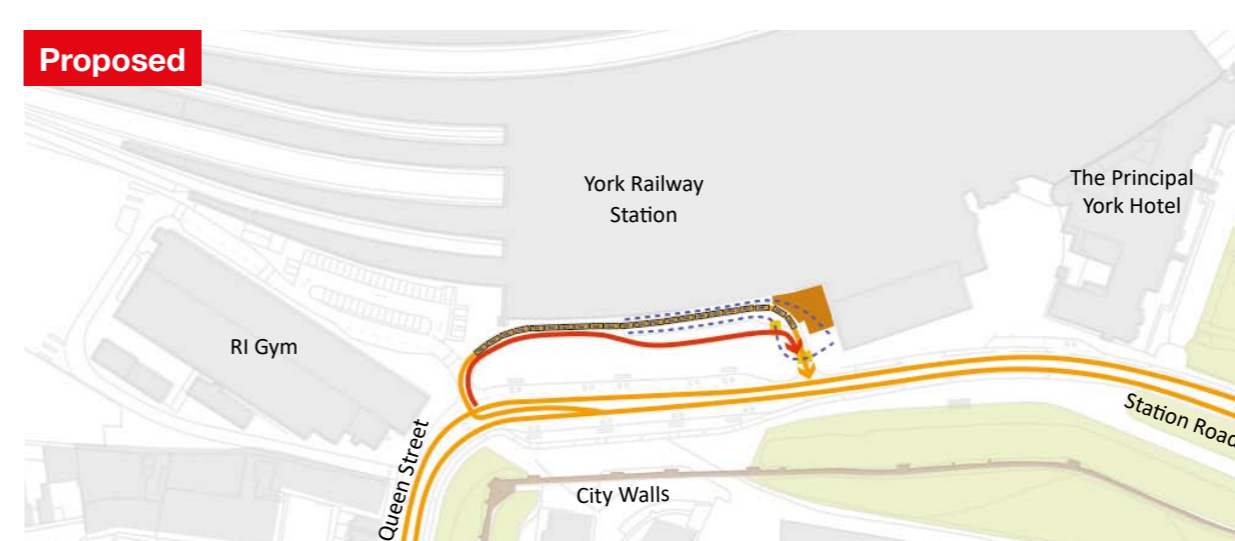
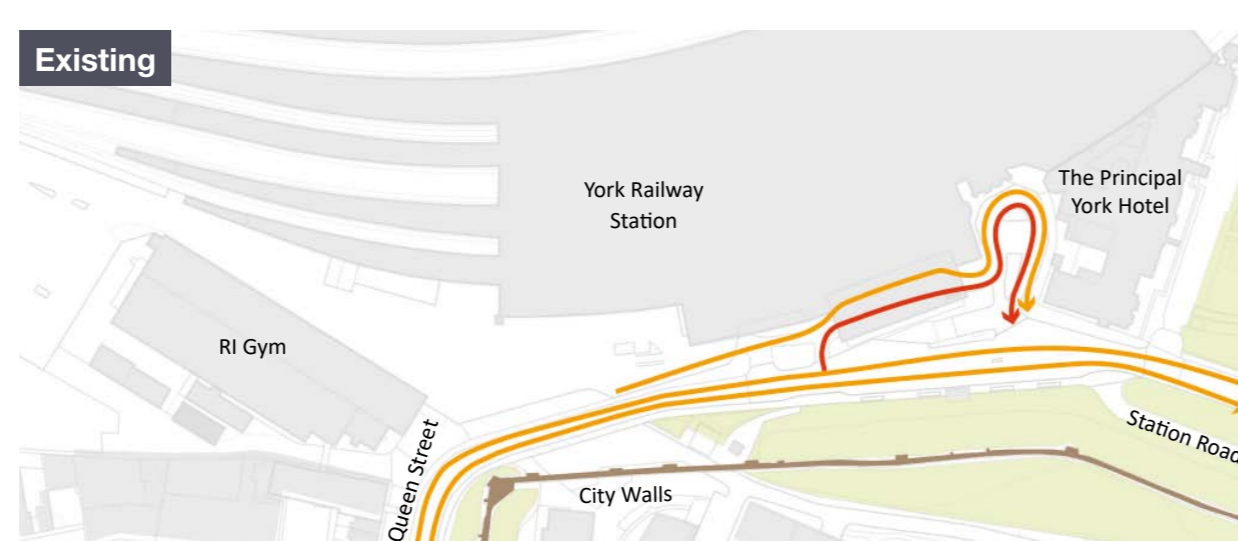
Increasing and relocating the bus stops within sight of the station is an opportunity to improve the operation of buses and the quality of bus stops.



- Bus route
- Bus shelter
- Tourist bus stop
- Bus pick up/ drop off
- Bus layover area
- Passenger access to station
- Pedestrian crossing

STATION TAXIS AND PUBLIC DROP OFF

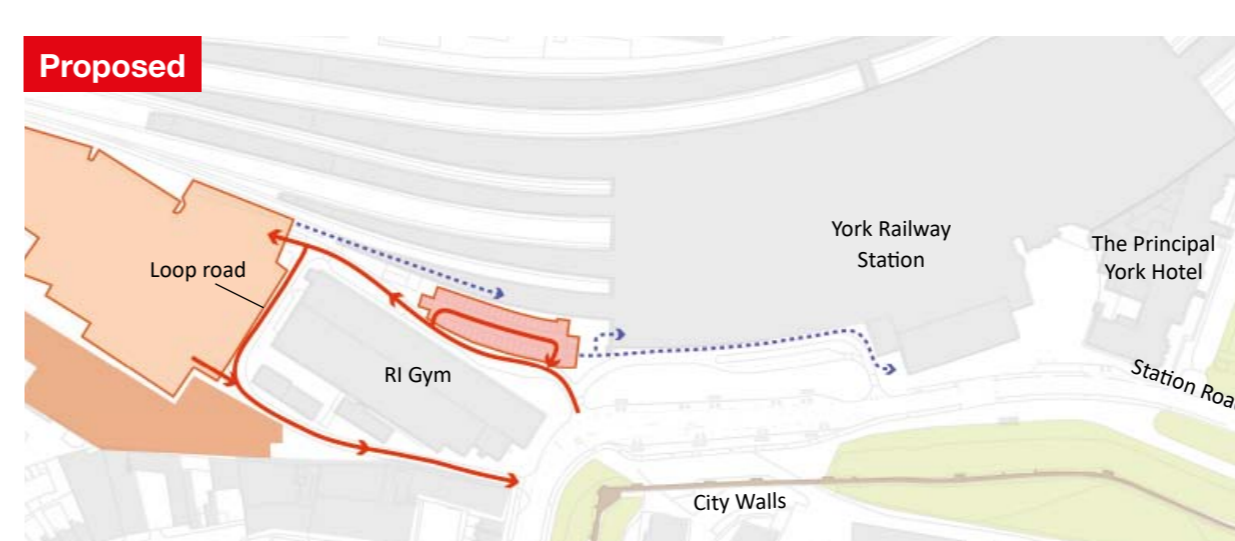
Station taxis and the public drop off are moved to an open and spacious area adjacent to the station entrance, reducing conflict with pedestrians and congestion.



- Taxis route
- Taxi loading/ waiting area
- Drop Off Route
- Passenger access to station
- Pedestrian crossing

PARKING

Short-stay and long-stay car parks are both accessed off a one-way loop road encircling the RI Gym. Public pick-up will be retained at the short stay car park. Relocating parking to one side of the station reduces conflict with pedestrians and congestion.



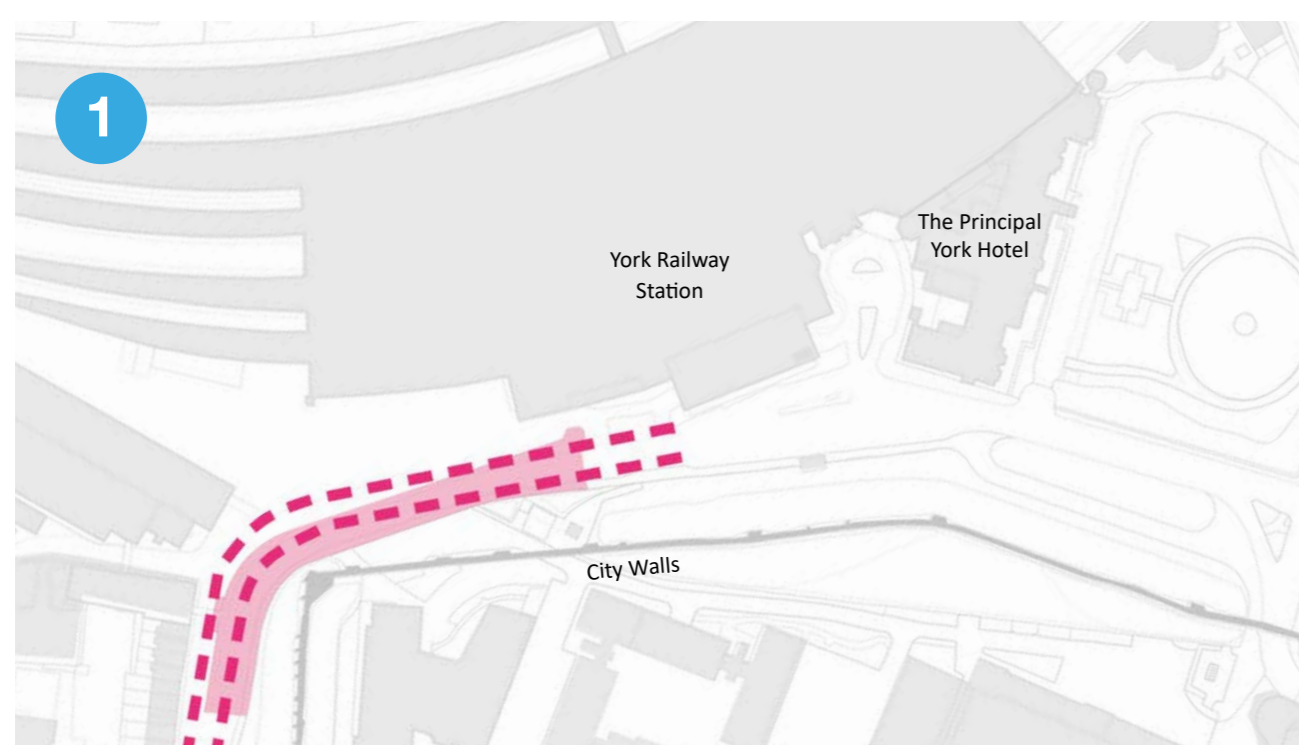
- Vehicular route
- Short stay carpark
- Long stay carpark
- NCP carpark
- Pedestrian route

Transforming the front of York Station

MAIN FEATURES

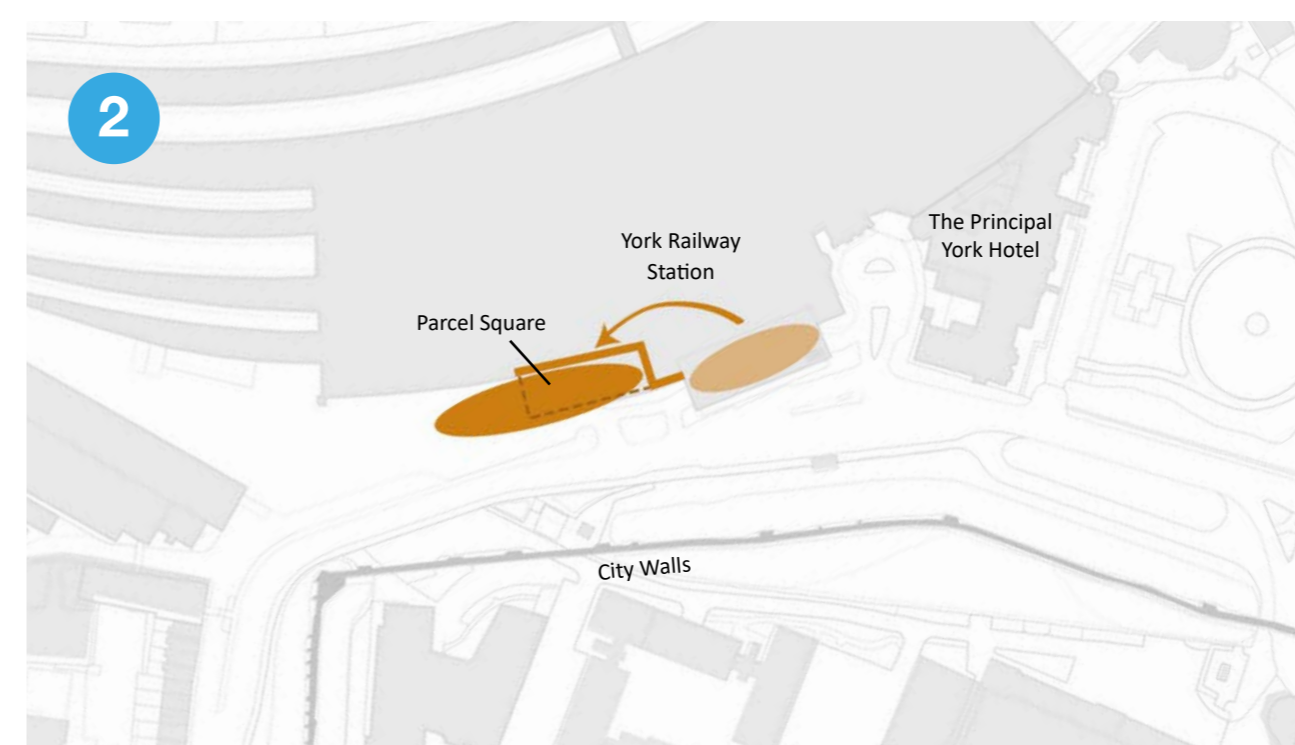
EIGHT KEY MOVES

These masterplan proposals are based on eight “key moves”, which work together to better use the space in front of the station. This allows for a simpler and clearer layout of public spaces, roads and pedestrian crossings. These “key moves” are described below, with the darker elements indicating the proposed changes:



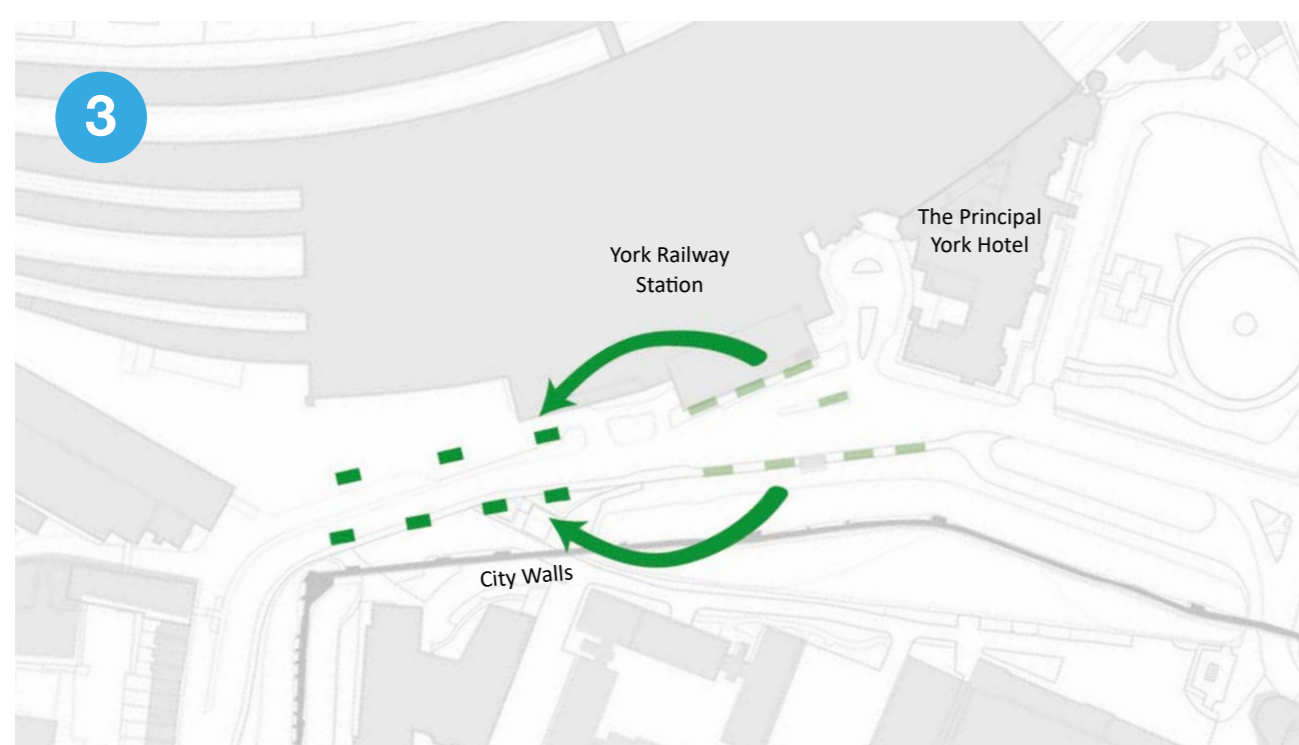
1 DEMOLISH QUEEN STREET BRIDGE

Queen Street Bridge is removed to create more space around the station. The road is realigned away from the City Wall to improve its historic setting.



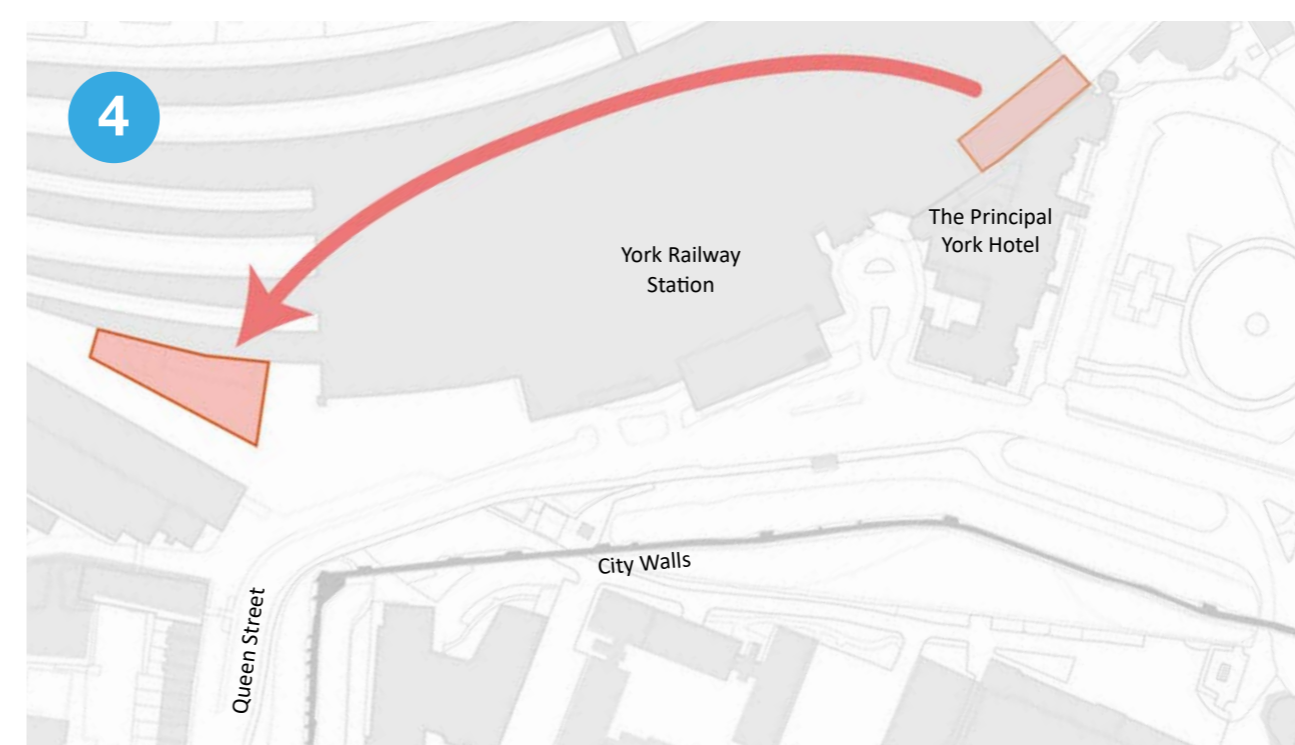
2 RELOCATE TAXIS AND DROP-OFF VEHICLES

The existing Parcel Square building is demolished and the station façade restored sympathetically. Vehicles are removed from the Porte-Cochere and a new taxi rank and drop-off facility is provided directly to the south of the main station entrance.



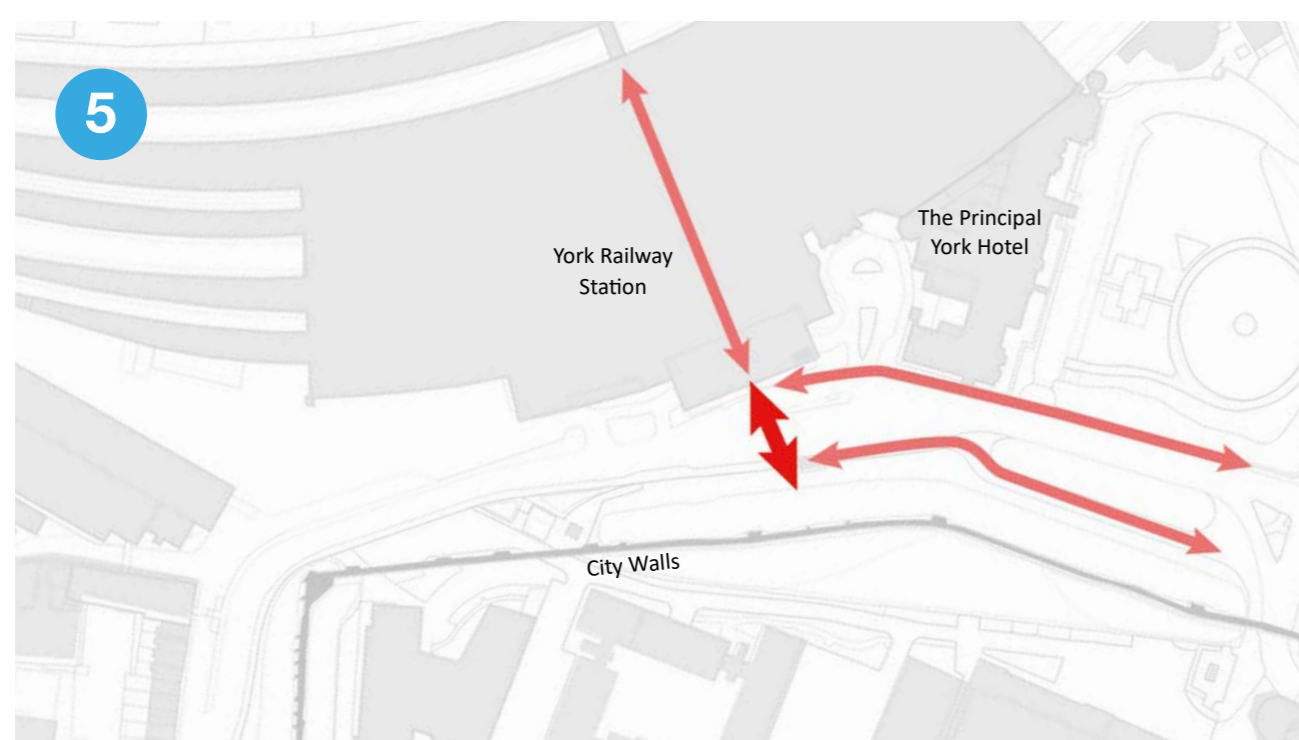
3 RELOCATE BUS STOPS

Bus stops in front of the station are relocated to the south of the main station entrance to create a better waiting environment for passengers and bus drivers.



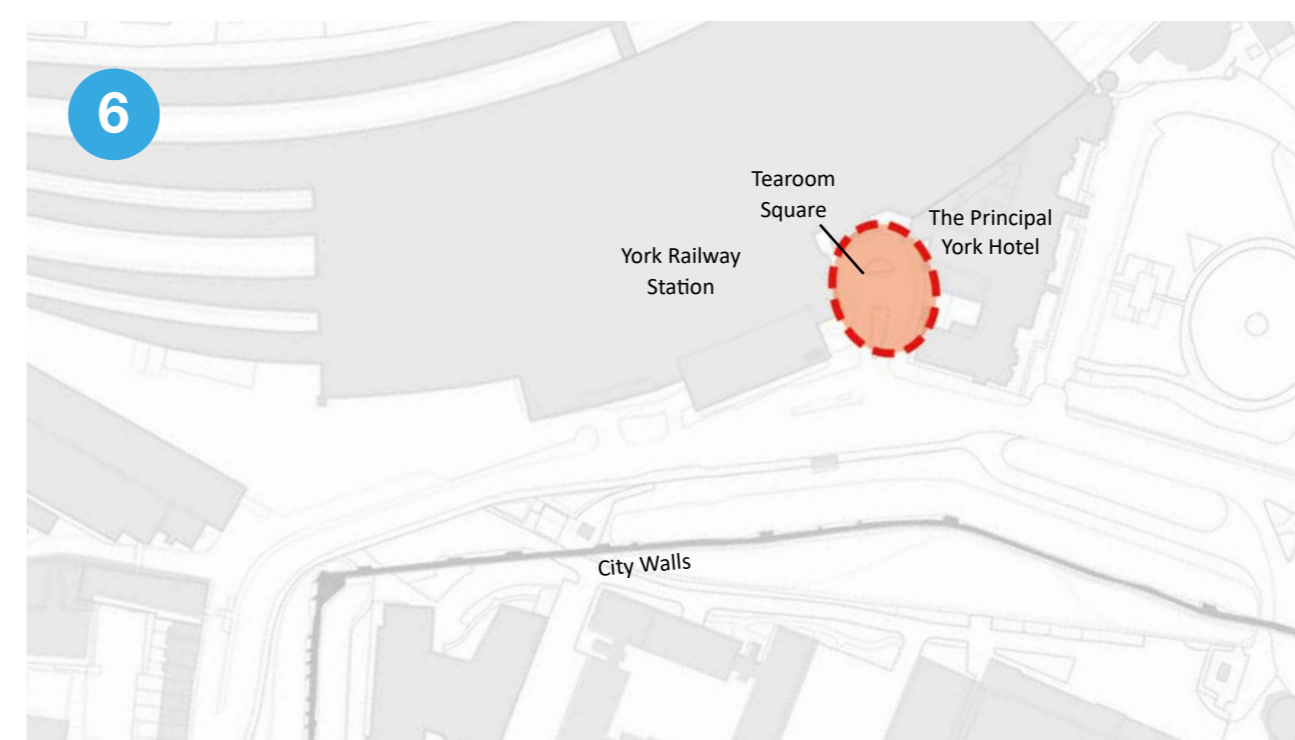
4 MOVE SHORT-STAY CAR PARKING

The short-stay car park is relocated to the south of the station and accessed from Queen Street. Public pick-up will be retained at the short stay car parks.



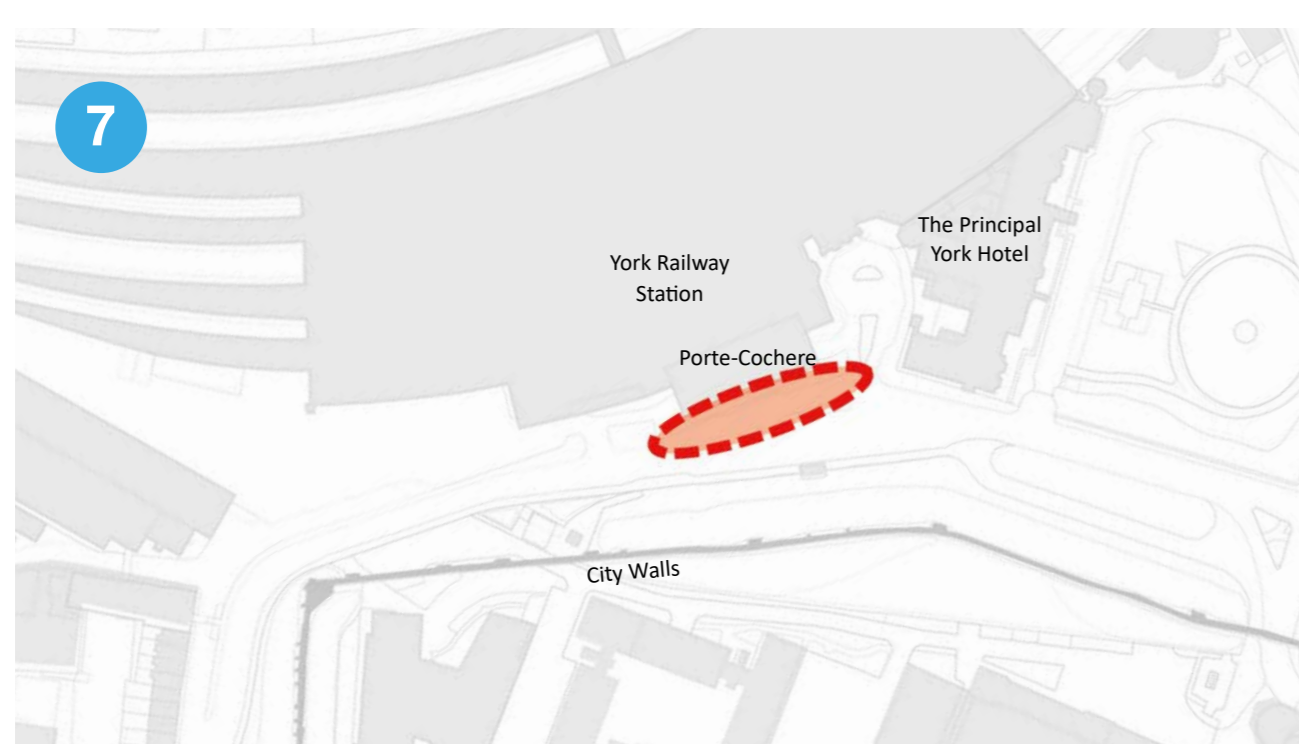
5 RELOCATE THE PEDESTRIAN CROSSING

A wider pedestrian crossing is created directly outside the York Railway Station entrance, making it easier for pedestrians to navigate and to find routes northwards into the city centre.



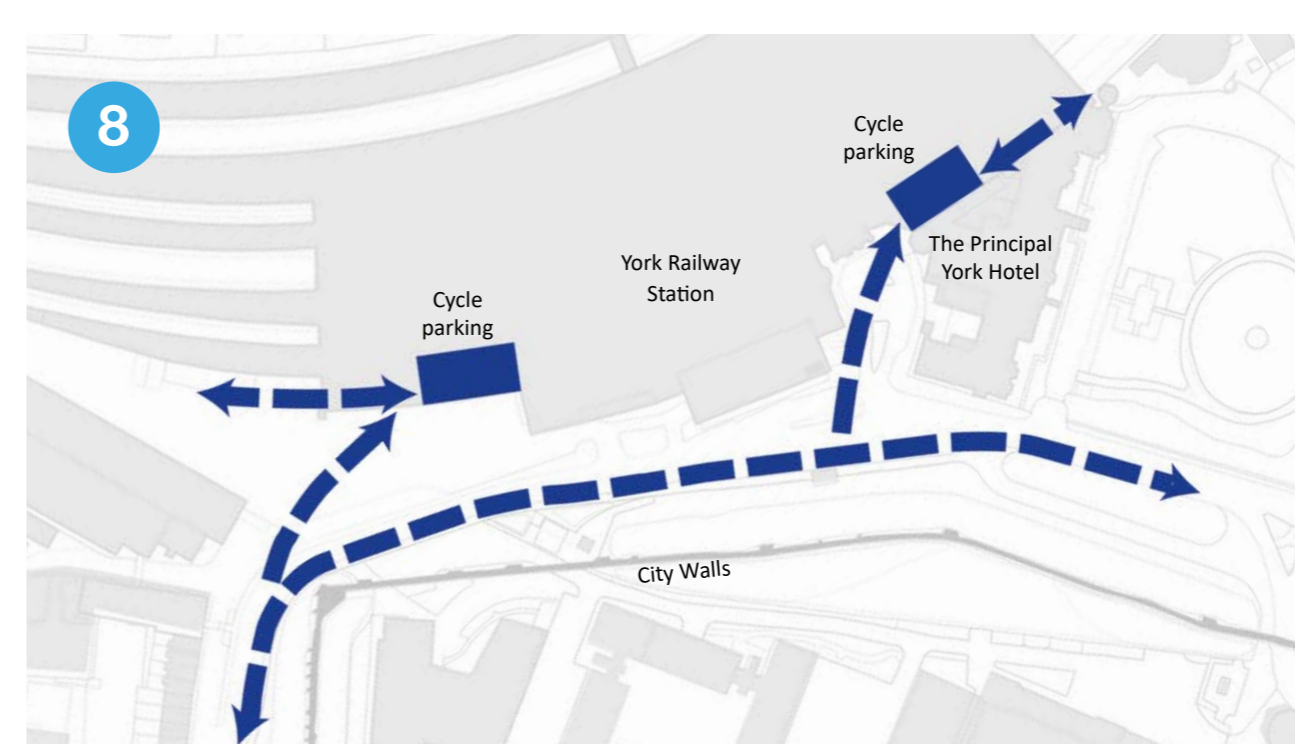
6 TRANSFORM TEA ROOM SQUARE INTO A PUBLIC SPACE

A high quality public area is created in Tea Room Square with only limited access by delivery vehicles.



7 CREATE STATION SQUARE AREA

Create a new, high quality public area transforming the arrival and departure experience to York, in front of the station. The Porte-Cochere development will be in another phase and will be led by the station.



8 ENHANCE CYCLE ROUTES AND CYCLE PARKING

Segregated cycle lanes are provided where possible to provide safer routes for cyclists. Future aspirations to provide increased cycle parking facilities inside the station will encourage more cyclists.

Annex 4

RESPONSE TO YORK BUS FORUM



Directorate of Economy and Place

West Offices
Station Rise
York
YO1 6GA

Email: gary.frost@york.gov.uk

Ref: YBF York Station

10th October 2018

Dear Graham, John and Dave,

York Bus Forum Proposals for York Station Frontage

Thank you very much for the presentation of York Bus Forum's proposed bus interchange at York Station at your meeting on September 18th. It was very clear, to those of us present, that a great deal of effort and thought had gone into what Alan Robinson presented. This is important – we don't pretend to have all the answers to everything, and discussion, presentation of alternative proposals and challenges to the approaches we take are an important part of the democratic process and scrutiny of government – and we hope you'll continue to do this.

At the end of the meeting your group passed a motion for CYC to look again at their proposals and make an evaluation of the alternative proposal by the Bus Forum. This letter sets out that process and our thoughts going forward. In it we provide background on the current CYC proposal, a critique of your own proposal, present a comparison of the two approaches and close with some concluding remarks.

The current CYC proposal

The current CYC proposal is shown in figure 1. As can be seen, it features:

- A movement of the bus stopping area from being immediately in front of the portico to a location approximately 200m west of the portico
- A replacement of the current 8 on-road stops with 10 on-road stops – (eight of which are within super-stops (ie space for two buses to stop but just one pole – so there are six bus stop poles).
- Two layover bays on the circulation road adjacent to the Railway Institute to accommodate terminating buses during drivers' rest breaks (there is no facility for this at present)

- A bus stop and layby on the access road adjacent to the entrance to the proposed short stay car park – to accommodate services which would turn at York Rail Station, but which do not lay over there (such as the existing service 66). Like the layover bays, this is an entirely new provision.
- There is no change to the location of the Tour Bus stop near to Tea Room Square, although the new stop is somewhat longer than the existing stop.
- It is also worth pointing out that the new bus stops will be provided to current design standards for bus stops (which the existing stops are not), so, for example, the length of the proposed lay-bys is 120m, replacing the current layby on the south side of Queen St (adj to the old tram shelter) which is 87m long. Further space is freed up by the replacement of articulated buses on two of the park and ride services to the Rail Station (3 and 7) with double decker buses, which are considerably shorter (although it is, of course, possible that articulated buses may return in the future).



The CYC design was arrived at through a process which combined consultation with bus operators, an assessment of future design capacities (attached as Appendix A to this letter) with an engineering assessment of constraints on the site. The overarching objectives of the design process were to improve interchange facilities at the Station, but also:

- Alleviate the conflicts around the entrance/ exit to Tea Room Square, because these introduce serious reliability problems on the road network around the Station. It also had to facilitate removing vehicles from the Portico, which currently suffers from extremely poor air quality because it is an enclosed space in which vehicles sit with engines idling;
- Accommodate the full range of facilities which are currently provided at the Station Frontage, including long and short stay parking, servicing for the rail industry and Royal York Hotel, pick up/ set down facilities and a taxi rank large enough to accommodate the high peaked demands which are typical of large railway stations;
- Improve the setting of the Station, making it far more attractive to people walking along Queen Street, waiting for/ getting on and off buses, arriving in York on the rail network or viewing the area from the City Walls.

In bus terms, the consultation with bus operators, which took place through the QBP, set out that:

- The design needed to be able to accommodate increases in services resulting from travel growth as a result of the Local Plan housing and employment growth in York;
- We needed to be cognisant that the Rail Station is served by a variety of bus services – not just local stage-carriage and park & ride services, but also rail replacement bus services, shuttle buses (race days, events, university open days etc), buses dropping school parties off at the Station, excursion coaches and scheduled coach services by National Express and others. Demand for the non-conventional services is variable from day to day – therefore it was important to build flexible operation into the plans – and that these services use a variety of vehicles, including vehicles with doors part way down the sides of the vehicles;
- There should be no reduction in passenger amenity compared to the current arrangements; and
- The design needed to provide a facility to turn buses around at the Station, replacing the current turn-arounds using either Lendal Arch Gyratory or Nunnery Lane/ Prices Lane Gyratory (which currently either result in some services failing to reach the Station or suffering significant reliability issues as they travel long distances in congested traffic to turn).

The issue of providing terminating facilities for all services was not explored in any great depth – this was because the bus operators did not request this provision, over the ability, referred to above, to turn vehicles and undertake some layover at the Station for longer distance services which terminate there (for example, EYMS's services). When put to them, operators said they preferred to retain “straight through” bus stops because they had greater operational flexibility.

Of course, it also goes without saying that whatever scheme is taken forward has to be deliverable, which in this instance means:

- It has to be affordable within the funding that CYC can realistically attract, in the immediate term, from its own sources and the West Yorkshire Transport Fund for delivering this measure. It also either needs to have ongoing operating costs which are similar to the current facilities or which, if they are greater, can be recovered in some way that does not impose an ongoing cost on limited local funds;
- It has to be deliverable with the assistance of partners in the Rail Industry – for example, Network Rail. This is critical because the scheme involves substantial loss of surface parking and the erection of a new multi-storey car park. In order to proceed, a critical design objective was no net reduction in parking provision on the site – and release of some land for development to cover the cost of constructing the new multi-storey car park;
- It should minimise any congestion on Queen Street from its operation – particularly that effecting bus services;
- The design had to be “safe” – for pedestrians, cyclists, people in buses, motorists and those waiting for buses or enjoying the new public spaces around the Station. Regrettably, in this day and age this also involves considering how design can mitigate terrorism risks – for example, from vehicles entering pedestrian areas at speed.

Turning then to the design put forward at your meeting on the 18th September.

First of all, I think you have taken a slightly different approach to us in that your design is concentrated around the southern end of the trainshed, but includes elements which would be deliverable over the longer term than the bus interchange – particularly the new concourse and bridge. It also only addresses the southern end of the Station, whilst we have considered the whole eastern facade of the Station, including Tea Room Square. As you have said, trips to and from York Station are forecast to increase by a factor of 3 to 50m by 2050, and it is quite possible new facilities for crossing the rail station – either a bridge or (perhaps better aesthetically¹) a subway – may come forward as those plans are developed, or to serve York Central – however, as only £15m is presently available (for the demolition of Queen Street Bridge, new highway and delivery of the interchange scheme) it is

¹ A good example can be found in Salzburg.

perhaps easier to put aside consideration of the new bridge/ concourse for now and I have done this in the assessment below. It is worth pointing out that there is nothing about the CYC proposal that would preclude a new bridge or subway in the future.

If the bridge/ concourse, then, is excluded from this analysis, we can consider the relative merits of the YBF scheme against the design objectives and constraints for the scheme as a whole. For the Bus Forum's scheme I have made four assumptions about its basic deliverability:

- Without the new concourse/ bridge the scheme's cost would be broadly the same as the CYC scheme and hence affordable (essentially, this is a consideration that the additional costs of providing the concourse and alterations to the arches would be balanced by the reduced cost of urban realm improvements required – because landscaped pedestrian areas would be smaller with the loss of the large paved areas adjacent to the bus stops and laybys in the CYC). This may or may not be the case in practice and if the cost was higher it would be a significant barrier to delivering the scheme.
- The design to be assessed is that presented on September 18th – ie a design with 17 terminating bus bays facing the concourse and accessed through arches between structural arch supporting pillars in the Station's eastern wall. This would be accessed by a single junction immediately east of the Railway Institute and an exit immediately west of the Station Portico. I have seen other designs by you with both more bays (to the south of the trainshed) and fewer bays (13 adjacent to the trainshed), but am assuming the design presented on the 18th is the final iteration;
- Bus services and routings would be broadly the same as now – in a deregulated market, which would almost certainly be the case when the interchange is delivered - CYC cannot specify service routings, or, indeed, compel operators to use particular facilities;
- I have also assumed that highway junction geometries, sightlines, cycleways and the internal layout of the bus station itself in the YBF proposal could operate safely and efficiently, or could be modified to do so relatively easily and without compromising the overall design. Again, in advance of a safety audit, swept path analysis etc this may or may not be the case and represents an uncertainty in your proposal which would have to be resolved if the proposal was taken forward to a detailed design.

I have then considered the YBF scheme and CYC's scheme against a number of criteria related initially to bus services/ interchange and then to the wider objectives of the scheme. These are set out in the table below.

Table 1: Design Comparison

Design Objective	Consideration	CYC Proposal	YBF Proposal
Bus & Interchange items			
<p>Capacity available to handle services anticipated to serve Local Plan growth</p>	<p>Station served by 59 buses per hour (outbound) and 61 buses per hour (inbound – though includes 6 City Sightseeing services, which go from a different stop) (at design – slightly different now due to some changed routings). Assessment for Local Plan suggests that it would be reasonable to plan for an increase to 76 (inbound (70 without City Sightseeing)) and reduction to 50 outbound (not an absolute reduction – some services (e.g. 59 move to western side of Station). See attached note – overall services at the Station (both sides) increase.)</p>	<p>2 x 2 bus superstops and one single stop in each direction gives theoretical capacity of 100 buses per hour in each direction (assuming Nottingham QP agreement standard of 20 buses per stop per hour), plus a further 12 buses for the single stop on the access road = 100 buses outbound, 100 buses inbound, 12 terminating buses = 212.</p> <p>Capacity criteria met and significant room for increased service levels.</p>	<p>17 x single angled drive in/ reverse out stops gives total capacity of 136 buses (assuming each stop can handle 8 buses per hour with acceptable levels of bus on bus congestion occurring (based on service headway spacing for busiest stands at Leeds Bus Station)). Matching demand to bays suggests that 10 bays would be required inbound (capacity of 80) and 7 outbound (capacity of 56).</p> <p>Capacity criteria met on paper, but no real room for expansion. Actual capacity may well be significantly lower than theoretical capacity because it will likely not be possible to arrange services so that each bay is used by 8 buses per hour – for example, several services in York operate at 6 per hour and would have to be combined with 2 bus services to make up an 8 – with the likelihood of uneven headway spacings at the needed to accommodate this. Some services (e.g. Coastliner/ CityZap) are specialist and may want to have a bay to themselves even though they operate <8 buses per hour. Risk that additional capacity would be needed elsewhere for some services (e.g. adj Portico) as design uses 17 of 19 available arches and 2 remaining arches are too close to taxi rank to be used? Also problem that there is no immediately obvious stacking space for dealing with occasions when buses bunch and a second bus presents at the stop before the first has left (as currently happens with 66). Cause of congestion in bus station?</p>

<p>Flexibility to serve different types of service (e.g. stage/ P&R, coach, rail replacement etc)</p>	<p>Capacity needs to exist to serve additional/ non-standard demands, which may peak at certain times of year (rail replacement services, race day shuttles etc). Also, buses on some services have doors half way down vehicle as well as at front (e.g. park and ride artics) to speed boarding/ alighting,</p>	<p>CYC design has significant spare capacity, particularly in form of layover bays, which could be used to accommodate seasonal demands etc. Operators have expressed a preference for “straight-through” bus stops for services which don’t terminate at Rail Station. Stops can be used by vehicles with intermediate doors.</p> <p>Criteria met</p>	<p>Very little spare capacity exists – and would have to be provided elsewhere – e.g. western side of Station (noting constraint of Leeman Underpass on use of some types of vehicle) or adjacent to Portico. If “straight-through” stops were provided, these would have to be elsewhere (e.g. adjacent to Portico). Use of docking at front of buses would preclude using doors along body of vehicle at this location (e.g. on park and ride or future other high capacity vehicles).</p> <p>Criteria not met</p>
<p>Equivalent Passenger Amenity</p>	<p>Currently open front shelters provided adjacent to City Walls. Open front canopy adjacent Station Portico and shelter on stop island</p>	<p>CYC design is broadly comparable to present accommodation. Portico could be used as undercover waiting area for passengers with longer waits (e.g. for less frequent services). On this basis there would be a small improvement for passengers.</p> <p>Criteria met</p>	<p>Proposal would allow much higher quality accommodation for passengers – covered accommodation, greater seating space and integration with facilities (e.g. food and drink) at Rail Station.</p> <p>Criteria met – passenger facilities could be better with this option</p>
<p>Layover and turnaround facilities</p>	<p>None. Buses have to turn around using Nunnery Lane, Lendal Arch Gyrotory or use of contrived routings through city centre (e.g. Skeldergate). No formal layover facilities, although some informal facilities scattered around city centre.</p>	<p>Provides a turn round facility and two layover bays.</p> <p>Criteria met</p>	<p>Provides turn around facility through bus station. Layover provision not clear, but would further detract from facility capacity if provided in the 17 bays.</p> <p>Turnaround criteria met. Layover criteria not met (?), but perhaps could be with modification to the existing design.</p>

Other design objectives			
<p>Alleviates congestion and delay around Tea-Room Square and removes vehicles from Portico</p>	<p>Extensive congestion in this area can add several minutes to journey times out of the Portico at peak times. Portico air quality extremely poor. Potential threats to safety for pedestrians/ cyclists through extensive conflicts around entrance/ exit to tea Room Square and bus laybys/ traffic on Queen Street.</p>	<p>Tea Room Square pedestrianised (apart from a very small number of vehicle movements associated with servicing and British Transport Police). Vehicles removed from Portico. Space currently occupied by inbound bus stops released for use as public square.</p>	<p>Design doesn't consider this area. However, no provision for short stay parking or set down/ pick up in the YBF design for southern end of Station. Short stay parking could theoretically be accommodated in an additional storey of the multi-storey car park (although there may be massing/ structure height concerns about this), or in area immediately to the South east of the trainshed (though the design currently shows this area as being partly occupied by reinstated rail lines and the eastern base of the proposed new bridge/ concourse). Pick up/ set down needs to be near a Station entrance (to accommodate people with restricted mobility). Potential options to do this would be retaining use of the Portico (which would require a new access road, not shown on the plan), Tea Room Square or providing to the side of the new square adjacent to the Portico.</p>
		<p>Criteria met</p>	<p>Not clear if criteria is met</p>

<p>Improves setting of Station for pedestrians, cyclists, from Walls, for those arriving on trains</p>	<p>Setting currently poor and dominated by blacktop/ highways.</p>	<p>Highway/ blacktop space is significantly reduced with substantial increase in space for pedestrians. View from City Walls would be much improved, new pedestrian area in front of de-trafficked Portico and Tea Room Square will have much higher amenity than current setting.</p> <p>Criteria met</p>	<p>Large area of heavy duty surfacing provided for bus turning manoeuvres would detract from setting. Reduced areas for pedestrian circulation. Outcomes at Tea Room Square/ Portico and ped. area adjacent to Portico would depend on provision for short stay parking and set down/ pick up. Vehicle intrusion into these areas would detract from any improvement in amenity.</p> <p>Criteria not met – bus turning area likely to be unsightly. Gains from removing traffic from TRS/ Station Square/ Portico may not be realised.</p>
<p>Accommodates current use – long/ short stay parking, pick up and set down, taxis, rail industry servicing</p>	<p>Long stay car park is surface to south of trainshed, short stay is accommodated in northern section of trainshed (accessed through Tea Room Square), taxis/ pick-up/ set down is in Portico, although much also happens in bus stops adjacent to Portico. Servicing from Tea Room Square. Extensive traffic conflicts at entrance/ exit to Tea Room Square from various different transport uses.</p>	<p>All uses accommodated.</p> <p>Criteria met</p>	<p>Not clear where short stay parking and pick-up/ set down facilities would be provided. Taxi facilities provided adjacent to Bus Station.</p> <p>Criteria not met. Perhaps could be but would require modification of design and possible adverse impacts on pedestrian areas/ Tea Room Square/ Portico/ Station Square.</p>

Safe by design	Facility is historic design retro-fitted with mitigation where required. Not Applicable.	<p>Minimises opportunities for penetration of pedestrian areas by vehicles by design of kerb lines etc.</p> <p>Criteria met</p>	<p>Potential problem with vehicles entering bus turnaround area (no access restriction) and using empty space to gather speed towards stationary taxis/ taxi queue. Mitigation difficult.</p> <p>Criteria not met</p>
Affordable and deliverable within current structures	Not applicable	<p>Webtag business case in preparation. Passengers gain amenity uplift, with no adverse journey time impacts. Some benefits from bus journey time savings/ reliability benefits through no longer needing to travel around Prices Lane/ Lendal Arch Gyatory to turn around. Some adverse impacts from longer walk distances for some bus passengers boarding/ alighting at Station. Ongoing costs would be no different from existing facilities.</p>	<p>Increases in journey times for buses and passengers would impose a significant drag on business case benefits which would be very difficult to overcome with the amenity benefits which would be experienced only by the passengers boarding/ alighting at the Station (a subset of the passengers seeing a change in their generalised cost as a result of the intervention). Possible adverse impacts on service reliability because of constraint of single entry/ exit to facility. Bus operators have not committed to paying a user charge for the facility (or expressed a desire for it), so there are risks and uncertainties about how the ongoing costs of the facility would be met.</p> <p>Likely ongoing operational cost from providing banksmen to help buses reverse as area behind them could not be kept free of other uses (e.g. taxi queue and possibly pedestrians and cyclists, confused drivers etc).</p>

As such, the view that we have formed in comparing the two proposals is that:

- The YBF proposal presents better amenity for waiting and interchanging passenger, but;
- The YBF proposal does not meet, or only partially meets, the other 8 design criteria for the new interchange at the Rail Station, with particular problems with:
 - Providing enough capacity for foreseeable increases in services/ frequencies associated with the Local Plan in a practically usable form;
 - Accommodating “Straight-through” buses, non stage services like race day shuttles and rail replacement services, and set-down/ pick up car movements and short stay parking – with the implication that these may need to be provided elsewhere in the Station area, such as Tea Room Square, the area in front of the Portico, or the Portico itself – which would detract from the setting of the Station. The YBF proposal would also prevent use of intermediate doors on buses (e.g. the current park and ride buses) which can be used to speed up boarding and alighting times.
 - Whilst it provides extensive turnaround facilities, it is not clear how it provides layover facilities, unless they are provided somewhere outside of the plan area – which again might have an adverse impact on the setting of the Station. If layover facilities were provided within the proposed 17 bays, this would further reduce the facility’s capacity (as per point above), which is already marginal.
 - The large area provided for buses to reverse out of their bays would be unsightly and could potentially be used for terrorist ram attacks, and this would be difficult to design out. It also reduces space available for pedestrian circulation around the station because more space is needed to turn/ reverse buses as they enter and exit their stands.
 - We are not clear how a business case could be assembled to support the introduction of a facility of this design. We would also be concerned about CYC’s exposure to unavoidable ongoing revenue costs (for banksmen). We are not clear how these costs could be recouped because the facility is not responding to a call from bus operators for an interchange of this type at York Station – consequently, we would not be able to assume the operators would fund the facility through access charge revenue as they do at other bus station (e.g. those in West Yorkshire).
- We are also concerned that introducing the facility would introduce a new constraint on bus operations in York because the single entrance/ exits to the facility would be likely to cause congestion getting into and out of the facility. There may also be congestion associated with accessing individual bays – for example, as is currently seen now when more than one service 66 bus presents at the existing station stop RJ. By your own estimates, the facility would add 1 minute to inbound passenger journey times, and 3 minutes for outbound passengers. It is worth pointing out that this would impose a very significant disbenefit to any business case for the facility which would be difficult to overcome with the amenity benefits experienced by passengers with trips beginning or ending at the Rail Station. As such, we are concerned that the Bus Station would not be affordable with the funding we are currently intending to access (and we are not aware of other funding).

There are differing degrees of difficulty overcoming the issues flagged up by this exercise. Some, such as the issues around layover spaces or short stay parking, could be designed out relatively easily. Others, such as around facility capacity and pick up/ set down are likely to be more challenging to solve without unintended consequences elsewhere in the scheme (e.g. would there be a need to leave pick up/ set down provision in Tea Room Square? Would there be a need to put straight-through bus stops adjacent to Station Square?). The problem of amenity detracting from the large area of heavy-duty surfacing in the bus turning area and the additional journey time for straight through passengers and buses – and resultant challenge to the business case for the scheme – are issues that we think are not possible to resolve.

As such, we are confident that the approach we are following will deliver better outcomes for York and its bus services. Public consultation on the CYC proposed arrangement also appears to generally support the design that is currently put forward. The bus operators in particular gave feedback which was supportive of the approach being taken. There is, of course, an appetite amongst some people for providing a bus station at the Rail Station, but we don't think that this is such that it overcomes the support we have received for the proposal we have put forward, even if there were not some significant technical shortcomings with the scheme you are suggesting.

We are very grateful for the work you have done on your proposal and we have found comparing it with the CYC proposal to be a thought-provoking and rewarding process. We hope that this letter is not too disappointing and look forward to your input into further schemes as they move forward.

Yours sincerely,

Gary Frost

Major Transport Projects Manager

Appendix: Bus Services at York Station – forecasts for planning the new interchange: November 2017.

South/ Westbound (outbound)

Service	Current stop used	Type of use*	In 2015	Current (Nov 2017)	15 year forecast	Notes
1	RF	S	6	5	6	Aspiration for 6 bph, for new dev. at Haxby
3	RG	S	6	6	6	Currently articulated
4	RG	S	8	6	6	
5/5A	RF	S	0	4	4	Aspiration for 6 bph
7	RH	S	6	6	6	Currently articulated. One direction only.
10	-	-	2	0	0	Route changed
11	RH	S	2	2	2	
12	RH	S	2	2	6	Increase reflects development at Monks Cross
13	RH	S	1	2	2	
14/ 16	RH	S	1	1	1	
21	RJ	S	0.5	0.5	0.5	
22/ 23	RJ	S	0.5	0.5	0	Move to other side of Stn
24	RH	S	1	1	1	
26	RH	S	1	1	1	
36	RJ	S	0.5	0.5	0.5	
37	RJ	S	0.5	0.5	0.5	
44	-	-	6	0	0	Set down only. Route ceased.

59	RF	S	6	6	0	Move to other side of Stn
66	RF	O	0	8	8 ²	Needs to turn
412	RJ	T	0.5	0.5	0.5	
422	RJ	T	0.5	0.5	0.5	
Coastliner	RJ	T	4	3	3	
National Express	RJ	T	1	1	1	
CityZap	RJ	T	0	2	2	
TOTAL per hour			56	59	57.5	

*T=timing point, S=calling point, O=set down only

² Because this service would turn at the Station, it would probably be possible to stop it on only one side of the road – hence reduce the number of stopping movements on this side of the road by 8.

North/ Eastbound (inbound)

Service	Current stop used	Type of use*	2015	Current	15 year forecast	Notes
1	RA	T	6	5	6	Aspiration for 6 bph
3	RD	O	6	6	6	Currently articulated
4	RA	O	8	6	6	
5/5A	RB	T	0	4	4	Aspiration for 6 bph
10	-	-	2	0	0	
11	RB	T	2	2	2	
12	RB	T	2	2	6	Increase for development at Monks Cross
13	RA	T	1	2	2	
14/ 16	RA	T	1	1	1	
21	RB	T	0.5	0.5	0.5	
22/ 23	RA	O	0.5	0.5	0	Move to other side of Stn
24	RA	O	1	1	1	
26	RB	T	1	1	1	
36	RJ	T	0.5	0.5	0.5	
37	RJ	T	0.5	0.5	0.5	
44	-	-	6	0	0	Service ceased
59	RE	O	6	6	0	Move to other side of Stn
66	RD	T	0	8	8	Needs to turn
412	RB	T	0.5	0.5	0.5	
422	RB	T	0.5	0.5	0.5	

Coastliner	RC	T	4	3	3	
Nat Express	RC	T	1	1	1	
EYMS	RC	T	2	2	2	Needs to turn
CityZap	RC	T	0	2	2	
City Sightseeing	RE	S ³	6	6	6	Seasonal. One direction only.
Land SE of York service	-	T	0	0	6	Terminating, needs to turn
Land NW of York service	-	T	0	0	6	Terminating, needs to turn
415 to Selby	-	T	0	0	4	Aspiration - needs to turn
TOTAL per hour			58	61	75.5	

Western side of Station**Outbound**

Service	Current stop used	Type of use*	2015	Current	15 year forecast	Comments
5/5A	-	-	4	0	0	
10	None	S	0	2	2	
22/23	RJ	T	0	0	0.5	From east side
59	RF	S	0	0	6	From east side
TOTAL per hour			4	2	8.5	

³ Not a timing point, but there is a need for the service to dwell here because of the commentary.

Inbound

Service	Current stop used	Type of use*	2015	Current	15 year forecast	Comments
2	None	S	6	6	6	
5/5A	-	-	4	0	0	
10	None	S	0	2	2	
19	None	S	1	1	1	
29/31	None	S	1	1	1	
30	None	S	1	1	1	
22/23	RA	O	0	0	0.5	From east side
59	RE	O	0	0	6	From east side
TOTAL per hour			13	11	17.5	

Note: in practice, services 2, 10, 19, 29/31 and 30 currently stop on Leeman Rd (adj Railway Museum) and on Station Rise Stop RK (10 outbound only) and Station Avenue Stop RM (all inbound services)

Operational considerations

- Services 23/23 and 59 would be moved to western side of station as closer to new post York Central line of route – would reduce outbound side demand to 57.5 per hour and inbound to 75.5 per hour
- Is assumed that services which terminate and turn at the Station (Land SE and NW of York, 415, EYMS, 66) only serve one side of road – is assumed they are on Eastbound side now – but they could be on the west bound side, balanced between the two sides of the road, use the layover bays on the Station circulatory road or moved to the western side of the Station (nb – services 66 and 415 and EYMS services currently use double deckers, so wouldn't currently be able to use Leeman Road tunnel unless the vehicle type was changed – which may cause capacity problems. Method of traffic control through Leeman Arch would also be critical). Likewise any new services moved to the western side of the Station would also need to use single deck vehicles to get through the tunnel. Turning facilities would also have to be provided on the western side of the Station).
- Layover bays – access to and from/ blockages/ reliability crucial to effective operation – enforcement critical.

Annex 5

GENERAL ARRANGEMENT DRAWING FOR PUBLIC CONSULTATION



Railway Station

Item 5: The design of the short stay car park should incorporate capacity for rail replacement buses.

Item 3: Provision of counter-terrorism measures in front of the station.

Item 4: There is no dedicated provision for a private hire taxi pick up point.

York RI Gymnasium

Item 1: The segregated cycleway is located between residential properties and 7no. parking bays.

Item 2: There is inadequate provision for cyclists to cross the road.

Item 2: There is inadequate provision for cyclists to cross the road.

Key:

Indicative Planning Boundary

B	06/11/18	JT	CW	RB
For Information				

A	17/05/18	JB	CW	RB
For Information				

Rev	Date	By	Chkd	Appd
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ARUP

Admiral House, Rose Wharf,
78 East Street, Leeds, LS9 8EE
Tel +44(0)113 242 8498 Fax +44(0)113 242 8573
www.arup.com

Client
City of York Council

Project Title
York Station Frontage

Drawing Title
General Arrangement
Public Consultation

Scale at A3
1:2000

Role
Civil - Highways

Suitability
- For Information

Arup Job No 257903	Rev B
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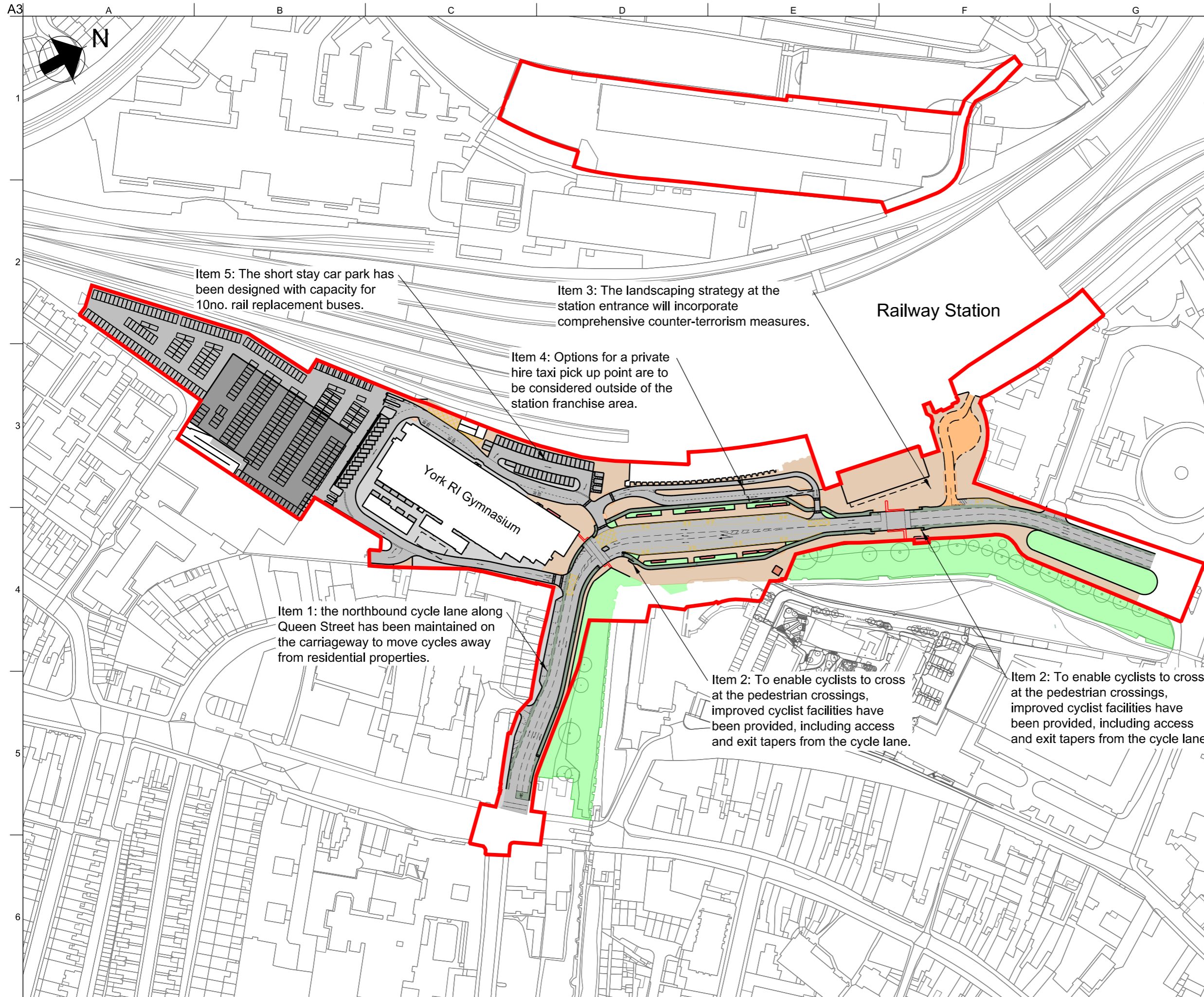
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YSF-ARP-00-XX-DR-CH-0005

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Annex 6

**DRAWING SHOWING DESIGN CHANGES TO REFLECT
PUBLIC AND STAKEHOLDER FEEDBACK**

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Key:
— Planning Boundary

A	06/11/18	JT	CW	RB
For information				
Rev	Date	By	Chkd	Appd

ARUP
 Admiral House, Rose Wharf,
 78 East Street, Leeds, LS9 8EE
 Tel +44(0)113 242 8498 Fax +44(0)113 242 8573
 www.arup.com

Client
 City of York Council

Project Title
 York Station Frontage

Drawing Title
 General Arrangement Showing
 Design Changes Made Following
 Public Consultation

Scale at A3 1:2000
 Role Civil - Highways
 Suitability -

Arup Job No 257903	Rev A
Name YSF-ARP-00-XX-DR-CH-1051	

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

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

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

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

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

Introduction

Service submitting the proposal:	Major Transport Projects
Name of person completing the assessment:	Brendan Murphy
Job title:	Senior Transport Project Manager
Directorate:	Economy and Place
Date Completed:	06/11/2018
Date Approved (form to be checked by head of service):	

Section 1: What is the proposal?

1.1	Name of the service, project, programme, policy or strategy being assessed? York Station Front Improvements
1.2	What are the main aims of the proposal? City of York Council (CYC), in collaboration with Network Rail (NR) and London North East Railway (LNER), has developed a masterplan that proposes to reorganise highway and public realm areas to the front of York Station through: <ul style="list-style-type: none"> the removal of the Queen Street Road Bridge and rebuilding the Inner Ring Road at grade;
1.3	What are the key outcomes? A better and more organised arrival experience and transport interchange in York for users of all demographics

Section 2: Evidence

2.1	What data / evidence is available to support the proposal and understand its likely impact? (e.g. hate crime figures, obesity levels, recycling statistics) Traffic and pedestrian data and traffic models showing vehicle, cycle and pedestrian flows.
2.2	What public / stakeholder consultation has been undertaken and what were the findings? One month full public consultation across modern and traditional platforms. Key findings were: <ul style="list-style-type: none"> - In total 14 stakeholder groups responded and over 1,400 comments were received from the general public. Responses were channelled through a variety of sources including social media, email and written responses, together with face-to-face meetings and

	Are there any other initiatives that may produce a combined impact with this proposal? (e.g. will the same individuals / communities of identity also be impacted by a different project or policy?)
2.3	York Central and York Station improvements scheme will form part of a broader upgrade of the area.

Section 3: Impact on One Planet principles

Please summarise any potential positive and negative impacts that may arise from your proposal on residents or staff. This section relates to the impact of your proposal on the ten One Planet principles.

For 'Impact', please select from the options in the drop-down menu.

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

Equity and Local Economy

Does your proposal?	Impact	What are the impacts and how do you know?
3.1 Impact positively on the business community in York?	Positive	Improved access to York Station encouraging more travel to the area.
3.2 Provide additional employment or training opportunities in the city?	Positive	Improved access and to the station and raised profile to the city will encourage new businesses to the city.
3.3 Help improve the lives of individuals from disadvantaged backgrounds or underrepresented groups?	Positive	The reorganised station seeks to improve dramatically access to the station and reduce conflict with different forms of transport.

Health & Happiness

Does your proposal?	Impact	What are the impacts and how do you know?
3.4 Improve the physical health or emotional wellbeing of residents or staff?	Positive	An easier to use station will reduce stress in station users. Better cycle access will encourage more healthier forms of travel too and from the station.
3.5 Help reduce health inequalities?	Positive	Through better station access
3.6 Encourage residents to be more responsible for their own health?	Positive	Simpler and more legible station and improved cycle facilities will encourage cycling and walking to the station.
3.7 Reduce crime or fear of crime?	Positive	Through anti-terror measures and providing a more open public realm.
3.8 Help to give children and young people a good start in life?	Unsure	N/A

Culture & Community

Does your proposal?	Impact	What are the impacts and how do you know?
3.9 Help bring communities together?	Positive	Better transport interchange will provide better station access and ease of travel.
3.10 Improve access to services for residents, especially those most in need?	Positive	The transport interchange and public realm spaces are designed with equality in mind.
3.11 Improve the cultural offerings of York?	Positive	The scheme will provide a much improved arrival experience sympathetic to the city's cultural heritage.
3.12 Encourage residents to be more socially responsible?	Neutral	N/A

Zero Carbon and Sustainable Water

Does your proposal?	Impact	What are the impacts and how do you know?
---------------------	--------	-------------------------------------------

3.13	Minimise the amount of energy we use and / or reduce the amount of energy we pay for? E.g. through the use of low or zero carbon sources of energy?	Positive	More cyclists and pedestrians will reduce car use.
3.14	Minimise the amount of water we use and/or reduce the amount of water we pay for?	Neutral	N/A.

Zero Waste

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

Sustainable Transport

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

Sustainable Materials

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

Local and Sustainable Food

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

Land Use and Wildlife

Does your proposal?		Impact	What are the impacts and how do you know?
3.20	Maximise opportunities to conserve or enhance the natural environment?	Positive	The scheme will incorporate a soft landscape design, including trees and planting. This will encourage biodiversity.
3.21	Improve the quality of the built environment?	Positive	The scheme will incorporate a soft landscape design, including trees and planting. This will greatly enhance the area in front of the station.
3.22	Preserve the character and setting of the historic city of York?	Positive	Conservation architects have been engaged, along with a dialogue with Historic England and relevant stakeholders to present a design that is sympathetic to the heritage of the city.
3.23	Enable residents to enjoy public spaces?	Positive	Greatly enhanced public spaces will be created.

3.40	Additional space to comment on the impacts		

Section 4: Impact on Equalities and Human Rights

Please summarise any potential positive and negative impacts that may arise from your proposal on staff or residents. This section relates to the impact of your proposal on **advancing equalities and human rights** and should build on the impacts you identified in the previous section.

For 'Impact', please select from the options in the drop-down menu.
If you wish to enter multiple paragraphs in any of the boxes, hold down 'Alt' before hitting 'Enter'

Equalities

Will the proposal **adversely impact** upon 'communities of identity'?
Will it **help advance equality** or **foster good relations** between people in 'communities of identity'?

		Impact	What are the impacts and how do you know?
4.1	Age	Positive	Improved public realm designed through consultation with older peoples groups creating greatly improved and inclusive areas.
4.2	Disability	Positive	Improved public realm designed through consultation with disability groups creating greatly improved and inclusive areas.
4.3	Gender	Neutral	N/A
4.4	Gender Reassignment	Neutral	N/A
4.5	Marriage and civil partnership	Neutral	N/A
4.6	Pregnancy and maternity	Neutral	N/A
4.7	Race	Neutral	N/A
4.8	Religion or belief	Neutral	N/A
4.9	Sexual orientation	Neutral	N/A
4.10	Carer	Neutral	N/A
4.11	Lowest income groups	Neutral	N/A
4.12	Veterans, Armed forces community	Neutral	N/A

Human Rights

Consider how a human rights approach is evident in the proposal

	Impact	What are the impacts and how do you know?
--	--------	-------------------------------------------

4.13	Right to education	Neutral	N/A
4.14	Right not to be subjected to torture, degrading treatment or punishment	Neutral	N/A
4.15	Right to a fair and public hearing	Neutral	N/A
4.16	Right to respect for private and family life, home and correspondence	Neutral	N/A
4.17	Freedom of expression	Neutral	N/A
4.18	Right not to be subject to discrimination	Neutral	N/A
4.19	Other Rights	Neutral	N/A

4.20	Additional space to comment on the impacts		



Section 5: Planning for Improvement

5.1	What have you changed in order to improve the impact of the proposal on the One Planet principles? (please consider the questions you marked either mixed or negative, as well as any additional positive impacts that may be achievable)
	The scheme has been designed through careful consultation with a very diverse range of stakeholders and members of the public to create greatly enhanced and inclusive proposals.

5.2	What have you changed in order to improve the impact of the proposal on equalities and human rights? (please consider the questions you marked either mixed or negative, as well as any additional positive impacts that may be achievable)
	Following detailed consultation with the public and disability groups, various elements to improve the legibility and usability will be incorporated into station access and public realm design.

5.3	Going forward, what further evidence or consultation is needed to ensure the proposal delivers its intended benefits? e.g. consultation with specific vulnerable groups, additional data)
	A broad and diverse consultation process has already been carried out, the results of which have been analysed and a detailed statement of Community Involvement has been produced. This statement will be submitted as part of a full planning application.

5.4 **Please record any outstanding actions needed to maximise benefits or minimise negative impacts in relation to this proposal?** (Expand / insert more rows if needed)

Action	Person(s)	Due date
Investigate an appropriate level of anti-terrorism response to incorporate into the landscape design	Senior Project Manager	Mar-19
Research methods to provide sustainable landscape and sustainable drainage options	Design Team	Mar-19
Continue to research and build an understanding of heritage in and around station	Design Team	Mar-19
Identify a philosophy to provide public art to enhance public engagement and wellbeing in the public realm	Design Team	Mar-19

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

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Executive

29 November 2018

Report of the Assistant Director (Communities and Equalities)

Portfolio of the Executive Member for Culture, Leisure and Tourism

Rugby League World Cup 2021**Summary**

1. This report asks the Executive to agree the council's financial contribution to York's bid to be a host city for the Rugby League World Cup 2021.
2. The report sets out the opportunity for York to host matches as part of the 2021 finals and the benefits for the city if we are selected:
 - Involvement for residents in what will be a world class event and an exciting festival of sport
 - A legacy of increased engagement with professional Rugby League, a sport that has strong popular roots in York
 - High profile coverage for the city with every match to be televised by the BBC. (There were over 19 m viewers world-wide when the tournament was last staged in England in 2013 and the audience for the sport has grown significantly since)
 - The Community Stadium and the city developing a real profile in international women's sport
 - A legacy of increased participation, especially in the women's game, which is growing in York - we have a team in women's super league which is now in its second season
 - The opportunity to deliver wider public health messages and to encourage participation in active lifestyles
 - The creation of significant volunteering opportunities bringing together students and residents
 - Having the involvement of the players in school and community settings. For example, previous tournaments have seen the French team delivering French lessons in schools and the Tongans or Samoans demonstrating the Haka

Recommendation

3. The Executive is asked to:
 - agree the level of financial contribution, set out in paragraph 9, of £200k
 - agree to the use of the Leeds City Region Business Rates Pool funding allocated to support cultural and sporting events in the city to fund the first £108k
 - agree to fund the remaining £92k from the revenue contingency budget in 2018/19
 - authorise officers to enter into a Hosting Agreement based on the terms of the bid as set out in paragraph 21

Background

4. The sixteenth staging of the Rugby League World Cup will take place in England in October - November 2021. The men's, women's and wheelchair World Cups will be staged together.
5. Cities were invited to bid, by 31 July 2018, to host matches, training facilities and team base camps. Up to 14 venues will be chosen, with decisions being announced by the Rugby League World Cup (RLWC2021) in January 2019.

York's Bid

6. York is currently a "Candidate City" within the bidding process. Our bid was submitted by a consortium consisting of the council as lead partner, together with the University of York, York St John University, GLL, York City Knights and Make it York. The bid also has the active support of the York Head of Communications Group. The Principal Hotel has agreed in principle to be the accommodation provider for the hosted teams.
7. York's bid was shaped through informal discussion with the Rugby Football League World Cup in which it was established that York has the potential to host women's matches (the stadium will not be large enough to host the men's matches) and that the following elements would represent the optimum package for the city:
 - Hosting one pool and one semi-final of the Women's World Cup comprising 6 pool games and 1 semi-final = 7 games in total
 - Hosting 4 women's teams & 1 men's team in the city

8. We have been able to put together a strong bid that promises to:
 - Get all residents involved in what will be an exciting festival of sport, one that has strong roots in the city
 - Boost our programmes to get more people active and tackle childhood obesity
 - Provide volunteering opportunities that will bring together residents and students
 - Grow rugby league in York, especially the women's game through high quality sports development activity
 - Help to establish York as a champion of women's sport
 - Showcase York and the Community Stadium internationally
 - Bring visitors to the city at a relatively quiet time of the year

The Council's Contribution

9. The city's bid includes a financial contribution from the council of £200k made up of:
 - £150k in cash
 - A budget of £50k to be retained by CYC to use to market the event, dress the city, promote participation initiatives, get wards and local people involved
10. The cash contribution will be payable in instalments. The first £100k, due in instalments in 19/20 and 20/21, could be met from the Leeds City Region Business Rate Pool funding allocated by Budget Council in February 2017 for "supporting cultural and sporting events".
11. A budget source will need to be identified for the remaining £50k instalment, due in 21/22, together with the £50k marketing budget which will be required at that time. It is proposed at this stage that the balance of funds, after use of Leeds City Region Business Rate Pool funding, comes from the revenue contingency for 18/19.
12. The two universities are both making their facilities available free of charge for training camps.
13. The Stadium Management Company will provide the stadium free of hire fee.

Options

14. The Executive has the option to commit to the financial contribution proposed in the bid or to withdraw the city from the bidding process.

Analysis

15. This event offers the opportunity for the Community Stadium and the city to develop a real profile in international women's sport adding to a growing profile in areas such as cycling. This profile will also assist in increasing women's participation in sport and active lifestyles and in promoting public health messages more generally. Above all, it offers the opportunity for residents to come together in an exciting festival.

Implications

16. **Financial:** The overall cost implication of the recommendations in this report is £200k, split between the financial years 2019/20 (£50k), 2020/21 (£50k) and 2021/22 (£100k).
17. An amount of £156k from the Leeds City Region Business Rates Pool was allocated in the 2017/18 budget process to support Cultural and Sporting Events. To date, £48k has been committed / spent supporting the development of a Cultural Strategy for the City, and the Leeds City Region sport and culture development work, leaving £108k unallocated. The first £108k of the expenditure detailed in paragraph 10 could therefore be funded from this balance.
18. This then leaves a further £92k to fund. . The finance and performance report elsewhere on this agenda identifies that funding is available within the revenue contingency.
19. **Equalities:** York's bid focuses strongly on targeting identified areas of inequality for example in participation in sport and active lifestyles. It will also use the connection with rugby league to engage interest in university entry amongst young people who might not otherwise consider it. The initial integrated impact assessment shows a number of potential positive impacts together with the need, if York's bid progresses, to draw up detailed actions plans to ensure that all sections of York's communities are able to benefit. In support of this, the £50k budget will, in part, be used to enable and promote access to activities.
20. There are no other implications arising from the report.

Next Steps

21. If the Executive approves the Council's contribution the next stage will be for the Council sign the RLWC2021's Hosting Agreement based on the terms of the bid. RLWC2021 will then make their final assessments of bids with candidates to be notified on or before 25 January 2019. At this point RLWC2021 will countersign and return Hosting Agreements to successful host partners.

Council Plan 2015-19

22. The proposals in this paper support the Council Plan aim of *A Prosperous City for All* where:
- Local businesses can thrive
 - Efficient and affordable transport links enable residents and businesses to access key services and opportunities
 - Everyone who lives in the city can enjoy its unique heritage and range of activities.
 - Visitors, businesses and residents are impressed with the quality of our city

Risk Management

23. In compliance with the Council's risk management strategy the main risks that have been identified in this report are those which could lead to the inability to meet business objectives and failure to meet stakeholders' expectations, which could in turn damage the Council's image and reputation. Measured in terms of impact and likelihood, the risk score has been assessed at less than 16.

Author:	Chief Officer responsible:		
Charlie Croft Assistant Director (Communities and Equalities)	Maxine Squire Interim Director of Children, Education and Communities		
Report Approved	✓	Date:	13.11.18.
Specialist implications officers: Mike Barugh Principal Accountant			
Wards Affected:	All		
For further information please contact the author of the report			

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Executive

29 November 2018

Report of the Corporate Director of Health, Housing and Adult Social Care

Portfolios of the Executive Member for Adult Social Care and Health and the Executive Member for Housing and Safer Neighbourhoods

Older Person's Accommodation Programme – A further phase

Summary

1. This report gives an update on the level of provision of older person's accommodation across the city and the mix of accommodation types available. It asks members to agree that the direction of the next phase of the Older Person's Accommodation Programme should be shaped by a programme of engagement and consultation with residents.

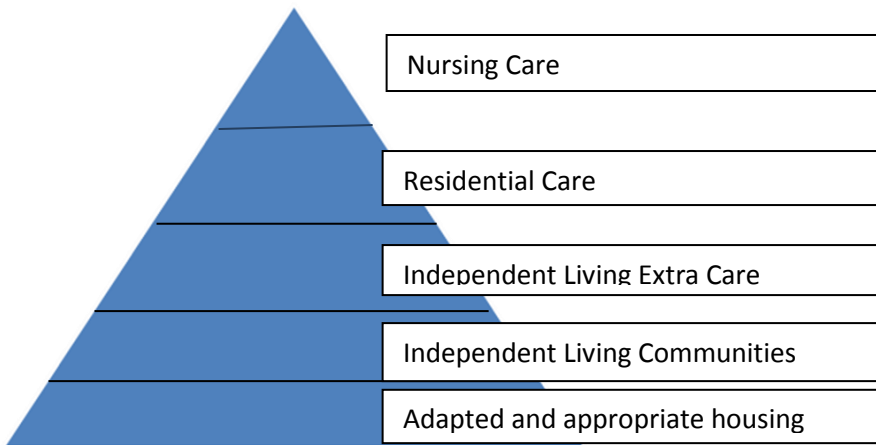
Recommendations

2. The Executive are asked to:
 - Note the information in the report and the challenges and direction for the future of the programme.
 - Agree the need to engage with residents and stakeholders to shape the future direction for Older Person's Accommodation in the city.
 - Agree the next phase of the work programme from December 2018 onwards. With reports to Executive from February 2019 as the programme develops.

Reason: In order to ensure that the provision of older person's accommodation in the city meets the needs and expectations of residents and to inform future Council investment in older person's accommodation.

Background

3. The provision for older people's accommodation can be represented as a pyramid with care needs traditionally increasing towards the top of the pyramid.



4. The first phase of the Older Peoples' Accommodation Programme has focussed primarily on the top 3 tiers of the pyramid.
- Addressing the Council's ageing residential care stock, safely closing buildings which were no longer fit for purpose, and encouraging and supporting investment in new modern residential care homes across the city.
 - Boosting the provision of accommodation for Independent Living with Extra Care. Including the extension of Glen lodge and the current project to extend the accommodation at Marjorie Wait Court and include 24 hour care at both schemes. The programme has also ensured the provision of 24 hour care at Auden House

Nursing & Residential Care

5. The city currently has 964 nursing and residential care beds. This is almost 18 beds per 100 residents aged 75+. The level of provision varies across the city, with provision highest in the north. Currently there are approximately 450 residents in care home places funded by the Council, this figure varies depending on the number of short breaks placements. The first phase of the programme has put plans in place to deliver approximately 560 high quality care home beds. However, if the proportion of residents aged over 75 who move into residential or nursing care remains the same over the coming years, (applying national benchmarks to current population projections), the city will have a demand for an additional 750 beds by 2032. Work is ongoing to support the development of nursing & residential care facilities in Burnholme, Fordlands, New Lodge and Green Lane. There is planning approval for a care home on the Lowfield Green site.

Independent Living with Extra Care.

6. The aim to support people with high care needs to continue to live independently with any level of care needs, is continuing to drive the development of Extra Care accommodation. The first phase of the programme has extended and improved the facilities at Glen Lodge and provided 24 hour care at Auden House, Glen Lodge and Marjorie Waite Court. Work is underway to extend and improve Marjorie Waite Court to provide additional accommodation with Extra Care.
7. The programme is also supporting partners with the development of Independent Living with Extra Care accommodation at New Lodge and Regency Mews. The Council is continuing to work with the preferred bidder to explore opportunities for extra care provision at Oakhaven.
8. There are a total of 224 extra care units in the city, with a further 194 planned. The city will then have a provision of 2.4 units per 100 residents aged 75+. Provision of Independent Living properties with Extra Care is significantly higher in the east and west of the city than in the north. The units at New Lodge and Marjorie Waite will create a more even distribution. Applying national benchmarks to current population projections it is anticipated that there will be a demand for a further 155 extra care units by 2032.

Independent Living / Sheltered Housing

9. The city currently has 1170 independent living units in, with plans in place to increase this to 1252. York has 38 independent living schemes with an average of 39 units per scheme. Many of the Council's schemes are smaller than this. They are provided by a range of Registered Housing providers, some schemes are dated and in poor condition, are no longer financially viable due to their size or have opportunities for expansion or redevelopment.
10. The average number of applications for Council 1 bed roomed independent living properties is 18.4, reflecting the significant demand for properties. However the number of bids per property varies across the schemes from 30+ to 1 when vacancies were last advertised, which may be reflective of the location and quality of the facilities.
11. The Older Peoples' accommodation stakeholder group, made up of representatives from older person's advocacy groups and Independent Living providers, has requested that the next phase of the programme should include a review of the independent living model in the city and an analysis of opportunities for improvements in each of the schemes.

60+ Housing.

12. 81% of the city's residents aged 75+ own their own home, and have had no involvement with Social housing services. This is significantly higher than the national average. Currently all extra care housing schemes in the city are provided by social landlords. The range of housing stock in the city does not reflect the needs of these older home owners.
13. The Council currently fund domiciliary care for approximately 650 residents. This is provided in general needs housing, independent living schemes and in extra care accommodation.
14. The Council's local plan housing policies promote a mix of housing types within developments, but there is not a policy direction on the type of accommodation for older people which is the most sought after. There is a role for the Older Person's Accommodation Programme to ensure that our planning policies and strategic housing sites address the need for housing for residents of all ages. To do this, officers should engage early with developers and promote the benefits of a housing mix that reflects the city's demographics, and to influence design to ensure that the accommodation is integrated with access to services and community facilities.
15. Advocacy groups for older people in the city report that they are regularly contacted by people wanting support to find appropriate accommodation, seeking assistance with down sizing, clearing out clutter, viewing properties, and moving house. Often the prospect of moving house becomes overwhelming and residents choose to remain in their existing property. House moves for older people are often as a result of reaching a crisis point rather than a lifestyle choice.

A Further Phase of the Programme.

16. Despite the successes of the Older Person's Accommodation Programme and the current development schemes, it is clear that there is a need to continue to develop further accommodation and to ensure that there is a range of accommodation types to suit the needs of York's older residents.
17. The purpose of the Older person's Accommodation programme is to
 - Provide and enable the provision of appropriate accommodation to support older people to live well independently with a wide range of care needs,
 - Where this is no longer possible or desirable, to ensure the provision of good quality, modern, care accommodation for York's residents.

18. Officers will continue to deliver the schemes which have already been planned into the programme. This work is shown in the work plan at annex 1. It includes:
- Delivery of Council capital programme schemes at Lincoln Court and Marjorie Waite Court
 - Support and enable the development of a care home at Burnholme
 - Complete the transfer and support the transformation and extension of Haxby Hall care home.
 - Work to support other housing and care providers in the city to develop accommodation to meet the needs of York residents.
19. Work to date on the programme has focussed on nursing, residential and extra care accommodation. The next phase of the programme will review the Council's independent living stock, ensuring it is fit for purpose, looking for opportunities to increase the provision and enabling the facilities to serve the surrounding community. A time table for this work is also included in the work plan at annex 1.

Engagement to establish the accommodation demand in York.

20. The supply and demand benchmarks used above are all national figures. It is not clear whether the population of York are similar to the national average when it comes to demand for the different accommodation types. Officers propose that the next phase of the programme will include engagement with advocacy groups, residents, housing providers, and estate agents to establish how people in York want to live in their later years and the type of accommodation that would best support this. This may lead to a recommendation for the Council to develop local benchmarks of supply to reflect local demand. The results of this engagement will be brought to members in Spring 2019.
21. Linked to the need to understand local demand for accommodation is the need to raise awareness of the housing options becoming available for residents. In particular the range of independent living options and the increasing range of housing tenures. Through the engagement process officers will share information about extra care accommodation, independent living schemes and shared ownership options for each housing type, and shared living models which are all going to be available from Autumn 2019. This information will be shared with residents through the Future Focus

programme, front line care teams and housing options staff, as well as partners, advocacy groups and the media.

Reviewing the programme.

22. Following the development of Glen Lodge Extra care scheme the Housing Learning & Information Network carried out a review of the project and the operation of the scheme. This review found that:
- a. Residents are very happy with the building, and spoke positively about the design, staffing and location of the scheme.
 - b. Engagement with staff on site makes a big difference to how safe and happy the residents feel.
 - c. The council should appoint a single scheme manager at Glen Lodge, and at future extra care housing schemes, with overall responsibility for operational delivery of all aspects of the scheme including housing and care.
 - d. The Council should develop an approach to the use of Glen Lodge and future extra care housing schemes by older people from the surrounding community. This is an opportunity to generate considerable additional benefits from developing extra care housing for a larger number of older people in the wider community.
23. Implementing the findings of this review will be incorporated into the work of the programme.

Implications

Financial

24. The Older Persons' Accommodation Programme is on track to achieve the £553k saving agreed in the original business case. We will refine the financial modelling as the detail of the next phase becomes clearer and outcomes of the consultation can be considered.

One Planet Council / Equalities and Better Decision Making Tool

25. Following the proposed consultation and engagement, a full impact assessment of the proposed next steps, individual capital scheme elements within the programme and any York based accommodation benchmarks will be carried out and brought to a meeting of the executive in Spring 2019.

Legal

26. There are no Legal implications of this paper.

Property

27. Officers from the older person's accommodation programme are working along side colleagues responsible for the community asset strategy to identify opportunities for co-location of services, integration of community providers within Independent Living schemes and other community facility opportunities.

Risk Management

28.

	Risk	Mitigations
1	Options for accommodation for older people do not match the expectations and aspirations of the city's residents	The programme will engage with residents, families and stakeholders to better understand resident's expectations.
2	Those with high care needs and their carers/assessors do not recognise Extra Care accommodation as suitable because this model of accommodation is not yet well established in York.	Resident, carer, staff and advocates engagement will raise awareness of the options available and the opportunities that Extra Care accommodation provides.
3	Insufficient funding available to deliver all elements of the programme.	The programme's financial model is constantly reviewed. The provision for Older Person's Accommodation will form an integral part of the Council's housing development function. Each capital element of the programme will have an individual business case.

Annexes

1. Work Plan December 2018 onwards

Contact Details

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	Report Approved	✓	Date 5/11/18
Specialist Implications Officer(s) Legal – Walter Burns (Ext 4402)Gerard Allen (Ext 2004) Finance – Debbie Mitchell (Ext 4161) and Steve Tait (Ext 4065) Property – Philip Callow (Ext 3360) and Ian Asher (Ext 3379)			
Wards Affected: All			

Annex 1					
Work plan December 2018 onwards.					
Work Stream	Q4 2018	Q1 2019	Q2 2019	Q3 2019	Q4 2019
CYC ILC projects					
Marjorie Waite Court <i>Complete Q4 2019</i>	Procurement complete, award contract.	Construction work begins Project manage building work	Project manage building work	Project manage building work	Building works continue. Ensure nominations panel processes in place.
Lincoln Court	Planning approval Procurement completed, award contract Window replacement work completed	Construction work begins on site	Project manage building work	Project manage building work	Project manage building work.
Review of ILC schemes		Phase 1 <ul style="list-style-type: none"> Information gathering Tenant and wider community engagement Staff and partner engagement. Take forward up to 2 projects based on information on demand, building condition etc	Phase 1 Exec approval, Planning submission Phase 2 <ul style="list-style-type: none"> Information gathering Tenant and wider community engagement Staff and partner engagement.	Phase 1 Procurement of development partner Phase 2 Further 3 ILC schemes based on information on demand, building condition etc Take forward up to 2 projects.	Phase 1 Work starts on site Phase 2 Exec approval, Planning submission Procurement of development partner

		Design briefs work in consultation with partners.		Design briefs Design work in consultation with partners.	
Partnership schemes					
Burnholme	Care home construction works begin on site.	Liaison with care home development.	Liaison with care home development.	Prepare care home block contract and usage	Care home construction complete. Support bedding in of block contract.
Haxby Hall	Conclude Haxby Hall procurement	Transfer of site, support development proposals	Conclude transfer of site. Work with partner to ensure smooth transition for residents. Support development proposals	Planning for transformation scheme.	Phase 1 construction work on site.
Lowfield Green		Procurement of care home provider		Care home planning	Care home development work starts on site
Oakhaven <i>Due for completion Q3 2020</i>	Planning application submission	Continue Planning negotiations.	Planning approval.	Work starts on site	Monitor progress of works

Independent providers. Fordlands, New Lodge Regency Mews Green Lane	Sign off of Regency Mews S106 Monitor progress of all sites Work with JRHT to develop Shared Ownership nominations and support processes and comms.	Regency Mews Extra Care start on site Prepare for new lodge nominations Monitor progress of all sites	Phase 1 New Lodge complete. Support Nominations, relationships and processes.	Fordlands Care home due for completion.	
Information/ Promotion and Policy					
Information and training for staff	Share work plan for next phase of work. Develop vision with colleagues and stakeholders and share.	Prepare and share Information about upcoming accommodation opportunities through Future Focus training, comms, team meetings.	Update staff and stakeholders on progress of programme		
Planning policy	Ensure that planning are aware of the OPAP and the vision for independent living. Share challenges of tenure mix and the demand for smaller manageable properties	Develop Prospectus for older people's independent living to be shared with developers of Strategic Housing sites.	Work with Developers to pilot well designed accommodation for older people.	Ongoing	
Consultation	Work with Business Intelligence Hub and	Work with Business Intelligence Hub and	Share results with Executive, Housing	Ongoing engagement in the development of	Ongoing engagement in all elements of the

& Engagement	partners to carry out residents engagement and consultation around views of older person's accommodation in York.	partners to carry out residents and stakeholder engagement and consultation around views of older person's accommodation in York.	and Care colleagues and with city partners,	the programme	programme
Support Partners	Continue to work with OPAP Stakeholder group and support the work of partners.	Seek funding opportunities to support the work of partners such as Age Uk to support Owner Occupiers to acquire age appropriate accommodation.	Seek opportunities to develop pilot schemes for rent before you buy, or schemes where developer buys previous property and transfers equity when property sold on.	Ongoing	Ongoing
Communications	Ongoing communications programme to promote the work of the programme.	Communications/ information programme to share challenges of the programme and highlight housing options for tenants and home owners.	Ongoing	Ongoing Promotion of Shared Ownership opportunities.	



Executive**29 November 2018**

Report of the Corporate Director, Children, Education and Communities

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

The Inclusion Review and the Special Needs Capital Grant**Summary**

This report provides the members of the council's Executive with an update on the work taking place to review processes and provision for children with special educational needs and/or disabilities (SEND). In the last five years there has been a considerable increase in children and young people identified with special educational needs and/or disabilities both nationally and in the city. In York:

- those entitled to an Educational, Health and Care Plan (EHCP) have increased from around 500 to nearly 800;
- those with a diagnosis of Autism have more than doubled;
- numbers attending our two special schools, and the main hub for alternative provision, have increased well past the original capacity they were designed for.

York, in common with a number of local authorities, has therefore embarked on a comprehensive Inclusion Review which could see changes to processes, governance and the commissioning of provision. This Review is still under way. In the short term, the most pressing need is to accommodate the increases outlined above – at all age ranges and in all types of provision. The proposed changes to school funding through the move to the National Funding Formula (NFF) and the changes to the school curriculum and accountability measures have also added additional pressures for mainstream settings and schools. There are concerns about the rising numbers needing specialist support, and about how best to deal with complex social and behavioural issues that school staff are now facing.

Recommendations

1. The members of the council's Executive are asked to note the progress of the Inclusion Review and the actions being taken to meet additional need and manage the pressures on the High Needs funding block of the dedicated schools grant (DSG).
2. The members of the council's Executive are asked to note the progress of the capital plan being developed through the Inclusion Review. Members are asked to approve the capital projects outlined in the report which form part of the SEND scheme in the Children's Services approved capital programme. This will be partly funded from the use of the Department for Education Special Education Provision Capital Grant with additional resources coming from the basic need grant.

Background

3. The number of children with special educational needs and/or disabilities, particularly those with complex autism and those with social, emotional and mental health (SEMH) conditions, is growing. As with all aspects of school place planning projecting the number of places needed for children with SEND is complex and multi-faceted. In order to project need the local authority (LA) uses the information available from population level data provided by the Office for National Statistics, information from health, early years sufficiency data and the January school census returns. The January school census records the numbers of children and young people with special educational needs and what their primary need is.
4. The LA also collates data regarding the number of statutory assessments and information about young people who have left school, at post 16 or post 18 or 19, if in special school. The LA is also using trends data to project future need through an analysis of national and local data trends with regards to SEND and primary need. The school census data shows a rise in numbers of children and young people with special educational needs year on year. In January 2018 12% of the school population were recorded as having special educational needs, a rise from 11.6% in January 2016.
5. In the last 5 years York, in common with LAs nationally, has also seen a significant rise in requests for statutory assessment. Requests

for statutory assessment are made when a child has needs greater than those of his/her peers and the school/provider cannot meet these needs within the delegated SEN funding for schools. The requests for statutory funding have gone up from 60 in 2013/14 to 119 in 2016/17. This suggests there is a higher level of need for additional support for children with SEN.

6. The greatest increase in requests for statutory assessment has been the requests for children and young people with autism, followed by the increase in the needs of children and young people with social emotional and mental health needs (SEMH). This therefore suggests that the greatest need for additional provision will be for children and young people with autism and social emotional mental health needs.
7. This has led to a need to review current provision and identify areas where provision needs to be developed to meet need. As a result the Local Authority (LA) has started an Inclusion Review which is adopting a system leadership approach through working with school leaders, council officers, parents and other stakeholders to review and develop strategy, processes and provision to meet the needs of children and young people with special educational needs and/or disabilities. The recommendations from phase 2 of the review are included as Annex 1 of this report. The development of in-city education provision alongside the development of therapeutic and short breaks support through the Centre of Excellence will help to reduce the need for high cost out of city placements and help to improve outcomes for children and young people.
8. The growth in SEND numbers has been recognised nationally by central government and this has led to the allocation of SEND capital funding. The first phase of the capital projects linked to the Inclusion Review has involved identification of projects to meet existing need in the education system. Over the next three years York has been allocated £590K by the Department for Education through the Special Provision Capital Grant to fund additional provision for children and young people with special educational needs and/or disabilities. Various projects have been identified for the use of this funding to meet existing need, however, it has been recognised that additional funding will also need to be allocated from basic need to ensure that sufficient provision is developed to meet growing need across the 0-25 age group. In addition the LA approved £525k of its

own capital resources to contribute to this additional provision through an earlier CRAM process.

9. Various capital projects have been identified which will be supported by the SEND Capital Scheme, mainly funded from the Special Education Provision Capital Grant. These projects include:
 - developing additional special school and mainstream provision for children with complex autism;
 - the development of SEMH provision at the Danesgate Community;
 - work to develop more local provision for young people 19-25.
10. All these projects will help to meet existing needs that have been identified through the Inclusion Review. The council's Executive is asked to approve the use of the funding for these projects and to note the possible future allocation of additional funding from basic need which is an expectation from the Department of Education to access the full allocation of funding from the Special Needs Provision Capital Grant. Further work is taking place to establish future need and approval for projects requiring the use of basic need funding to provide additional school places for children and young people with SEND will be sought from the council's Executive.
11. Hob Moor Oaks Primary Special School has been experiencing significant in- year place pressures during the academic year 2017-18 as the number of children with complex autism is continuing to grow. A small number of highly complex children currently on roll at the school need to be provided with smaller personalised learning spaces to meet their needs. In order to ensure that the needs of the children could continue to be met from September 2018 some initial capital works to create a personalised learning suite needed to take place in August 2018. The cost of these works amounts to £84,980.78. It is clear that further work on the Hob Moor Oaks site will need to take place in order to ensure that the school is able to meet current and future need however, the details of future capital works will be determined following a full feasibility study in the autumn term 2018. An indicative budget of £250,000 has been identified to complete this work however a more detailed report will be developed and shared with the Executive Member for Education, Children and Young People. Approval for any additional capital works will be sought at a lead member decision making session following the completion of the detailed feasibility study.

12. Additional detailed feasibility studies will be taking place as part of the Inclusion Review to ensure that the development of provision across the 0-25 age range has been identified within the school place planning forward plan.
13. Work is also taking place to develop additional enhanced resource provision in a maintained primary school to meet the needs of children with complex autism and to develop additional satellite provision in a mainstream secondary school. The additional secondary satellite provision will mean that children on the roll of Applefields Special School are able to be supported to access provision on a mainstream secondary school site. This will build on the success of the satellite provision currently hosted by Manor Church of England Academy.
14. In order to ensure that sufficient specialist provision is in place for children who have SEMH as their primary need work is taking place with the Danesgate Community. The use of capital funding to develop the provision with the Danesgate Community will help to reduce the need for out of city placements for children and young people with SEMH as their primary need. This will facilitate the development of a supportive pathway in to further learning and employment to improve the outcomes of children and young people whose complex behaviours make it difficult for them to succeed in mainstream education.

Consultation

15. The LA is committed to the principles of good, timely communication and consultation with all partners/stakeholders. The LA wants to ensure that effective engagement and communication with key stakeholders is in place to ensure that the decision making process is transparent and well understood. An important element in this consultation process is the work currently taking place with the York Schools and Academies Board and consultation with parents and carers.

Options

16. The work associated with the Inclusion Review and the management and delivery of the SEND capital programme is challenging and requires specialist knowledge of the legislation and planning processes. The delivery of sufficient school places remains a

statutory duty of the local authority however to discharge this effectively there is a need to understand demographic trends and to work with a range of stakeholders including academy trusts and the Department for Education. The capital schemes identified in this report would ensure that sufficient school places are delivered in the areas of the city where they are needed and would also ensure that the growth in the need for SEND places could be met. This would be achieved through the use of the Special Needs Capital Grant and an allocation of funding from basic need to support the maintenance of a mixed economy of provision to include enhanced resource and satellite provision in mainstream schools and additional special school places.

Analysis

17. The Inclusion Review is designed to deliver the following outcomes:

- There is a shared vision for the inclusion of children and young people across the Local Authority and School Community;
- There is greater clarity around the use of the High Needs funding element of the DSG to ensure that limited resources are used more effectively;
- There is a 'meeting in the middle' between achievement and inclusion; recognising outcomes for children and young people in terms of academic progress (rather than attainment) as well as engagement;
- There are clear and agreed pathways for children and young people with social, emotional, mental health needs (SEMH) (including learning needs analysis, referral, assessment, planning, review, transition, multi agency engagement)
- These pathways are described across a continuum of support from school level, enhanced resource provision, satellites, in school arrangements and out of school arrangements.
- Remodelled in reach and outreach support arrangements to increase capacity, confidence and skills across the school community, including systematically sharing best practice;
- New evidence based enhanced resource provision children with complex autism.

- Reviewed Behaviour and Attendance Partnership (BAP) arrangements for the City that are informed by and support the new approach to inclusion.
 - Reviewed governance arrangements and roles across the LA and school community that ensure progress and compliance against the new vision/ strategy.
 - Reviewed pathways will secure positive longer-term outcomes in terms of educational success, destinations and 'life skills'.
18. The growth in the numbers of children being assessed with SEND is putting pressure on the High Needs Block of the dedicated schools grant. All LAs nationally are feeling this pressure and the situation in York is no different to that being experienced nationally.
19. In order to manage these pressures it is crucially important that sufficient local provision is developed to meet increasing demand to reduce the need to place children and young people in expensive out of city provision. The capital projects outlined in this report are designed to help to manage this pressure however, further work will also need to take place to support the continuing professional development of school staff and to refresh and develop governance processes to maintain an inclusion school system in the longer term.

Council Plan

20. The Inclusion Review and use of the SEND capital grant supports the Council Plan priority to deliver a prosperous city for all by ensuring that the City has sufficient provision for children and young people with special education needs and/or disabilities.

Implications

21. Financial - All of the schemes referenced in this report are already contained within the approved CEC Capital programme. The SEND scheme, which is where the schemes in Table 1.2 will be funded from, totals £1.165m, made up of £575k funded from the LA's own capital resources, and £590k allocated from the DfE Special Provision Capital Fund. To date, only £50k has been committed from this therefore the total proposed expenditure of £617k in Table 1.2

above is affordable within the remaining uncommitted budget within this scheme.

22. **Human Resources (HR)** - There are no HR implications.
23. **Equalities** - The capital works identified through the Inclusion Review are focused on ensuring that the Council fulfills its duties under the Equalities Act 2010. The planning of new school provision has to have due regard to the provisions of the Act.
24. **Legal** - Members are very familiar with their duties under the Equalities Act 2010. In summary, those subject to the equality duties must, in the exercise of their functions, have due regard to the need to:
 - a. Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
 - b. Advance equality of opportunity between people who share a protected characteristic and those who do not.
 - c. Foster good relations between people who share a protected characteristic and those who do not.

The Act explains that having due regard for advancing equality involves:

- a. Removing or minimising disadvantages suffered by people due to their protected characteristics.
- b. steps to meet the needs of people from protected groups where these are different from the needs of other people.
- c. Encouraging people from protected groups to participate in public life or in other activities where their participation is disproportionately low

This is particularly relevant to children with special educational needs who may well have protected characteristics arising from disabilities.

The Council also has a general duty under the Children Act 2004 to have regard to the need to safeguard and promote the welfare of children.

- **Crime and Disorder** -There are no crime and disorder implications.
- **Information Technology (IT)** - There are no IT implications.

- **Property**
- The purpose of the recently approved Community and Asset Strategy is to make best use of the land and property assets available to communities and public services in York, empowering communities and stimulating creative and innovative solutions that satisfy identified need, whilst ensuring that financial and community benefits are maximised for the benefit of residents and help deliver the Council priorities. This process is already ongoing but will have heightened importance as planning for future school places and their location is undertaken once the Local Plan is adopted and implemented. There will therefore need to be close working together on this between Education, Asset and Property Management and the project manager for the Community Asset Strategy implementation.

Risk Management

25. The failure to deliver sufficient school places is a significant risk for the council as it would lead to reputational damage and add to financial pressures if the needs of children with SEND cannot be met through good local provision. The approach outlined in this report will guarantee the efficient management of supply and demand.

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Wards Affected:

All

For further information please contact the author of the report

Background Papers:

Annexes

Annex 1 - recommendations from the Inclusion Review

Abbreviations

LA - local authority

SEND – Special Educational Needs and/or disabilities

SEMH- Social Emotional Mental Health

Inclusion Review Phase 2: Recommendations from the Working Group

Strategic

1. York should adopt a set of **strategic principles** to inform its new framework. The suggested principles (appended) highlight the importance of *early intervention*, of thorough *evaluation* of new approaches, of *equity*, and of *co-production* with parents, carers and young people.
2. The strategy should embrace **all children with special educational needs**, from the most severe to the mild or temporary. In other words, it includes all those with an Education, Health and Care Plan (EHCP) and those with a *My Support Plan*. Some will always be supported in mainstream schools, some may need a special or alternative environment, and some may move between the two. It extends from the early years through, in some cases, to age 25.

Provision and Resources

3. There is **increasing pressure on budgets**, especially the higher needs allocation, and the position is not sustainable. The development of new approaches to inclusion needs to tackle this, and to ensure that hidden costs such as transport are also taken into account.
4. In the short-to-medium term, York needs more of *every* type of provision. In common with most authorities, York is always likely to need a **mixed economy** of specialist provision, satellite units, ERPs and imaginative solutions within mainstream schools.
5. The immediate needs are to:
 - **ensure facilities at Hob Moor and Danesgate are appropriate for the cohorts with which they are currently dealing**, within a safe and productive educational environment;
 - **provide more resources within mainstream schools** – e.g. through commissioning additional satellite units or ERPs, to serve the whole city;
 - continue to improve **provision for older young people** who have passed through the phase of statutory school–age education.
6. In the longer term, York is going to continue to need to increase capacity and to provide a range of facilities across the city. We need to take account of:
 - a. the continuing rise in the numbers diagnosed with Autism, or with other social, emotional or mental health difficulties sufficient to require an EHCP;
 - b. a short-term bulge in the number of secondary places and a dip in the number of primary places, but...
 - c. ...in the medium term, a likely rise in the number of primary places too, as new housing developments (and possibly new schools) are built off the back of the Local Plan. This offers a strategic opportunity to incorporate enhanced provision, and/or satellites of the special and alternative provision schools, across the city.

7. In advance of this, and ideally over the 2018-19 academic year, York needs to undertake a further, thorough and impartial **evaluation of all current provision** to assess what is working well and what is less successful, recognising that one size will never fit all. Such a review should include all current provision including nurture groups. The evaluation will need to take account of a range of objective measures plus “soft” intelligence. It will also need to factor in the independent evidence that is already available, such as inspection reports for the special schools, Danesgate and ERPs.
8. **The Danesgate Community** is successfully dealing with a wide range of ages, behavioural issues and emotional difficulties; it is a huge asset to the city and indeed to the sub-region. However, numbers under the auspices of Danesgate have grown in recent years for a number of reasons including changes in the curriculum and accountability measures in mainstream schools, plus the rise in those with autism or SEMH at all ages. The Group has discussed a proposal to establish a new conceptual framework for the community involving a division into three discrete pathways:
- “Danesgate” – the Pupil Referral Unit
 - “Danesgate+” – formerly though inaccurately known as “EOTAS”
 - “Danesfield” – a specialised setting operating as a school for those with particular social, emotional or mental health needs, and with an EHCP.

A fuller outline of the proposal is available separately. The Inclusion Working Group endorses the proposed framework, which it believes will offer the educational community a much clearer understanding of who Danesgate/Danesfield is for, and the routes for accessing it, subject to further detailed refinement. Inherent in the proposal is greater outreach work and the development of alternative provision bases in localities; the group believes that these are to be welcomed on several grounds, including the fact that they will reduce budgetary pressures by cutting down on taxi fares.

Nevertheless, the group recognises that further discussion will be needed on a number of aspects of the proposal, including the notion that pupils will only be able to access Danesgate with a *My Support Plan* in place, normally evidencing the involvement of the Local Area Teams and relevant external agencies. It is also intended that pupils who do attend Danesgate will remain on the “home” school’s roll (with those attending Danesgate+ dual registered; and those attending Danesfield on the Danesfield role). The Group believes this is fair and transparent framework but acknowledges that others may want to discuss this further.

Further work will also be needed to refine the entry criteria for:

- Any new alternative provision hubs around the city;
- “Danesfield”, so that it is clear to all, including parents, what sorts of needs the provision is intended to cover.

It should be emphasised that the proposed framework is not intended to expand or radically alter Danesgate as it currently stands. The capital investment needed is relatively modest, especially if space can be found elsewhere in the city for behavioural hubs.

9. Investment is also needed in the **early years**. The Group entirely accepts the principle that investment in support for special needs in the early years normally leads to better outcomes, and saves money, in the longer term. Improvements are especially needed in speech and language support across the city, consistent with the social mobility pledge. There are also opportunities to share best practice across schools and settings, including those in the private sector, but investment may be needed to kick start this.
10. There also needs to be a continued focus on **post-16** provision, involving local Colleges as full partners. Additional provision is to be developed at Askham Bryan, in partnership with Applefields, which is very welcome; there will also be modest investment in improving facilities at the Blueberry Academy. More work is also needed, in conjunction with Adult Social Care, to improve young people's onward journey.
11. We need to recognise that increases in both need and provisions impact on **SEN agencies** that deliver services, and reflect this in our planning.

(C) Process and Next Steps

12. Work is currently under way to **review and refresh all parts of the present processes**, including the **BAP, EHCP/Combined Panel**, and the **Complex Needs Panel**, to see if we can make improvements in their **governance, accountability** and **transparency**. The intention is to build on the strengths of the present arrangements, but also recognise that improvements could be made, perhaps with a revised remit and with a credible QA process that operates across the whole system. There needs to be clearly agreed entry and exit criteria and transparent admissions arrangements for all provisions.
13. Consideration now needs to be given to governance of the wider inclusion-related processes from hereon in through a more **structured project format**. This needs to include links to other parts of the system (eg DMT, Schools Forum, YSAB, the Council [DCS, Lead Member and Executive as appropriate]), so that decision-making is transparent and fair. This will be particularly important in terms of overseeing the capital programme, where there may be competing pressures, and planning will be needed to ensure decisions are factored into the democratic decision-making process.

August 2018

City of York Council Inclusion Review: Strategic Principles

1. Children and young people are at the heart of everything we do, and this applies equally to all those who have, or may develop, special educational needs and/or emotional or mental health difficulties¹.
2. Equity underpins these principles. York promotes a culture of inclusivity and tolerance at all times and in all institutions.
3. Given that resources are finite and that there is growing pressure on budgets, value for money and sustainability are also legitimate concerns.
4. Where special educational needs are identified, or emotional/mental health difficulties first emerge, we will seek to intervene early, effectively, and locally².
5. Children, young people and their families will be engaged as equal partners in the design of services, support and interventions, both in terms of meeting the individual's needs, and when making decisions about the overall provision of services in York.
6. York welcomes new ideas and is willing to trial new approaches but will only adopt them city-wide where evidence-based research shows that they clearly improve outcomes.
7. York will promote strong, transparent governance arrangements to oversee the application of the fair access protocols, managed moves, and/or the involvement of specialist services. These arrangements will incorporate support and challenge, including peer challenge.
8. All children and young people with special educational needs will have the experience of a sophisticated, personalised curriculum and an appropriate environment for their learning which directly enables sustainable progression. Planning for the transition to adult life will begin as early as possible, in partnership with the young people and their parents or carers.
9. We will promote the professional development of teaching and support staff so that they are confident and skilled in supporting children and young people with special needs in the classroom wherever possible. Best practice will be shared widely, including the pooling of expertise between schools, the Danesgate community, and central support services.
10. The York education community shares responsibility for the outcomes and sustained progression of all young people with special educational needs, whatever the host education setting.

¹ For young people with Special Educational Needs and an Education, Health and Care Plan our responsibility extends to the age of 25, while they are in education or learning through an apprenticeship.

² This may mean in the child's home (eg through the Portage service in the case of pre-school children) or within the child's school or setting.



Executive**29 November 2018**

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

Portfolio of the Executive Leader (Incorporating Finance & Performance)

2018/19 Finance and Performance Monitor 2**Purpose of the Report**

- 1 To present details of the overall finance and performance position for the period covering 1 July 2018 to 30 September 2018, together with an overview of any emerging issues. This is the second report of the financial year and assesses performance against budgets, including progress in delivering the Council's savings programme.

Summary

- 2 The financial pressures facing the council are projected at £619k. This is broadly in line with previous years forecasts at this stage in the financial year. However, the Council has regularly delivered an under-spend by the year end, demonstrating a successful track record of managing expenditure within budget over a number of years.
- 3 This report highlights a number of known pressures that need to be carefully managed throughout the year, with mitigation strategies being in place and regularly monitored across all directorates. It is expected that, as a result of ongoing monitoring and identification of mitigation, overall the Council will again outturn within the approved budget. There is contingency provision available to cover some of the projected pressures, and it is also anticipated there will be improvement in the position during the year.
- 4 York is maintaining both sound financial management, and delivering priority services to high standards, during a period of continued challenge for local government. In particular, key statutory services continue to perform well, having seen investment in recent years. Whilst there remain challenges in future years, the overall financial and performance position is one that provides a sound platform to continue to be able to deal with the future challenges.

Recommendations

- 5 Executive is asked to
- note the finance and performance information
 - Approve the allocation of funding from LCR Business Rates Pool at Para 30.

Reason: to ensure expenditure is kept within the approved budget

Financial Analysis

- 6 The Council's net budget is £121.9m. Following on from previous years, the challenge of delivering savings continues with £5m to be achieved in order to reach a balanced budget. Early forecasts indicate the Council is facing financial pressures of £619k and an overview of this forecast, on a directorate by directorate basis, is outlined in Table 1 below. The position will continue to be monitored carefully to ensure that overall expenditure will be contained within the approved budget. As outlined in the Monitor 1 report presented to Executive in August, it is likely that additional income will be available during the year as a result of the Council being part of the Leeds City Region business rates retention pilot. Members are reminded that some of this funding may be required to deal with some of pressures outlined in this report. The following sections provide more details of the main variations and any mitigating actions that are proposed.

Table 1: Finance overview

2017/18 outturn		2018/19 Forecast Variation Monitor 1	2018/19 Forecast Variation Monitor 2
£'000		£'000	£'000
+147	Children, Education & Communities	+1,255	+869
-204	Economy & Place	+282	+322
-274	Customer & Corporate Services	-200	-200
285	Health, Housing & Adult Social Care	+508	+576
-574	Central budgets	-300	-300
-620	Total	+1,545	+1,267
-761	Contingency	-740	-648
-1,381	Total including contingency	+805	+619
	Potential additional income from business rates	-2,000	-2,000

Children, Education & Communities

- 7 A net overspend of £869k is forecast primarily due to children's social care.
- 8 Children's Social Care (CSC) staffing budgets are currently projecting a net overspend of £138k, mainly due to expensive agency staff being used to cover important but hard to fill social worker posts. This is lower than the position in previous years following the introduction of 'golden hello' and 'golden handcuff' payments to new and existing staff in some of the key social work teams.
- 9 Based on the current numbers of Looked After Children (LAC) being maintained throughout the rest of the year there is a net projected overspend on placement and associated costs of £1,018k, including £257k on local fostering, £433k on Independent Fostering Agencies and £223k on adoption allowances. There is also a net projected overspend of £216k within The Glen and disability short breaks budgets due to delays in implementing the new model of provision for children with the most complex needs.
- 10 There is a net projected underspend of £159k due to vacancies being held in the Skills Team. This is being used to fund additional costs for the LAC virtual school head teacher, a role crucial to improving the educational outcomes of children in care.
- 11 The savings targets for Home to School Transport have not been achieved because of a growth in the number of pupils/students requiring transport and the specialist requirements of that transport accordingly. The main increase in numbers have been at post 16/19 where because of the city now being able to provide more specialist education provision for this group of students more locally, subsequently we have had to provide more transport to the likes of York College, Askham Bryan, Choose 2, Blueberry Academy. The changes in legislation to allow EHCP's to ages 19-25 resulting in significantly more students accessing this option has significantly increased our transport spend accordingly.
- 12 The cost per pupil of transport over the last 3 years has gradually been falling as we have worked with our transport providers to increase the size of vehicles and reduce the number of Passenger Transport Assistants. This indicates strong contract management processes are in place to reduce expenditure. As indicated above however the increase in numbers and need has impacted on expenditure. The option of renegotiating contracts has not been considered as we have driven down costs through the contract management process and we are clear that we would be unable to find a transport provider who could deliver a service for the

volumes required and meets the high level of safeguarding assurances that we have set. A number of other more minor variations make up the overall directorate position.

- 13 The Directorate management team are committed to doing all they can to try and contain expenditure with the approved budget and are currently exploring all options available to further mitigate this forecast overspend. This includes consideration of existing efficiency savings to identify if these can be stretched further, or implemented early, and continued restrictions on discretionary spending.

Economy & Place

- 14 A net overspend of £322k is forecast primarily due to cost pressures within waste services and fleet.
- 15 Income from Council Car Parks to August 2018 stands at 3.5% above latest projections. Income in April and May was below budget (-4.6%) however income in June, July and August has been significantly higher than budgeted (9%) primarily due to good weather and increased attractions within the City Centre. The impact of the Rose Theatre in Castle Car Park has been positive with much of the assumed lost revenue from losing spaces at the car park being offset by additional income at nearby car parks. Overall there is a forecast of £150k surplus at the council car parks. In addition income from Respark and Season Tickets are above forecast leading to additional income of £100k.
- 16 Within waste collection, additional recruitment over and above the establishment has taken place to minimise the impact sickness levels have on waste and recycling collections. This results in an overspend on salaries (10%) and is the primary reason for the waste collection forecast overspend of £365k. Commercial waste income, as in previous years, is predicted to be £96k short at year end.
- 17 A review of maintenance and safety arrangements, alongside the management and administration of fleet, has resulted in additional expenditure being incurred to ensure the continuing operation of a compliant service in line with the standards as directed by Operating Licence requirements, H&S (PUWER) and duty of care to transport users. More efficient fleet will, over time, bring costs down. A number of other minor variations make up the directorate position.
- 18 A range of actions are being undertaken within the directorate to try to bring expenditure within the approved budget and reduce the projected overspend as far as possible by the year end. Actions being progressed or considered include:

- Review of external funding streams to seek opportunities to maximise the impact on the revenue position
- Proactively managing sickness levels across front line services to reduce the need for agency staff
- Consideration of in year savings and revenue opportunities.
- Increasing the efficiency of the use of vehicles within Fleet.

Customer & Corporate Services

- 19 A net underspend of £200k is forecast and this is predominately due to additional income within bereavement services of £130k and additional grant funding secured to offset some staffing costs within business intelligence. Agreed budget savings are being delivered in line with the original plans across a number of areas. A range of other minor variations make up the directorate position. Work will continue to try and identify additional savings to help the overall position.

Health, Housing & Adult Social Care

- 20 A net over spend of £576k is forecast for the directorate, mainly due to pressures within Adult Social Care.
- 21 Pine Trees, a day support service for customers is forecast to underspend by £78k due in the main to securing additional Continuing Health Care (CHC) Income for two customers. Underspends are also forecast on the Supported Employment scheme at Yorkcraft (£97k) as places within the scheme have been held vacant pending a review of the supported employment offer. The Personal Support Service, which provides care and housing support in the Council operated independent living communities, is forecast to overspend by £322k due to additional staffing costs. Work is ongoing to review the level of staffing needed. There is an overspend of £214k on direct payments as there has been a reduction in the amount of unused payments recovered.
- 22 There is pressure on external Step Down beds (£170k). A small budget has been set previously to place people externally as the exception but there have been several high cost placements made to date this year and the use of these beds is increasing. Older people's residential care is forecast to overspend by £115k on permanent placements and £103k on short term places, and older peoples nursing care is forecast to overspend by £127k due to an increase in the number of customers.
- 23 Two homes have closed in the city. Moorlands and Amelia House gave notice to the council that they were shutting. The council successfully fulfilled its responsibility to find homes for over 50 residents. This is

causing £431k of budget pressure as the capacity to provide homes for these people in the city was only available at a higher cost than previous placements. However the department is able to mitigate this pressure in 2018/2019 from budget released by the closure of council run homes. The Adult Social Care commission team works closely with independent care home providers in the city to help improve quality and reduce the risk of home closures.

- 24 The Supported Living for Learning Disability customers continues to be a budget pressure. This is forecast to overspend by £347k. An action plan has been drawn up and is about to be implemented. A range of other minor variations make up the overall directorate position.
- 25 The Department has identified areas to mitigate the overspend to make every effort to bring it back to a balanced position. These include reviewing that the capacity in all block contracts are maximised and reviewing the use of temporary and casual staff.
- 26 An extra £240m national funding was announced to help Adult Social Care departments alleviate pressures felt in the care system over winter. Information will be circulated imminently on the conditions of its use and the amount York will receive is likely to be in the region of £700k (based on how similar grants have been distributed previously).

Housing Revenue Account

- 27 The Housing Revenue Account budget for 2018/19 is a net cost of £6,416k due to the £10m investment from the working balance into providing new council houses. Overall, the account continues to be financially strong and is forecasting a small overspend of £90k meaning that the working balance will reduce to £22.9m at 31 March 2019 as outlined in the 2018/19 budget report. This compares to the balance forecast within the latest business plan of £22.3m.
- 28 The working balance is increasing in order to start repaying the £121.5m debt that the HRA incurred as part of self financing in 2012. The current business plan assumes that reserves are set aside to enable the debt to be repaid over the period 2023/24 to 2042/43. Following the decision by Members to fund new Housing Development initiatives through the HRA this will impact the thirty year business plan and therefore an update of the business plan is due to be presented to members later in the year.

Corporate Budgets

- 29 These budgets include Treasury Management and other corporately held funds. It is anticipated that a £300k underspend will be achieved, predominantly as a result of reviewing some assumptions on the cash flow position following a review of the profile of planned capital expenditure which will mean less interest being paid than previously anticipated.

Leeds City Region Business Rates Pool

- 30 As Members will be aware, the Council is a member of the Leeds City Region Business Rates Pool and the application to be a 100% retention pilot scheme was successful. The likely anticipated additional business rates income due directly to the Council from this pilot scheme is anticipated to be approximately £2m. This funding could be available to support additional expenditure, although some of this may be required to assist in cash flow issues regarding major projects, particularly York Central. This will be considered further in future reports.
- 31 Further funds totalling £14.7m are available in the pool to be distributed across strategic priorities, as agreed by the member authorities and the Councils share of this should be approximately £1.4m. In July 2018, the Leeds City Region Business Rates Joint Committee considered bids from all member authorities over 4 themed areas:
- Culture, Sport and Major Events
 - Enabling Housing Growth
 - Business Support, Trade and Investment
 - Inclusive Growth
- 32 The outcome of this process is that the Council has been awarded £1,395k for 3 schemes. The funding will be provided over 2018/19 (£1,025k) and 2019/20 (£370k) and incorporated into the service budgets. Further reports on each of these schemes will be brought to the relevant Executive Member Decision Session.
- York City attracting inward investment (£660k) To develop a shared vision and promotion activities to attract inward investment for York.
 - Better by Design (£325k) which will support the Housing Delivery Project programme.
 - Castle Gateway (£410k) will support the partnership between the council and YMT, including the detailed design of the master plan proposals and the continued hosting of events in the Castle Gateway.

Contingency

- 33 As in previous years a contingency budget of £500k is in place. In the 2017/18 outturn report presented to Executive on 21th June the remaining balance of £250k from the 2017/18 general contingency was added to the balance available for 2018/19. A further £10k was allocated to the WWI commemorations (as agreed in January 2018) and a report elsewhere on this agenda requests funding of £92k from contingency towards York's bid to be a host city for the Rugby League World Cup 2021 leaving a balance of £648k available. Members are asked to note that this may be required to deal with some of pressures outlined in this report. Any decisions regarding the allocation of this sum will be brought to a future meeting.

Loans

- 34 Further to a scrutiny review, it was agreed that these quarterly monitoring reports would include a review of any outstanding loans over £100k. There are 2 loans in this category. Both loans are for £1m and made to Yorwaste, a company part owned by the Council. The first was made in June 2012 with a further loan made in June 2017 as agreed by Executive in November 2016. Interest is charged on both loans at 4% plus base rate meaning currently interest of 4.25% is being charged. All repayments are up to date.

Performance – Service Delivery

- 35 The Performance Framework surrounding the Council Plan for 2015-19 launched in July 2016 and is built around three priorities that put residents and businesses at the heart of all Council services.
- 36 The Council Management Team and Executive have agreed a core set of thirty indicators to help monitor the council priorities and these provide the structure for performance updates in the following sections. Some indicators are not measured on a quarterly basis. The DoT (Direction of Travel) is calculated on the latest three results whether they are annual, quarterly or monthly.

Best City for Architecture

- 37 The City of York has been awarded Best City for Architecture in this year's Conde Nast Traveller 21st Annual Reader's Travel Awards. The annual awards celebrate the most prestigious destinations and biggest names within the tourist industry, from airlines to destination hotels, who continue to raise the bar in global tourism. York was also placed third in the overall Best UK City list, closely behind runner up, Edinburgh and first place, London.

A Council That Listens to Residents

			2016/17	2017/18	2018/19 Q1	2018/19 Q2	DoT	Frequency	Benchmarks
Service Delivery	A Council That Listens to Residents	% of panel who agree that they can influence decisions in their local area	25.65%	26.87%	25.68%	Not collected this quarter	→	Quarterly	National Community Life Survey 17/18: 26%
		% of panel satisfied with their local area as a place to live	89.84%	89.94%	88.09%	Not collected this quarter	→	Quarterly	National Community Life Survey 17/18: 77%
		% of panel satisfied with the way the Council runs things	65.54%	62.13%	60.29%	Not collected this quarter	↓ Bad	Quarterly	National LG Inform 17/18: 72.50%
		Overall Customer Centre Satisfaction (%) - CYC	92.48%	93.13%	93.16%	93.23% (July 18)	→	Quarterly	Not Available
The DoT (Direction of Travel) is calculated on the latest three data points whether they are annual, quarterly or monthly.									

- 38 The council carries out a number of consultation and research activities throughout the year, including: annual surveys, statutory research, one-off pieces of research and using Talkabout, our citizens' panel, which is comprised of a representative sample of around 1,000 York residents who are invited to complete a bi-annual survey to capture a variety of resident satisfaction measures across all areas of council business. Details of all other public consultations are available on the consultations page of the councils website.

% of residents who agree that they can influence decisions in their local area - this measure gives an understanding of residents' recognition about how we are listening and reacting to residents views

- 39 The most recent Talkabout survey will be sent to residents in mid October to gain their views on a variety of resident satisfaction measures across all areas of council business. The results of this survey will be reported in the Q3 Finance and Performance Monitor.

Tenant Satisfaction Survey

- 40 City of York Council's Housing Services are committed to working with their tenants and sent out an annual survey to a sample of tenants in mid September asking them how satisfied they are with their home and the landlord services provided by the council. Tenants can complete either a paper copy or an online version of the survey by the 2nd November.

Budget Consultation

- 41 The council are challenging residents and businesses to set what they think the council budget should be for 2019/20. Early in the New Year the council will have to set the budget for the 2019/20 financial year and want input into what that looks like. Residents can use a budget simulator to visualise the impact of setting the budget and advise on the areas they

would prioritise. Residents can also complete a paper copy of the survey and responses are invited by the end of November.

Carers Survey

- 42 In October, over 1,000 surveys were sent out to eligible carers as part of the statutory survey managed by NHS Digital. The results of this survey are brought together with those of all other English councils and processed by NHS Digital. These results will feed into the monitoring of the impact of the national carers strategy and will also be used to populate a number of measures in the Adult Social Care Outcomes Framework. The deadline for responses is the end of November and the results will be available in the new year.

Bootham Hospital Site

- 43 City of York Council is working with health partners to shape the future of the site of the former Bootham Hospital and guide its re-development for the benefit of health, care, housing and public services in York. York Teaching Hospital NHS Foundation Trust, the Vale of York Clinical Commissioning Group (CCG), and City of York Council, part of the Humber, Coast and Vale Sustainability & Transformation Partnership (STP), together with Primary Care have joined forces. They aim to propose a sustainable and achievable development master plan for the site to support the longer term sustainable delivery of a range of service to meet health and social care needs.

- 44 Using monies granted by the government under the One Public Estate programme, the partnership will prepare a Site Development Plan. This will examine the constraints and opportunities of the site and will involve extensive stakeholder and public engagement. A schedule of public consultation is being planned for this autumn to focus on the future of the 240-year-old site – one of the UK's first mental health hospitals.

York Suicide Safer Community Strategy

- 45 The council have been working to reduce suicide in the city and the harm and negative impact associated with suicide experienced by those who live, work in and are connected to York. The draft Suicide Safer Community Strategy aims to make the city a Suicide Safer Community and was approved by the Health and Wellbeing Board for public consultation to seek views from members of the public about its content and ambitions to help reduce suicide. All comments and feedback were considered in the final version of the Strategy which was introduced at the Suicide Prevention Conference in September 2018.

- 46 Examples of other consultations active during Q2 include;
4CommunityGrowthYork – a survey to assess the awareness and impact of the project and how it can be improved, Redevelopments in Fossgate /

Castle Gateway, Statement of Licensing Policy, and Our City – we asked for views to help shape future editions

% of residents who have been actively involved in redesigning and delivering services - this measure gives an understanding of residents' recognition about how they are involved in service redesign

Future Focus

47 The Adult Social Care community led support model continues to develop. The well established Lidgett Grove Talking Point has been joined by Oaken Grove in the north of the city and a Carers hub taking place in Clarence Street in the city centre. The outcomes and experiences of customers at all the Talking Point venues are captured after their attendance, along with that of the staff. In October 2018 there will be a further expansion of the Talking Point sites which will allow residents from all over the city to access them via a regular city centre location

48 A number of very positive outcomes for the project have been identified, in particular:

- Waiting times for Talking Point users remain low and the average time between first contact and being seen in a hub remains less than a week.
- More than 95% of people invited to the hub have said they were satisfied with the experience and, most importantly their outcomes from attending a Talking Point.

Voice of the Children

49 Prior to the end of the summer term York Youth Council (YYC) commissioned a local company Digi Fish, to develop an animation to promote the work of YYC and encourage young people to get involved. Whilst in recess over the summer, members of YYC attended the offices of Digi Fish to record voice overs for the animation. Throughout the summer and in conjunction with the CYC communications team, they provided feedback on the design and development at various stages. We anticipate the animation to be complete and ready to be shared by the end of October.

50 YYC are currently supporting the national UK Youth Parliament "Make Your Mark" ballot with Primary schools being involved for the first time in York. They are also supporting colleges and targeted youth groups across the city to get involved and have their say. This includes groups for children and young people who are refugees and those with SEND. Over 40 ballot boxes and 13,000 ballot papers have been sent out. YYC received nearly 6,000 ballots last year and they hope to increase their total this year. YYC will identify some of its local campaigns for this year based on the results of this ballot.

- 51 Participation opportunities for young people in care and care leavers continue to be delivered via the Children in Care Council. This includes monthly Show Me That I Matter panel meetings (13-18 yrs), monthly meetings of the Care Leavers Forum, I Still Matter (16-21 yrs) and fortnightly Speak Up Youthclub sessions (11-16yrs). Activity has included working with the Pathway Team on the Local Offer for Care Leavers, designing a Review Toolkit to aid young people's participation within their reviews, and consultation on new service leaflets for the Independent Visiting Service, Speak Up and the Complaints Team. The CiCC and Care leavers Forum have also met with the Director and Group Manager for Permanence to feedback on the work they have been doing.

% of residents satisfied with their local area as a place to live - this measure gives an understanding of residents' views about the area and the quality of their ward / neighbourhood

% of residents satisfied with the way the Council runs things - this measure gives an understanding of residents' satisfaction with frontline service delivery and the Council's responsiveness to residents' views

% of residents who think that the Council and partners are doing well at improving the quality of streets/public spaces - this measure gives an understanding of residents' satisfaction with frontline service delivery and the Council's responsiveness to residents' views

- 52 The most recent Talkabout survey will be sent to residents in mid October to gain their views on a variety of resident satisfaction measures across all areas of council business. The results of this survey will be reported in the Q3 Finance and Performance Monitor.

Overall Customer Centre Satisfaction (%) - CYC - (being replaced with Digital service satisfaction 2017) - this measure gives an understanding of the quality of our face to face, phone and front office customer services (and in future our digital services through the CYC website)

- 53 The Customer Centre offers advice and information on many services including benefits, council tax, housing, environmental, transport, educational, social care and planning. At the end of phone enquiries customers have the opportunity to complete a short phone based customer satisfaction survey or, when visiting West Offices, rate their experience via a feedback terminal. Customer Satisfaction remains high with latest data (July) showing 93% of people rate the service as either good or very good.

A Focus on Frontline Services

		2016/17	2017/18	2018/19 Q1	2018/19 Q2	DoT	Frequency	Benchmarks	
Service Delivery	A Focus on Frontline Services	Children Looked After per 10k (Snapshot)	55	53.24	55.68	55.14	→	Quarterly	National 16/17: 62 Regional 16/17: 67
		Number of Incidents of ASB within the city centre ARZ	2,175	1934	497	-	↑ Bad	Quarterly	Not Available
		Household waste recycled / composted - (YTD)	44.00%	43.00%	(Avail Oct 18)	(Avail Jan 19)	→	Quarterly	National 16/17: 43.7% Regional 16/17: 42.9%
		Delayed transfers of care from hospital which are attributable to adult social care, per 100,000 population (YTD Average) (New definition for 2017/18)	7.49	6.4	7.3	6.8 (August 18)	→	Quarterly	National Aug 18: 3.2% Regional Aug 18: 2.5%
		% of panel confident they could find information on support available to help people live independently	65.46%	64.81%	66.11%	Not collected this quarter	→	Quarterly	Not Available
		Proportion of adults in contact with secondary mental health services living independently, with or without support (YTD Average)	39.21%	72.75%	83.18%	85.64% (July 18)	↑ Good	Annual	National 15/16: 58.6% Regional 15/16: 64.7%
		% of physically active and inactive adults - active adults	70.20%	69.40%	Collected annually	Collected annually	→	Annual	National 16/17: 60.6% Regional 16/17: 59.4%
		Average Progress 8 score from KS2 to KS4	0.11	(Avail Oct 18)	Collected annually	Collected annually	→	Annual	National 16/17: -0.03
		Number of days taken to process Housing Benefit new claims and change events (DWP measure)	5.58	3.20	2.97	3.62 (August 18)	↓ Good	Quarterly	National 16/17: 9 days

The DoT (Direction of Travel) is calculated on the latest three data points whether they are annual, quarterly or monthly.

Number of Children Looked After - this measure gives an understanding of the efficiency and effectiveness of a key front-line service which has impacts on vulnerability and the life chances of children

- 54 There were 204 children and young people in care at the end of September 2018. This evidences a continued consistency of practice and need, against the national trend of increasing looked after numbers.

Children in Care Council

- 55 In 2017, *Show Me That I Matter* (York's Children in Care Council) identified mental health as a priority and decided to create a resource to help raise awareness about mental health amongst young people. Young people took part in a series of workshops with Inspired Youth and had the opportunity to develop their creative writing skills at the same time as exploring some of the feelings and emotions that are often experienced by children and young people in care. The group identified key messages that they wanted to share with other young people and designed a booklet which they named 'You Are Not Alone'. It is planned that the booklet, which also signposts to support services, will be shared with young people when they first come into care.

Safeguarding Children Arrangements

- 56 York has been chosen as one of only 17 areas of the country to trial new safeguarding arrangements for children and young people. The Government has introduced new guidance around safeguarding children this month, which sets new legal requirements for children at risk of abuse or neglect to be protected through improved partnerships between local police, councils and health services. York has been chosen as an 'early

adopter' under the new guidance: an area which will work with the National Children's Bureau to implement new local safeguarding arrangements before they are established across the rest of the country. The 17 areas will develop new and innovative approaches to set up partnership safeguarding processes and share best practice with other areas, before they adopt new arrangements in the next 12 months.

- 57 The work of City of York Safeguarding Children Board was assessed as 'Outstanding' in an independent review by Ofsted in December 2016. The focus of York's work as an early adopter will be to fully engage schools with the new safeguarding arrangements. This will build on and extend the existing strong partnership between the city's schools and the Safeguarding Children Board. Schools play an important role in keeping children safe and the work being undertaken will ensure that they remain central to the city's safeguarding arrangements.

Number of Incidents of Anti-Social Behaviour within the city centre - this measure gives an understanding of the impacts of Anti-Social Behaviour on Leisure and Culture and therefore the "attractiveness" of the city

- 58 Latest available data indicates a small increase in anti-social behaviour and violent crime within the city centre, with a gradual increasing volume in the last three quarters. As part of Operation Safari, work continues with a number of organisations to provide support to those who are vulnerable due to excessive alcohol. Operation Erase aims to address anti-social behaviour by providing high visibility patrols by the police, BID Rangers and the CYC Neighbourhood Enforcement Team. Due to the importance of the city centre in terms of York's reputation as a tourist destination and the impact on the economy from visitor numbers, the City Centre continues to be adopted as a Hot Spot by multi-agency partners and this enables partners to focus resources. Overall crime levels in York in 2018/19, based on available data to August, are predicted to see a small rise on last year to 13,500 crimes compared to 11,958 in 2017/18 and this is due to a small increase in crime reports across a wide range of categories.

- 59 The number of service calls received due to "flytipping" concerns reduced from 2276 in 2016-17 to 2151 in 2017-18. Estimated figures for 2018-19 show a further reduction in calls received. Conversely, the number of warning letters issued, formal cautions, prosecutions and injunctions for fly-tipping has increased significantly between 2016-17 and 2017-18.

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

- 60 Allerton Waste Recovery Park has been operational since the beginning of March 2018 and is delivering a long term, sustainable alternative to landfill for the treatment of residual waste. Not only does this mean that we no longer need to bury our waste in the ground but energy from waste

facilities generates electricity and heat. The electricity can be used locally or fed into the national grid network. By burning waste to create this sort of power, rather than coal or oil, we are helping to save the earth's precious stores of these finite resources. Energy from waste can also increase recycling as the bottom ash can be processed into building materials and metals can be extracted.

Delayed transfers of care from hospital which are attributable to adult social care - this measure gives an understanding of how well our health and social care services are integrated

- 61 A delayed transfer of care (DToC) occurs when a hospital patient is deemed medically fit to be discharged, but cannot be released from hospital because they are waiting for community support to be arranged by the NHS and/or a local authority, or because the patient cannot agree where he/she should reside following discharge. The number of days that hospital patients are delayed in these circumstances are aggregated and measured to show how well NHS and local authority adult social care services are working together.
- 62 There continues to be a fluctuating trend in the number of days that patients are delayed leaving hospital that are “*attributable to adult social care*”. In 2017/18, on average, there were 6.4 beds occupied each day per 100,000 adults by York residents across the health and social care system that were attributable to adult social care. During the first 5 months of 2018-19, this average increased slightly to 6.8 beds per day for every 100,000 adults in York.

Better Care Fund

- 63 The Better Care Fund (BCF) provides CYC and the Vale of York Clinical Commission Group (VoY CCG) with finances to work together on a range of measures, including delayed transfers of care, aimed at improving outcomes for NHS and adult social care users in the City of York area. The total number of days that patients resident in York have been delayed, for all reasons, during the last twelve months (September 17 – August 18) was 9,847 which equates to, on average, 27 beds each day occupied because of DToC. From June to August 2018, this figure was 2,415 days which equates to 26 beds each day. This is largely due to pressures facing adult social care as a whole which are now being tackled with the use of seven-day working, better integration between hospital and social work teams and BCF monies.

% of residents confident they could find information on support available to help people live independently - this measure gives an understanding of residents' ability to support themselves in line with new adult social care operating model

- 64 The most recent Talkabout survey will be sent to residents in mid October to gain their views on a variety of resident satisfaction measures across all areas of council business. The results of this survey will be reported in the Q3 Finance and Performance Monitor.

Adult Social Care Survey results

- 65 NHS Digital published, at the start of October, national results from the 2017-18 Adult Social Care Survey. The Survey asks service users about their experience of adult social care services provided by local authorities, as well as asking them about their health, whether they feel socially isolated, and the ability to perform tasks in and around their home. The results suggest that the satisfaction levels of York's existing service users has decreased as compared with other local authorities and in England as a whole, York's service users gave slightly less positive answers to the questions in the Survey – for instance;
- There was a notable decrease in York's service users saying that they had “as much social contact as I want with people I like” (45% said this in 2017-18 compared with 50% in 2016-17).
 - There was a slight increase in satisfaction from York's service users with the care and support services they received compared to the previous year (63% said they were “extremely or very satisfied”, compared with 62% in 2016-17), and 94% of them said that these services helped them to have a better quality of life.
 - People with Learning Disabilities tended to give the most positive answers to questions, and their experiences generally are better than the corresponding cohort asked in 2016-17, with older people in residential care giving the most negative answers.

Admissions to Residential Care Homes

- 66 Avoiding permanent placements in residential and nursing care homes is a good measure of how effective packages of care have been in ensuring that people regain control of their lives. Research suggests that, where possible, people prefer to stay in their own home rather than move into residential care.
- The rate at the end of Q2 2018-19 for younger adults (aged 18-64) requiring permanent residential and nursing care is lower than a year earlier, with no younger adults per 100,000 population being placed into these homes during 2018-19 Q2, compared with 2.98 per 100,000 population during 2017-18 Q2. This equates to no younger adults entering these homes in 2018-19 Q2, compared with 4 during 2017-18 Q2.
 - For older people, aged 65 or over, the rates of those assessed as needing to go into residential care during 2018-19 Q2 was lower than in 2017-18 Q2 (101 per 100,000 population in 2018-19 Q2 compared with 187 per 100,000 population in 2017-18 Q2). This equates to 38 older people entering residential care during 2018-19 Q2, compared with 70 in the corresponding period during 2017-18.

67 There has been an 18% reduction in the number of residential care beds available in York between April 2015 and April 2018. Over the same time period, the number of nursing care beds in the city increased by 15%. There are now 559 residential care, and 1,009 nursing care beds in York. There are fewer residential care beds, pro rata, in York than in comparator local authorities and nationally, but more nursing care beds, pro rata, than in comparator local authorities and nationally. The Older People's Accommodation Programme has increased the provision of accommodation for Independent Living with Extra Care. This has included the recent extension of Glen Lodge and there is a current project to extend the accommodation at Marjorie Waite Court resulting in 24 hour care at both schemes. The programme has also ensured the provision of round the clock care at Auden House.

Proportion of adults in contact with secondary mental health or learning difficulties services that are living independently - this measure gives an understanding of adults' social care users perception of their ability to support themselves

68 Improving employment and accommodation outcomes for adults with mental health and learning difficulties are linked to reducing risk of social exclusion and discrimination. Supporting someone to become and remain employed is a key part of the recovery process, while stable and appropriate accommodation is closely linked to improving people's safety and reducing their risk of social exclusion.

- During 2018-19 Q2, 8.9% of those with learning disabilities were in employment, a very slight decrease compared with 2018-19 Q1 (9%).
- The percentage of those with learning disabilities living in their own home, or with family, stayed the same (79% in both 2018-19 Q1 and Q2).

69 At the end of July 2018, the latest data available to CYC, 21.29% of all clients in contact with secondary mental health services were in employment, which represents an increase compared with that in 2018-19 Q1 (19.68%). The percentage of all adults in contact with secondary mental health services living independently, with or without support, was 85.64% at the end of July 2018, compared with 83.18% during 2018-19 Q1.

% of Physically Active Adults (to be replaced by people engaging with Wellbeing service after launch) - this measure gives an understanding of the overall health of the cities residents

70 Statistics around walking and cycling in England in 2017 were published during August. The data is based on two main sources, The National Travel Survey and the Active Lives Survey. The picture for York residents is a positive one with a higher than average proportion engaging in both walking and cycling. Some key findings from the data are as follows:

- The % of adults in York who walk five times per week (39.7%) is higher than regional and national averages (29.9% and 32%)

- The % of adults in York who cycle five times per week (9.3%) is higher than regional and national averages (2.7% and 3.4%)
- The % of adults in York who walk or cycle five times per week for any purpose (46.4%) is higher than regional and national averages (32.6% and 35.2%)

Improved Sports Facilities

- 71 A new health and wellbeing campus is being proposed at the former Burnholme Community College site. The proposals complement the growing range of sports facilities across the city which contribute to improving residents' health and fitness - including mental health – as well as opportunities to build sports skills and to socialise. A £2.45 million investment will allow the facilities to be open for 75 hours a week which will include a fitness gym, with inclusive and accessible equipment and a programme targeting our least active residents.
- 72 The sports centre will become the home of the city's GP exercise referral programme and free access for local schools to use the indoor and outdoor facilities will continue. Greenwich Leisure Ltd (GLL), which already operates Energise and Yearsley pool, will work with the council on the refurbishment as part of its management contract and will deliver its Healthwise programme from the hub.

Average Progress 8 score from Key Stage 2 to Key Stage 4 - this measure gives an understanding of educational attainment levels within the city

- 73 Progress 8 is a measure of the progress made by pupils between Key Stage 2 and Key Stage 4. A positive score represents progress above the average for all pupils and a negative score progress below the average for all pupils. In 2017, the average Progress 8 score for Year 11 pupils was +0.11 above the national average and this is an improvement on 2016 when progress was in line with the national average. The Progress 8 score of 0.11 for York puts the city in the top quartile (ranked 34th nationally). This is an improvement with York moving up 10 percentiles from 2016. The provisional Progress 8 score for 2018 is due to be published by the DfE in October with the finalised score released in January 2019.

DfE Strategic School Improvement Fund

- 74 The first phase of the Key Stage 2 Writing project focused, with teachers of Years 4 and 5, on improving the teaching of writing in 17 York schools. An evaluation of the first year has been completed and was presented in September to a meeting of the Local Partnership Board (York, East Riding, Hull and North Lincolnshire) which was chaired by the Regional schools Commissioner. Quantitative data showed improvements in pupils' writing even over the short duration of the work so far and qualitative data provides evidence of greater teacher and pupils' confidence. The

progress of phase 1 schools will continue to be monitored and a further 14 schools have joined phase 2 of the project, which started this term.

Number of days taken to process Housing Benefit new claims and change events - this measure gives an understanding of the efficiency and effectiveness of a key front-line service

- 75 Due to improvements in digital processes, performance in this area remains consistently strong in York with the average number of days taken to process a new Housing Benefit claim or a change in circumstance less than 4 days during August 2018. York performance is also the best out of all other local authorities that we are benchmarked against (North and East Yorkshire, Lincolnshire and the Humber) and much higher than the national average of 9 days (2016-17).

A Prosperous City for All

		2016/17	2017/18	2018/19 Q1	2018/19 Q2	DoT	Frequency	Benchmarks	
Service Delivery	A Prosperous City for All	%pt gap between FSM and non-FSM pupils at 15, who attain a Level 3 qualification by the age of 19 - (Snapshot)	33.90%	(Avail Apr 2019)	Collected annually	Collected annually	→	Annual	National 16/17: 25.2% Regional 16/17: 27.2%
		Median earnings of residents – Gross Weekly Pay (£)	£508.1	£519.3	Collected annually	Collected annually	↑ Good	Annual	National 17/18: £552.7 Regional 17/18: £502.3
		Net Additional Homes Provided - (YTD)	977	1296	Not collected this quarter	(Avail Nov 18)	→	Quarterly	Not Available
		Business Rates - Rateable Value	£247,348,791	£254,662,152	£254,045,397	£254,207,892 (Aug 18)	→	Quarterly	Not Available
		One Planet Council - All Resources - Total CO2 (t)	Not Collected	Not Collected	Not Collected	Not Collected	→	Annual	Not Available
		% of panel who give unpaid help to any group, club or organisation	64.30%	66.22%	67.83%	Not collected this quarter	→	Quarterly	National Community Life Survey 17/18: 64%
The DoT (Direction of Travel) is calculated on the latest three data points whether they are annual, quarterly or monthly.									

%pt gap between FSM and non-FSM pupils at 15, who attain a Level 3 qualification by the age of 19 - this measure gives an understanding of the inequality gap

- 76 The attainment gap at age 19 is currently 33.9% in York compared to 25.2% nationally. Work continues with York's 6th forms and colleges to ensure that young people achieve their potential post-16. Provisional A-Level results for 2018 indicate an encouraging set of results against national averages. New attainment gap data for the 17/18 school year will be available in April 2019.
- 77 Reducing the attainment gap between disadvantaged pupils and their peers remains one of the City's main priorities. This year, Schools and partner agencies across York have signed up to a city-wide pledge to help disadvantaged pupils achieve at school. The Social Mobility conference held in July was successful in raising awareness by consulting with schools, local authority teams and partners across the city thereby garnering commitment for the change needed ahead. Work taking place during 2018-19 will prioritise actions needed to improve the outcomes for

disadvantaged children in the early years in order to address issues early and close the attainment gap more sustainably.

- 78 92% of 16-17 year olds who are Not in Education, Employment or Training (NEET) are not qualified to Level 2, demonstrating challenges before people are aged 19. Learning and Work Advisers from the council's Local Area Teams provide specialist information, advice and guidance to young people who are in the care of the local authority, those in alternative education provision, those in the youth justice system, and those aged 16-18 who are NEET.

Median earnings of residents – Gross Weekly Pay (£) - this measure gives an understanding if wage levels have risen within the city, a key corner-stone in the cities economic strategy

- 79 New earnings data for 18/19 will be available in November 2018.

Job Seekers Allowance (JSA) Claimants

- 80 The JSA figures should be viewed in the context of the number of people receiving Universal Credit in York increasing from 4,173 in August to 4,454 in September. Of these, there were 2,548 claimants in September who were not in employment. Under Universal Credit, a broader span of claimants are required to look for work than under Jobseekers Allowance. As Universal Credit Full Service is rolled out in particular areas, the number of people recorded as being on the Claimant Count is therefore likely to rise.
- 81 Figures from the Office for National Statistics contained some positive news for York with employment, in 2017, growing by 5,000 more jobs than in the previous year. This 5% increase was the best in the region which averaged a 2% increase. The majority of these jobs were in the professional, scientific, technical businesses sectors and the food and drink sectors and were distributed across the city with Guildhall, Clifton and Rural West seeing the largest increases.
- 82 Figures from the Office for National Statistics also showed that;
- There were 185 JSA claimants in York in September 2018 which is a decrease of 20 from the previous month and a decrease of 225 from September 2017.
 - The claimant count for York represents 0.1% of the working population, which is lower than both the regional and national figures of 1.2% and 0.9% respectively in September 2018.
 - Recent figures also highlight a fall of 30 in the youth unemployment count since September 2017. The youth unemployment figure of 0% is lower than both the regional and national figures of 1.2% and 0.8% respectively.

Department of Work and Pensions

- 83 Data released by the Department of Work and Pensions is published 6 months in arrears and the latest data relates to February 2018. The total number of claimants for either Income Support or Employment Support Allowance in York is 5,370, which is a decrease of 250 from November 2017. The claimant count represents 3.9% of the working population which is lower than both the regional and national figures of 7.9% and 7% respectively. Although these figures are the lowest in the region, due to the changes in the benefits system some of the data is transitional. The introduction of Universal Credit, for example, means that some people are still in the process of transitioning over.

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

- 84 No new data is available.

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

- 85 Business rates are based on the property's 'rateable value' which is the Valuation Office Agency's (VOA) estimate, as at 1st April 2015, of the property's open market rental value. The government's aim to increase the level of business rates retained by local government from the current 50% to 75% in April 2020 means that York will start to receive an increased level of income especially as higher rated development schemes (e.g. hotels and offices) are completed and then assessed.

% of residents who give unpaid help to any group, club or organisation - this measure gives an understanding of how much volunteering is currently being undertaken within the city

- 86 The most recent Talkabout survey will be sent to residents in mid October to gain their views on a variety of resident satisfaction measures across all areas of council business. The results of this survey will be reported in the Q3 Finance and Performance Monitor.

Other Performance

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

- 87 There are currently 14 major projects in progress during September which is the same as in June 2018. Each project is given a status to give an overview of significant risks and provide assurance as to how individual projects are being managed. 8 projects are rated "Amber" and 6 are rated "Green" which is the same as last quarter.

		2016/17	2017/18	2018/19 Q1	2018/19 Q2	DoT	Frequency	Benchmarks	
Organisational Health Check	Performance	Red rated Major Projects - CYC	1	1	0	0	➡	Quarterly	NC
		Amber rated Major Projects - CYC	5	6	9	9	➡	Quarterly	NC
		Overall Council Forecast Budget Outturn (£000's Overspent / -Underspent)	-£542	-£620	£1,545 (including contingency)	£1,267 (including contingency)	➡	Quarterly	NC
	Employees	PDR Completion (%) - CYC - (YTD)	75.90%	90.40%	36.70%	71.61% (Aug 18)	↑ Good	Quarterly	NC
		Staff FTE - CYC Total (Excluding Schools) - (Snapshot)	2,071.6	1972.2	1994.8	2053.2 (Aug 18)	➡	Quarterly	NC
		Average sickness days lost per FTE - CYC (Excluding Schools) - (Rolling 12 Month)	10.2	11.5	11.8	11.8 (Aug 18)	↑ Bad	Quarterly	CPD (Public Sector) 16:17: 8.5 days
		Voluntary Turnover (%) - CYC Total (Excluding Schools) - (Rolling 12 Month)	7.60%	7.55%	6.84%	7.32% (Aug 18)	➡	Quarterly	NC
		% of staff who would recommend the council as a good place to work	NC	NC	71.12%	75.00%	Awaiting 3rd data point	Quarterly	NC
		% of staff who believe action will be taken following this survey	NC	NC	30.70%	37.00%	Awaiting 3rd data point	Quarterly	NC
		% of external calls answered within 20 seconds - CYC	89.01%	89.75%	87.70%	-	➡	Quarterly	SSAC Industry Standard 17/18: 80%
	Customers	% of complaints responded to within 5 days	75.40%	58.76%	39.60%	49.44%	↓ Bad	Quarterly	NC
		FOI & EIR - % In time - (YTD)	93.14%	89.20%	92.80%	92.24%	➡	Quarterly	NC
		Digital Services Transactions / Channel Shift					➡	Quarterly	NC

NC = Not due to be collected during that period
The DoT (Direction of Travel) is calculated on the latest three data points whether they are annual, quarterly or monthly.

Performance – Employees

Staffing PDR Completion Rates - this measure gives an understanding of how we making sure that the organisations strategic aims, goals and values are being passed to all employees

- 88 City of York Council is committed to developing confident, capable people working positively for York. As part of that commitment, all colleagues are entitled and encouraged to reflect on their performance and discuss future aspirations and work goals through regular one to ones and an annual Performance and Development Review (PDR) appraisal. The annual PDR process starts in May and, by the end of August 2018, 72% of PDRs had been undertaken, an improvement on the 58% at the same point last year.

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

- 89 At the end of August 2018 there were 2,534 employees (2,053 FTEs) working at City of York Council (excluding schools). This is an increase from 2,472 (1,995 FTEs) at the end of June, mainly due to the transfer of the Social Enterprise Community Interest Company 'beIndependant' and its employees in to City of York Council.

Average sickness days lost per FTE (12 Month rolling) - this measure gives an understanding of the productivity of the organisations employees

- 90 At the end of August 2018-19 the rolling 12 month sickness days per FTE has remained static at 11.8 days. Figures continue to be impacted by higher than normal sickness absence over the previous winter period but

since the start of the year there has been a steady decline in monthly absence rates which have fallen to 1,766 days during August (from an average 2,344 between December and March).

- 91 There is variation in the level of sickness absence across the organisation. Economy and Place (E&P) and Health, Housing and Adult Social Care (HHASC) have the highest levels, with Customer and Corporate services having the lowest sickness levels with an average of 8 days per FTE. There are a number of teams in the Council where sickness is very low but it is acknowledged that overall sickness absence at CYC continues to be higher than comparable organisations.
- 92 Proposals to address the issue were presented to Executive in Autumn 2018 with a number of options being considered:
- Targeting a reduction in sickness absence by around a third across the authority, to align our figures more closely with the Public Sector average of around 8.5 days and regionally to be in the lower quartiles.
 - Managers will continue to take responsibility and own attendance management within their teams and across Directorates. Managers will be clear of the targets being set and will be accountable for performance against that target.
 - The provision of relevant training packages and direct support through HR Advisers will continue in guiding managers in applying consistently the policy and procedure.
 - The attendance management policy and procedure will be reviewed to ensure consistent application across the authority, and reflect the role of the centralised well-being team if it is agreed to be established.
 - Feedback from other authorities suggests that a common approach being considered or recently put in place is the use of a dedicated team, including occupational health provision integrated into the team, to focus on attendance and work with managers and employees on a timely return to work.

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

- 93 Total staff turnover has increased slightly to 14.9% over the rolling 12 months to August 2018 while voluntary leavers have remained stable at 7.3%. This level of staffing turnover is expected and in line with the council's changing service delivery models.

Staff Satisfaction - this measure gives an understanding of employee health and their satisfaction with the Council and a place to work and its leadership, management and practices

- 94 Throughout the year, employees will be invited to complete surveys covering a range of topics including 'values and behaviours' and 'leadership and management', with feedback helping to shape and improve the organisation and make CYC an even better place to work.

- 95 The second in a series of short 'pulse' staff satisfaction surveys went live at the end of June with employees asked to give feedback on Values and Behaviours. The results showed that 72% of respondents would recommend the Council as a good place to work (a slight increase from 71% in the first survey).
- 96 The third in the series of surveys on Inclusion, Wellbeing and Behaviour at Work went live at the end of August with a closing date of mid September. The results will be included in the Q3 Monitor.
- 97 The fourth survey in the series on Leadership and Management went live at the end of October with a closing date of mid November. The results will be included in the Q3 Monitor.

Performance – Customers

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

- 98 In Q2 the percentage of all external calls answered within 20 seconds decreased to 77.5% (88% in Q1) which is below the industry benchmark of 80%

Customer Centre

- 99 Our Customer Centre is the main point of contact for residents and business visitors. During Q2, the number of calls received increased to 64,529 (an increase from 61,787 in Q1), with 96.8% answered (62,463). Demand for Concessionary Travel, Electoral Services, Council Tax, Planning and Building Control, Parking and Waste has increased due to "seasonal" activity within the services. During peak periods customers may experience increased waiting times and, although calls are typically not held in a queue for more than 34 seconds, customers can make use of the call back facility.

% of complaints responded to within 5 days

- 100 Overall performance in responding to complaints is lower than in previous years, but there has seen an increased response rate since Q1. In Q2 the council received 451 stage 1 corporate complaints, a significant increase of 173 complaints compared with Q1. Even with the increase in number, there has been an improvement of 9.84% (to 49.44%) for the number of stage 1 corporate complaints responded to within the 5 day timescale. Where timescales were not met, this was due to resource pressures in some service areas.
- 101 Additional resources have been provided to deal with and monitor complaints with work ongoing to;

- Ensure that complaints performance is monitored. Managers now have access to a dashboard of live reports relating to real time complaints and customer performance information;
- Refresh the corporate complaints policy and procedures along with the complaints IT system

FOI & EIR - % In time - this measure gives an understanding of our speed of reaction to FOI's

102 In Q2 2018/19 the council received 527 FOIs, EIRs and SARs. We achieved 90.5% in-time compliance for FOIs (Freedom of Information requests), 95.2% in-time compliance for EIRs (Environmental Information Regulations requests) and 62.5% in-time compliance for SARs (Subject Access to records requests). There has been a small decrease in the total number of FOIs, EIRs and SARs requests received in this quarter compared to Q1. We are continuing to look for ways to improve the reporting in this area based on feedback from service areas, management teams, councillors and committees and aim to include this in the next report. This will include, where possible, benchmarking information, data breaches, ICO cases and outcomes.

Digital Services Transactions/Channel Shift

103 The number of residents who came to West Offices remained stable at 11,529 in Q2 with an average wait of 6 minutes and 83% of residents were seen within the target wait time of 10 minutes. 12,879 business visitors came to West Offices during Q2 18/19 (16,053 in 18/19 Q1). In addition to phone calls and face to face interactions, the customer service team responded to 10,946 emails.

104 Moving customer interactions through to a digital channel is a key priority for the council and reflects the changing needs of the city's residents; in Q2 3,154 payments were made using the auto payments system and 20,271 customers used the telephone auto operator.

Procurement

105 During 2018-19, work will continue on embedding social value principles in all procurements and finalising the Councils commissioning strategy, as well as introducing council wide contract management guidance and effectively managing relationships with our key suppliers.

Annexes

106 All performance data (and approximately 975 further datasets) within this document is made available in machine-readable format through the Council's open data platform at www.yorkopendata.org under the "performance scorecards" section.

Consultation

107 Not applicable.

Options

108 Not applicable.

Council Plan

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

Implications

110 The implications are:

- **Financial** are contained throughout the main body of the report.
- **Human Resources (HR)** There are no HR implications.
- **One Planet Council / Equalities** There are no One Planet Council or equalities implications.
- **Legal** There are no legal implications.
- **Crime and Disorder** There are no crime and disorder implications.
- **Information Technology (IT)** There are no IT implications.
- **Property** There are no property implications.
- **Other** There are no other implications.

Risk Management

111 An assessment of risks is completed as part of the annual budget setting exercise. These risks are managed effectively through regular reporting and corrective action being taken where necessary and appropriate.

Contact Details

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Ian Cunningham Head of Business Intelligence <i>Ext 5749</i>	Report Approved	x	Date	16/11/18
Wards Affected: All				✓

For further information please contact the authors of the report

Background Papers:

None

Glossary of Abbreviations used in the report:

BCF	Better Care Fund	JSA	Jobseeker's Allowance
CCG	Clinical Commissioning Group	LAC	Looked After Children
CHC	Continuing Health Care	NEET	Not in Employment, Education or Training
CSC	Children's Social Care	NHS	National Health Service
CYC	City of York Council	PDR	Performance and Development Review
EIR	Environmental Information Regulations	PUWER	Provision and Use of Work Equipment Regulations
FOI	Freedom of Information	SEN	Special Educational Needs
FSM	Free School Meals	SEND	Special Educational Needs and Disability
FTE	Full Time Equivalent	STP	Sustainability and Transformation Partnership
GLL	Greenwich Leisure Ltd	VOA	Valuation Office Agency
HHASC	Health, Housing and Adult Social Care	WWI	World War I
HRA	Housing Revenue Account	YTD	Year to Date
ICO	Information Commissioner's Office	YYC	York Youth Council

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Executive

29 November 2018

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

Capital Programme - Monitor 2 2018/19

Summary

- 1 The purpose of this report is to set out the projected outturn position for 2018/19 including any under/over spends and adjustments, along with requests to re-profile budgets to/from current and future years.
- 2 The 2018/19 capital programme approved by Council on 22 February 2018, updated for amendments reported to Executive and Council in the 2017/18 outturn report resulted in an approved capital budget of £122.243m.

Recommendations

- 3 Executive is asked to:
 - Recommend to Full Council the adjustments resulting in an decrease in the 2018/19 budget of £1.377m as detailed in the report and contained in Annex A.
 - Note the 2018/19 revised budget of £122.243m as set out in paragraph 6 and Table 1.
 - Note the restated capital programme for 2018/19 – 2022/23 as set out in paragraph 17, Table 2 and detailed in Annex A.
 - Approve the award of the works contract at Marjorie Waite Court
 - Agree to the disposal of 49 East Mount Road to the highest bidder with the receipts earmarked to support the HRA investment programme as set out in paragraphs 35 - 36 subject to the property not being suitable for Children's Services requirements.
 - Delegate Authority to the Directors of Health Housing and Adult Social Care and Children Education & Communities to appoint a Construction Contractor for the Centre of Excellence for disabled children and Lincoln court, following design and cost submissions, assuming they are within the approved budget as detailed at paragraphs 17-19.

Reason: to enable the effective management and monitoring of the Council's capital programme.

Consultation

- 4 The capital programme was developed under the capital budget process and agreed by Council on 22 February 2018. Whilst the capital programme as a whole is not consulted on, the individual scheme proposals and associated capital receipt sales do follow a consultation process with local Councillors and residents in the locality of the individual schemes.

Summary of Key Issues

- 5 A net decrease of £1.377m is detailed in this monitor resulting in a revised capital programme of £122.243m. There is an increase of £4.679m in 2018/19 attributable to new schemes added to the programme agreed by members set out in the paragraphs below. This is offset by a £6.056m decrease in 2018/19 due to re-profiling of budgets to future years.
- 6 Table 1 outlines the variances reported against each portfolio area.

Department	Current Approved Budget £m	Projected Outturn £m	Increase (decrease) £m	Reprofile £m	Total Variance £m	Paragraph Ref
Children, Education & Communities	11.946	8.937	0.162	(3.171)	(3.009)	8-21
Health, Housing & Adult Social Care – Adult Social Care	4.221	4.221	-	-	-	22-24
Health, Housing & Adult Social Care – Housing & Community Safety	32.409	31.282	(0.147)	(0.980)	(1.127)	25-36
Economy & Place – Transport, Highways & Environment	34.309	34.122	0.175	(0.362)	(0.187)	37-40
Economy & Place – Regeneration & Asset Management	10.566	14.622	4.489	(433)	4.056	41-43
Community Stadium	23.432	23.432	-	-	-	44
Customer & Corporate services	2.203	2.203	-	-	-	
IT Development Plan	4.534	3.424	-	(1.110)	(1.110)	45-46
Total	123.620	122.243	4.679	(6.056)	(1.377)	

Table 1 Capital Programme Forecast Outturn 2018/19

Analysis

- 7 A summary of the key exceptions and implications on the capital programme are highlighted below.

Children, Education & Communities

- 8 A number of amendments have been made as part of this report, resulting in a net decrease to the capital programme of £3.009m in 2018/19. Key variances are summarised below, referenced to further narrative.

Scheme	Amendment	Amount 18/19 £m	Amount 19/20 £m	Amount 20/21 £m	Further Details – Paragraph ref
DfE Maintenance	Adjustment	(0.402)	-	-	9
DfE Maintenance	Re-profile	(0.200)	0.200	-	9
Basic Need	Re-profile	(2.200)	2.200	-	10-13
Expansion of SEN facilities	Re-profile	(0.250)	0.250	-	15
Centre of Excellence for Disabled children	Adjustment	0.500	3.500	0.274	16-19
Haxby Library Re-provision	Re-profile	(0.421)	0.421	-	20

- 9 The overall maintenance programme requires a reduction of £402k to reflect the actual grant announcement for 2018/19, which was only £971k, not the £1,373 originally assumed in the programme. When the programme was set for 2018/19, a more prudent grant estimate of £1.1m was assumed for the year, as no announcement had been made. The actual grant is £129k lower than this estimate, but expected underspends on schemes in progress should be greater than this reduction, so no further action is required at this stage. In addition, an amount of £200k requires transferring into 2019/20 to fund retentions on schemes which will not be due by the end of 2018/19
- 10 Funds of £2.2m within the Basic Need programme require transferring into 2019/20. This element of the Basic Need programme was provisionally earmarked for the York North West primary planning area. This area includes several strategic planning sites and the timing of these commitments depends on the delivery of these sites, particularly at York Central and British Sugar. The earliest any of this would be needed will be in 2019/20, although this will be kept under review as sites are developed.

- 11 The full refurbishment of Westfield Primary kitchen and dining room is due to complete at the beginning of November. The roof and window replacement works at Clifton Green Primary will also be complete in early November. Phase 1 of the expansion work at St Mary's Primary was completed on schedule in time for the new academic year. This first phase consisted of a classroom reorganisation, also encompassing the reorganisation of toilets and cloakrooms to create much needed additional classroom space. In addition to the above major schemes, smaller schemes are being carried out within the overall maintenance programme
- 12 Major works are underway at Huntington School, comprising Phase 3 of a major rewiring programme, Phase 1 of a window replacement programme and the installation of a replacement heating system in the sports hall and gym are now close to completion with the remaining rewiring work and curtain wall replacement scheduled for the Autumn half-term
- 13 The refurbishment of Dringhouses Primary, comprising some re-roofing works, hall window replacement and a new boiler, replacing an oil-fired system with gas were all completed over the summer holidays. Smaller schemes were carried out or at Fishergate, Headlands, Poppleton Road, Ralph Butterfield, Skelton and Yearsley Grove Primaries, with all work completed over the summer holidays, with the exception of Poppleton Road, where chimney works are still in progress with additional structural works now being carried out following a survey.
- 14 The internal alterations at Hob Moor Oaks to help in accommodating increased numbers of pupils in September were completed before the start of the autumn term. These works were carried out within the SEND capital scheme
- 15 Plans are currently being drawn up for investment to create additional provision for SEND pupils. These plans will require some more significant investment and will be detailed in a future report to the Executive encompassing overall school place planning issues in York. As these plans are still under consideration, an element of this scheme budget in 2018/19 will now not be needed until 2019/20 therefore funds of £250k are to be transferred into 2019/20.
- 16 At the meeting on 26th April 2018, Executive approved capital funding for the Centre of Excellence for Disabled Children scheme. A total budget of £4.274m was approved, with £500k to be funded by net capital receipts from the sale of the Glen, and the remainder being funded by borrowing.

- 17 Executive agreed to invest £1.4m to deliver new apartments and enhanced communal facilities for Lincoln Court in order to help to meet the need for additional older persons' accommodation in York. Provision has also been made in the HRA Business Plan for investment and maintenance works to refurbish the existing apartments, as set out within the Housing section of this report at paragraphs 26 – 28.
- 18 As the two projects are on adjacent sites and will have similar site access issues, timetables and land conditions, there was a chance that some works would be duplicated or that the two schemes could conflict over site issues. It was decided that to minimise these risks and to achieve economies of scale the construction of the two schemes would be procured as one project. A competitive procurement has been carried out via an EU compliant framework. The aim was to appoint a single bidder to carry out the works.
- 19 Stage 1 of the procurement process is now complete. This has led to the appointment of Sewell Construction to develop the design of the schemes in more detail. Sewell are working with the specialist Architect for the Centre of Excellence and a design team for Lincoln Court to take this work forward. Following this work Sewell will submit their final price to complete this work as stage 2 of the procurement process. Assuming that this price is within the available budget. If the tender price is above the figures agreed by the Executive the process can be reopened to invite the unsuccessful bidders using the developed designs agreed at stage 1.
- 20 The Haxby Road Library Replacement scheme is now unlikely to progress during 2018/19. A revised scheme is currently being developed which will be the subject of a future report to the Executive. Funds of £421k therefore require transferring into 2019/20, leaving £30k in the current year for fees and minor initial site works if required
- 21 The LA has received notification of its share of the Healthy Pupils Capital Fund for 2018/19, an amount of £93k. This funding (£100m nationally) has been provided from the revenue generated from the Soft Drinks Industry Levy and is intended to improve children's and young people's mental health by improving and increasing availability to facilities for physical activity, healthy eating, mental health and wellbeing and medical conditions. The LA is currently planning the most effective use of this funding

Adult Social Care

- 22 Progress on the Burnholme site as part of the Older Persons Accommodation scheme has been good. A new £5m library and community facility has been built and opened in June 2018. The building is delivered in partnership with Explore York Libraries and Archives and, through the provision of this building, they have been able to reduce the net annual operating cost of the service by £66k.
- 23 Ashley House plc have been appointed working with HC-One to construct and operate an 80 bed residential and nursing care home on Council land at Burnholme. The Council will buying 25 of those beds at our actual Cost of Care rate for 15 years and construction on the building is likely to start by the end of the year.
- 24 The remainder of the schemes within the Adult Social Care portfolio are rolling programme schemes which invest in preventative services (such as providing equipment to help an individual remain in their own home) which can stop individuals needing more expensive, ongoing services such as residential care. All schemes are fully committed in 2018/19

Housing & Community Safety

- 25 Within the IT Infrastructure scheme, the detailed contract drafting and tender planning has been completed and the ITT tender documents were issued at the end of September. The capital budget has been reduced by £300k to reflect the fact that the discovery and analytical work is to be met by the revenue budget.
- 26 Planning for the Lincoln Court Independent Living scheme was submitted in August 2018 and is expected to go to planning committee in December. Tenders have been returned and a preferred bidder was announced at the end of September. Start on site is currently estimated for January 2019. The full capital budget in HRA of £1.3m will be re-profiled once the cost of works are known. Additional funding for the accelerated repairs and modernisation works are included in the Building Services capital programme 2018/19 & will be reflected as new bids in the capital budget in 2019/20.
- 27 As part of the scheme to provide new apartments and refurbished communal areas at Lincoln Court, the council has sought to investigate whether Photovoltaic panels can be fitted onto the roof to provide energy to the residents and communal areas. As part of the procurement process tenders have been sought. An update report to award the contract is planned to go to Executive in December 2018 where this will be considered.

- 28 This would be funded from the existing photovoltaic budget of £240k within the capital programme. There is also a total budget of £250k in the One Planet Council Energy efficiency scheme available to enable both new and existing schemes in the capital programme to deliver higher environmental benefits than may otherwise be the case.
- 29 Work started on site for the James House scheme in March 2018 and is due to be completed in January 2019. A retention payment and any outstanding works will be re-profiled towards the end of the year when final costs are known.
- 30 The Shared Ownership Scheme was launched in August 2018, and offers have already been received on 3 of the properties. The target is to purchase 16 homes in this financial year, four of which have been purchased in the first half of 2018/19 taking the total to 6.
- 31 An OEJU compliant procurement process for the extension to Marjorie Waite Court attracted a number of competitive bids. Each of these were evaluated and a preferred bidder was selected. The executive are asked to approve the appointment of Hobson Porter as the preferred bidder to build a 29 apartment extension to the Marjorie Waite Court extra care scheme on Evelyn Crescent with communal facilities, 4 bungalows and a multi use community facility. The value of the contract is within the overall budget approved for the scheme
- 32 At Executive on 18th October 2018, members agreed to purchase the land at Duncombe Barracks without planning consent for a mixed tenure housing development including 40% affordable housing; and a future income for the council from rents and sale receipts. A new capital scheme with a budget of £2.555m has therefore been added to the capital programme to reflect the purchase of the site and a budget for legal costs, site surveys and design work to bring forward a planning application. £2.402m of this is funded from the budget of the Council House Building Phase 2 scheme already in the capital programme along with £153k of Right To Buy receipts.
- 33 Within the Local Authority Homes scheme, the contract has been awarded for 5 bungalows at Newbury Avenue. Demolition of the existing garages and hardstanding will be undertaken in December prior to construction work commencing in January 2019. Funds of £350k have therefore been transferred 18/19 to 19/20 to reflect this
- 34 The construction of 6 houses at Chaloners Road has been re-prioritised; as such budget of £1.1m for this scheme is to be transferred to 2019/20. Following the report in July on housing delivery focusing on the development of the councils general fund sites it has been decided to postpone any

further work on the Chaloners Road scheme to release capacity to concentrate on the larger sites.

- 35 49 East Mount Road is an HRA owned property that forms part of the Council Housing Stock and is currently vacant. The property is located in a very popular and high value residential area within walking distance from York City Centre. The property is a 4 bed end of terraced house of solid wall construction under a pitched slate covered rafter and purlin roof built around the year 1890. Repairs are estimated at between £60k and £70k of works. The identified repairs do not factor in any, damp or structural work.
- 36 Children Services are currently looking to source accommodation for 4 looked after young people. One consideration is that 49 East Mount Road maybe suitable. Further work is required before a firm decision is made. In the event that it is unsuitable the executive is asked to grant permission to sell the property - it is estimated that it could sell for in excess of £500K

Transport, Highways & Environment

- 37 There have been a number of amendments to this area as part of this report resulting in a net decrease to the capital programme in 18/19 of £187k. Key variances are summarised in the table below, referenced to further narrative.

Scheme	Amendment	Amount 18/19 £m	Amount 19/20 £m	Amount 20/21 £m	Further Details – Paragraph ref
Replacement of Unsound Lighting columns	Re-profile	0.700	(0.578)	(0.122)	38
Built Environment Fund	Re-profile	(1.062)	1.062	-	39
Local Transport Plan (LTP)	Adjustment	0.200	-	-	40

- 38 The column replacement programme has capacity to be accelerated and as the columns are already life expired it is operationally beneficial to accelerate the programme. Total funds of £700k are therefore being brought forward into 2018/19 from 2019/20 and 2020/21
- 39 As agreed at Executive in September 2018, temporary measures to improve security in the city centre will be installed in 2018/19, and feasibility and design work will be carried out to develop a permanent scheme to be implemented in 2019. It is therefore proposed to transfer £1,062k funding from the Built Environment Fund from 2018/19 to 2019/20, as the majority of the funding will not be required in the current year.

- 40 The Local Transport Plan (LTP) scheme requires additional funds of £200k to be added in 2018/19. The council has been successful in its bid to the York and North Yorkshire and East Riding Local Enterprise Partnerships (LEP) for funding for the Rufforth to Knapton Cycle route. This will fund the construction of a new bridleway between Knapton and Moor Lane.

Regeneration & Asset Management

- 41 At Executive in August, Members agreed to a drawdown of £2.390m from the York Central capital allocation to progress the York Central project subject to the outcome of further funding bids. Since then an application for funding to YNYER (York, North Yorkshire and East Riding) LEP has been successful and, at this point, this drawdown is no longer required. An outline planning application for the whole York Central site has been submitted
- 42 At this meeting Members also approved a Capital budget of £1.924m to purchase the freehold of Robinson Court, and the leasehold of the Union Terrace Centre. At Executive in September Members also approved a budget of £2.520m for the purchase of further properties in Swinegate. As a result of these approvals, funds of £4.4m have been added to the Commercial Property acquisition scheme in 2018/19.
- 43 It is anticipated that the LCR Revolving Investment fund will make 2 further loans totalling £3m this year. York's contribution is expected to be approximately £240k.

Community Stadium

- 44 A detailed project update report on the Community stadium was taken to Executive in September 2018.

IT Development Plan

- 45 Within the IT development plan, progress has been made across a number of different areas:
- The replacement of Multi Functional Devices and refresh of the print unit in West Offices has been completed.
 - Mylo (eLearning) Phase 1 was successfully launched and phase 2 roll out offering mandatory training (e-learning) courses plus compliant training is imminent.
 - The latest version of the YorWellbeing site has been deployed and is now being used by the wellbeing team.
 - Registrars – the online booking system for customers to book their own birth or death registration appointments through the CYC website has

gone live. This will also provide customers with the ability to book marriage ceremonies at a later date.

- A new system has been launched to enable the crematorium to manage their bookings which will also allow for collaboration with Funeral Directors
- Mobile working schemes – In Children’s Social Care, 39 Devices have been configured for rollout alongside appropriate training to ensure staff are able to access and use the applications provided. Schemes in Building Services, Adult Social Care, Highways and Environmental Health are also progressing well
- Lync has now been upgrade to Skype for Business 2015, this allows iPhone/Android users to use the Skype for business client on their devices.
- Work is progressing well on the upgrade of the Citrix farm and the roll out of Windows 10 and Office 2016 applications with trials in place to identify and rectify any identified problems prior to full corporate roll out alongside appropriate training during Q4 2018/19.

46 The 5 year IT development plan scheme requires funds of £1m to be transferred from 2018/19 into 2019/20. A Digital Services Programme process has commenced which is formalising the projects into programme themes and revisiting the outcomes associated with each. The Digital Steering Group (DSSG) which has representation from each directorate is now undertaking an exercise of prioritisation of the projects. This includes consultation on restating the outcomes, and being clear on resource commitments and delivery timescales. This process has provided greater clarity on capacity, expectations and has resulted in previously identified funding requirements being delayed.

Summary

47 As a result of the changes highlighted above the revised 5 year capital programme is summarised in Table 2.

Gross Capital Programme	2018/19	2019/20	2020/21	2021/22	2022/23	Total
	£m	£m	£m	£m	£m	£m
Children, Education & Communities	8.937	15.659	9.416	8.500	0	42.512
Health, Housing & Adult Social Care – Adult Social Care	4.221	4.018	0.595	0.616	0.638	10.088
Health, Housing & Adult Social Care – Housing & Community Safety	31.282	32.784	27.534	12.652	10.741	114.993
Economy & Place – Transport, Highways & Environment	34.122	45.374	22.541	17.065	6.225	125.327
Economy & Place – Regeneration & Asset Management	14.622	12.613	0.220	0.220	0.220	27.895
Community Stadium	23.432	9.110	-	0	0	32.542
Customer & Corporate Services	2.203	0.250	0.250	0.250	0.200	3.153
IT Development Plan	3.424	3.430	1.435	1.770	1.970	12.029
Revised Programme	122.243	123.238	61.991	41.073	19.994	368.539

Table 2 Revised 5 Year Capital Programme

Funding the 2018/19 – 2022/23 Capital Programme

48 The revised 2018/19 capital programme of £122.243m is funded from £46.895m of external funding and £75.348m of internal funding. Table 3 shows the projected call on resources going forward.

	2018/19	2019/20	2020/21	2021/22	2022/23	Total
	£m	£m	£m	£m	£m	£m
Gross Capital Programme	122.243	123.238	61.991	41.073	19.994	368.539
Funded by:						
External Funding	46.895	62.887	29.686	23.946	4.596	167.760
Council Controlled Resources	75.348	60.351	32.305	17.127	15.398	200.779
Total Funding	122.243	123.238	61.991	41.073	19.994	368.539

Table 3 – 2018/19 –2022/23 Capital Programme Financing

- 49 The Council controlled figure is comprised of a number of resources that the Council has ultimate control over. These include Right to Buy receipts, revenue contributions, supported (government awarded) borrowing, prudential (Council funded) borrowing, reserves (including Venture Fund) and capital receipts
- 50 During Executive meetings in October 2016 and July 2017, Members decided to ultimately finance the purchase of property at Hospital Fields Road and Swinegate from Capital receipts. Therefore it should be noted that all future capital receipts are assumed to be used for this purpose in the medium term. This strategy will deliver significant revenue savings, and reduce the need for savings within the revenue budget.

Council Plan

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

Implications

- 52 This report has the following implications:
- **Financial** - are contained throughout the main body of the report
 - **Human Resources (HR)** – There are no HR implications as a result of this report
 - **One Planet Council/ Equalities** – The capital programme seeks to address key equalities issues that affect the Council and the public. Schemes that address equalities include the Disabilities Support Grant, the Schools Access Initiative, the Community Equipment Loans Store (CELS) and the Disabilities Discrimination Act (DDA) Access Improvements. All individual schemes will be subject to Equalities Impact Assessments
 - **Legal Implications** - There are no Legal implications as a result of this report.
 - **Crime and Disorder** - There are no crime and disorder implications as a result of this report.
 - **Information Technology** – The information technology implications are contained within the main body of the report,
 - **Property** - The property implications of this paper are included in the main body of the report which covers the funding of the capital programme from capital receipts.
 - **Other** – There are no other implications

Risk Management

53 There are a number of risks inherent in the delivery of a large scale capital programme. To mitigate against these risks the capital programme is regularly monitored as part of the corporate monitoring process, and the project management framework. This is supplemented by internal and external audit reviews of major projects. In addition, the Capital Asset Board meet monthly to plan, monitor and review major capital schemes to ensure that all capital risks to the Council are monitored and where possible minimised

Contact Details

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Debbie Mitchell Corporate Finance Manager 01904 554161	Report Approved	√	Date 16/11/18
Wards Affected: All			
For further information please contact the author of the report			

Specialist Implications:
Legal – Not Applicable
Property – Not Applicable
Information Technology – Not Applicable

Annexes

Annex A – Capital Programme 2018/19 to 2022/23

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	2018/19 Mon 2 Adj £000	2018/19 Mon 2 Reprofile £000	2018/19 Revised Mon 2 Budget £000	2018/19 Mon 2 Adj £000	2018/19 Mon 2 Reprofile £000	2019/20 Revised Mon 2 Budget £000	2018/19 Mon 2 Adj £000	2018/19 Mon 2 Reprofile £000	2020/21 Revised Mon 2 Budget £000	2018/19 Mon 2 Adj £000	2018/19 Mon 2 Reprofile £000	2021/22 Revised Mon 2 Budget £000	2022/23 Revised Mon 2 Budget £000	Gross Capital Programme To be Funded 18/19 - 22/23 £000
CEC - Children, Education & Communities														
CEC - Children & Education														
NDS Devolved Capital			284			228			195			0	0	707
- External Funding			284			228			195			0	0	707
- Internal Funding			0			0			0			0	0	0
DfE Maintenance	-402	-200	3,617		200	1,336			1,000			0	0	5,953
- External Funding	-402	-200	3,617		200	1,336			1,000			0	0	5,953
Clifton Green Primary Roof Replacement - phase 1			525			0			0			0	0	525
- External Funding			525			0			0			0	0	525
- Internal Funding			0			0			0			0	0	0
Basic Need		-2,200	147		2,200	9,427			7,750			8,500	0	25,824
- External Funding		-1,400	147		1,400	6,627			7,750			8,500	0	23,024
- Internal Funding		-800	0		800	2,800			0			0	0	2,800
St Mary's CE Primary School Additional Teaching Accommodation			600			0			0			0	0	600
- External Funding			600			0			0			0	0	600
- Internal Funding			0			0			0			0	0	0
Westfield Primary School Kitchen and Dining Facilities Expansion			650			0			0			0	0	650
- External Funding			650			0			0			0	0	650
Departmental Prudential Borrowing			0			0			0			0	0	0
- Internal Funding			0			0			0			0	0	0
Universal Infant Free School Meals			3			0			0			0	0	3
- External Funding			3			0			0			0	0	3
- Internal Funding			0			0			0			0	0	0
Fulford School Expansion	-29		40			0			0			0	0	40
- External Funding	-29		40			0			0			0	0	40
- Internal Funding			0			0			0			0	0	0
Schools Electrical Supply Upgrade			1			0			0			0	0	1
- External Funding			0			0			0			0	0	0
- Internal Funding			1			0			0			0	0	1
Family Drug & Alcohol Assess/Recovery Facility		-100	0		100	100			0			0	0	100
- External Funding			0			0			0			0	0	0
- Internal Funding		-100	0		100	100			0			0	0	100
Knavesmire Classroom Expansion			0			0			0			0	0	0
- External Funding			0			0			0			0	0	0
- Internal Funding			0			0			0			0	0	0
Expansion and Improvement of Facilities for Pupils with SEND		-250	471		250	447			197			0	0	1,115
- External Funding			197			197			197			0	0	591
- Internal Funding		-250	274		250	250			0			0	0	524
Children & Young Peoples services & Building based provision review			12			0			0			0	0	12
- External Funding			0			0			0			0	0	0
- Internal Funding			12			0			0			0	0	12
Southbank Expansion			1,168			0			0			0	0	1,168
- External Funding			248			0			0			0	0	248
- Internal Funding			920			0			0			0	0	920
Capital Maintenance Works to Schools - Ventilation & Electrical			334			0			0			0	0	334
- External Funding			0			0			0			0	0	0
- Internal Funding			334			0			0			0	0	334
Centre of Excellence for Disabled Children (Lincoln Court)	500		500	3,500		3,500	274		274			0	0	4,274
- Internal Funding	500		500	3,500		3,500	274		274			0	0	4,274
Healthy Pupils Capital Fund	93		93			0			0			0	0	93
- External Funding	93		93			0			0			0	0	93
CEC - Communities														
York Explore - Haxby Library			12			0			0			0	0	12
- External Funding			0			0			0			0	0	0
- Internal Funding			12			0			0			0	0	12
Haxby Library Reprovision		-421	30		421	421			0			0	0	451
- Internal Funding		-421	30		421	421			0			0	0	451
Castle Museum Development Project			200			200			0			0	0	400
- External Funding			0			0			0			0	0	0
- Internal Funding			200			200			0			0	0	400
York Museums Trust Visitor Facilities and Product Development			0			0			0			0	0	0
- External Funding			0			0			0			0	0	0
- Internal Funding			0			0			0			0	0	0
Energise Roof			250			0			0			0	0	250
- External Funding			0			0			0			0	0	0
- Internal Funding			250			0			0			0	0	250
York Theatre Royal			0			0			0			0	0	0
- External Funding			0			0			0			0	0	0
- Internal Funding			0			0			0			0	0	0
TOTAL GROSS EXPENDITURE	162	-3,171	8,937	3,500	3,171	15,659	274	0	9,416	0	0	8,500	0	42,512
TOTAL EXTERNAL FUNDING	-338	-1,600	6,404	0	1,600	8,388	0	0	9,142	0	0	8,500	0	32,434
TOTAL INTERNAL FUNDING	500	-1,571	2,533	3,500	1,571	7,271	274	0	274	0	0	0	0	10,078
HH&ASC - Adult Social Care & Adult Services Commissioning														
Joint Equipment Store			157			127			131			135	139	689
- External Funding			0			0			0			0	0	0
- Internal Funding			157			127			131			135	139	689
Disabled Support Grant			215			210			220			230	240	1,115
- External Funding			0			0			0			0	0	0
- Internal Funding			215			210			220			230	240	1,115
Telecare Equipment			477			237			244			251	259	1,468

	2018/19 Mon 2 Adj £000	2018/19 Mon 2 Reprofile £000	2018/19 Revised Mon 2 Budget £000	2018/19 Mon 2 Adj £000	2018/19 Mon 2 Reprofile £000	2019/20 Revised Mon 2 Budget £000	2018/19 Mon 2 Adj £000	2018/19 Mon 2 Reprofile £000	2020/21 Revised Mon 2 Budget £000	2018/19 Mon 2 Adj £000	2018/19 Mon 2 Reprofile £000	2021/22 Revised Mon 2 Budget £000	2022/23 Revised Mon 2 Budget £000	Gross Capital Programme To be Funded 18/19 - 22/23 £000
- External Funding			0			0			0			0	0	0
- Internal Funding			477			237			244			251	259	1,468
OPH Infrastructure Works			8			0			0			0	0	8
- External Funding			0			0			0			0	0	0
- Internal Funding			8			0			0			0	0	8
Older Person's Accommodation Review			3,334			3,444			0			0	0	6,778
- External Funding			0			0			0			0	0	0
Corporate Capital Receipt			3,292			3,444			0			0	0	6,736
- Corporate Prudential Borrowing			42			0			0			0	0	42
- Internal Funding			3,334			3,444			0			0	0	6,778
30 Clarence Street - Sycamore House			30			0			0			0	0	30
- External Funding			18			0			0			0	0	18
- Internal Funding			12			0			0			0	0	12
TOTAL GROSS EXPENDITURE	0	0	4,221	0	0	4,018	0	0	595	0	0	616	638	10,088
TOTAL EXTERNAL FUNDING	0	0	18	0	0	0	0	0	0	0	0	0	0	18
TOTAL INTERNAL FUNDING	0	0	4,203	0	0	4,018	0	0	595	0	0	616	638	10,070
HH&ASC - Housing & Community Safety														0
Modernisation of Local Authority Homes			1,966			3,480			1,777			1,127	940	9,290
- External Funding			0			0			0			0	0	0
- Internal Funding			1,966			3,480			1,777			1,127	940	9,290
Assistance to Older & Disabled People			420			430			440			450	460	2,200
- External Funding			0			0			0			0	0	0
- Internal Funding			420			430			440			450	460	2,200
MRA Schemes			6,523			6,140			6,868			7,206	7,472	34,209
- External Funding			0			0			0			0	0	0
- Internal Funding			6,523			6,140			6,868			7,206	7,472	34,209
Local Authority Homes - Phase 1		-1,450	982		1,450	1,450			0			0	0	2,432
- External Funding			0			0			0			0	0	0
- Internal Funding			982		1,450	1,450			0			0	0	2,432
Local Authority Homes - Phase 2	-2,402	470	0		-470	4,530			5,000			2,000	0	11,530
- External Funding		-250	0		250	500			250		-250	0	0	750
- Internal Funding	-2,402	720	0		-720	4,030			4,750		250	2,000	0	10,780
Lowfield Housing			1,500			10,500			10,500			0	0	22,500
- External Funding			0			0			0			0	0	0
- Internal Funding			1,500			10,500			10,500			0	0	22,500
Duncombe Barracks	2,555		2,555			0			0			0	0	2,555
- External Funding			0			0			0			0	0	0
- Internal Funding	2,555		2,555			0			0			0	0	2,555
Water Mains Upgrade			0			0			756			25	25	806
- External Funding			0			0			0			0	0	0
- Internal Funding			0			0			756			25	25	806
Building Insulation Programme			20			160			0			0	0	180
- External Funding			20			0			0			0	0	20
- Internal Funding			0			160			0			0	0	160
Disabled Facilities Grant (Gfund)			1,984			1,674			1,674			1,674	1,674	8,680
- External Funding			1,199			1,199			1,199			1,199	1,199	5,995
- Internal Funding			785			475			475			475	475	2,685
IT Infrastructure	-300		826			150			150			0	0	1,126
- External Funding			0			0			0			0	0	0
- Internal Funding	-300		826			150			150			0	0	1,126
Empty Homes (Gfund)			100			0			0			0	0	100
- External Funding			0			0			0			0	0	0
- Internal Funding			100			0			0			0	0	100
Housing Environmental Improvement Programme			333			170			170			170	170	1,013
- External Funding			0			0			0			0	0	0
- Internal Funding			333			170			170			170	170	1,013
James House			5,992			0			0			0	0	5,992
- External Funding			913			0			0			0	0	913
- Internal Funding			5,079			0			0			0	0	5,079
Shared Ownership Scheme			3,132			2,000			0			0	0	5,132
- External Funding			1,675			1,000			0			0	0	2,675
- Internal Funding			1,457			1,000			0			0	0	2,457
Lincoln Court Independent Living Scheme			1,300			0			0			0	0	1,300
- External Funding			0			0			0			0	0	0
- Internal Funding			1,300			0			0			0	0	1,300
Extension to Marjorie Waite Court			3,126			2,100			199			0	0	5,425
- External Funding			0			0			0			0	0	0
- Internal Funding			3,126			2,100			199			0	0	5,425
Extension to Glen Lodge			523			0			0			0	0	523
- External Funding			0			0			0			0	0	0
- Internal Funding			523			0			0			0	0	523
TOTAL GROSS EXPENDITURE	-147	-980	31,282	0	980	32,784	0	0	27,534	0	0	12,652	10,741	114,993
TOTAL EXTERNAL FUNDING	0	-250	3,807	0	250	2,699	0	0	1,449	-250	0	1,199	1,199	10,353
TOTAL INTERNAL FUNDING	-147	-730	27,475	0	730	30,085	0	0	26,085	250	0	11,453	9,542	104,640
Economy & Place - Transport, Highways & Environment														0
Highway Resurfacing & Reconstruction (Struct Maint) *			3,199			2,767			2,691			2,577	2,577	13,811
- External Funding			2,093			2,017			1,941			1,827	1,827	9,705
- Internal Funding			1,106			750			750			750	750	4,106
Targeted Investment for Highways Improvement			100			100			100			100	0	400
- External Funding			0			0			0			0	0	0
- Internal Funding			100			100			100			100	0	400

	2018/19 Mon 2 Adj £000	2018/19 Mon 2 Reprofile £000	2018/19 Revised Mon 2 Budget £000	2018/19 Mon 2 Adj £000	2018/19 Mon 2 Reprofile £000	2019/20 Revised Mon 2 Budget £000	2018/19 Mon 2 Adj £000	2018/19 Mon 2 Reprofile £000	2020/21 Revised Mon 2 Budget £000	2018/19 Mon 2 Adj £000	2018/19 Mon 2 Reprofile £000	2021/22 Revised Mon 2 Budget £000	2022/23 Revised Mon 2 Budget £000	Gross Capital Programme To be Funded 18/19 - 22/23 £000
Highway, Footway & Cycleway Improvement Acceleration			2,000			0		1,000				1,000	1,000	5,000
- External Funding			0			0		0				0	0	0
-Internal Funding			2,000			0		1,000				1,000	1,000	5,000
Special Bridge Maintenance (Struct maint)			768			200		200				0	0	1,168
- External Funding			0			0		0				0	0	0
-Internal Funding			768			200		200				0	0	1,168
Replacement of Unsound Lighting Columns		700	1,338		-578	0		456			-122	578	578	2,950
- External Funding			0			0		0				0	0	0
-Internal Funding		700	1,338		-578	0		456			-122	578	578	2,950
Watercourse Restoration			20			0		0				0	0	20
- External Funding			0			0		0				0	0	0
-Internal Funding			20			0		0				0	0	20
Highways Drainage Works			272			200		200				200	200	1,072
Corporate Prudential Borrowing			272			200		200				200	200	1,072
-Internal Funding			272			200		200				200	200	1,072
Drainage Investigation & Renewal			250			250		250				0	0	750
- External Funding			0			0		0				0	0	0
-Internal Funding			250			250		250				0	0	750
Highways, Road Adoption and Drainage Fund			125			0		0				0	0	125
- External Funding			0			0		0				0	0	0
-Internal Funding			125			0		0				0	0	125
Pothole Spotter Trial			339			0		0				0	0	339
- External Funding			89			0		0				0	0	89
Earmarked Reserve			250			0		0				0	0	250
-Internal Funding			250			0		0				0	0	250
Wheeled Bins in Back Lane and Terraced Areas			61			0		0				0	0	61
- External Funding			0			0		0				0	0	0
-Internal Funding			61			0		0				0	0	61
Built Environment Fund	-25	-1,062	798		1,062	1,062		0				0	0	1,860
- External Funding			0			0		0				0	0	0
-Internal Funding	-25	-1,062	798		1,062	1,062		0				0	0	1,860
Rowntree Park Lodge			149			0		0				0	0	149
- External Funding			0			0		0				0	0	0
-Internal Funding			149			0		0				0	0	149
War Memorial			29			0		0				0	0	29
- External Funding			29			0		0				0	0	29
-Internal Funding			0			0		0				0	0	0
Better Play Areas			172			0		0				0	0	172
- External Funding			32			0		0				0	0	32
-Internal Funding			140			0		0				0	0	140
Public Conveniene Facilities			11			0		0				0	0	11
- External Funding			0			0		0				0	0	0
-Internal Funding			11			0		0				0	0	11
Litter Bin Replacement Programme			339			175		0				0	0	514
- External Funding			0			0		0				0	0	0
-Internal Funding			339			175		0				0	0	514
Knavesmire Culverts			266			0		0				0	0	266
- External Funding			0			0		0				0	0	0
-Internal Funding			266			0		0				0	0	266
Better Bus Area Fund			653			0		0				0	0	653
- External Funding			404			0		0				0	0	404
-Internal Funding			249			0		0				0	0	249
Local Transport Plan (LTP) *	200		3,114			1,570		1,570				1,570	1,570	9,394
- External Funding	220		2,861			1,570		1,570				1,570	1,570	9,141
-Internal Funding	-20		253			0		0				0	0	253
York City Walls - Repairs & Renewals (City Walls)			256			90		90				90	90	526
- External Funding			0			0		0				0	0	0
-Internal Funding			256			90		90				90	90	526
York City Walls Restoration Programme			400			300		300				300	300	1,600
- External Funding			0			0		0				0	0	0
-Internal Funding			400			300		300				300	300	1,600
Access York			0			0		0				0	0	0
- External Funding			0			0		0				0	0	0
-Internal Funding			0			0		0				0	0	0
Flood Defences			317			0		0				0	0	317
- External Funding			0			0		0				0	0	0
-Internal Funding			317			0		0				0	0	317
Highways Improvements			0			0		0				0	0	0
- External Funding			0			0		0				0	0	0
-Internal Funding			0			0		0				0	0	0
Scarborough Bridge			4,155			0		0				0	0	4,155
- External Funding			3,180			0		0				0	0	3,180
-Internal Funding			975			0		0				0	0	975
Hungate and Peasholme Public Realm			175			0		0				0	0	175
- External Funding			0			0		0				0	0	0
-Internal Funding			175			0		0				0	0	175
WYTF - YORR			5,875			14,973		8,100				4,400	0	33,348
- External Funding			5,875			14,973		8,100				4,400	0	33,348
-Internal Funding			0			0		0				0	0	0
WYTF - York Central Access			2,169			21,318		7,300				6,200	0	36,987
- External Funding			2,169			21,318		7,300				6,200	0	36,987
-Internal Funding			0			0		0				0	0	0
WYTF - Dualling Study			285			0		0				0	0	285
- External Funding			285			0		0				0	0	285

	2018/19 Mon 2 Adj £000	2018/19 Mon 2 Reprofile £000	2018/19 Revised Mon 2 Budget £000	2018/19 Mon 2 Adj £000	2018/19 Mon 2 Reprofile £000	2019/20 Revised Mon 2 Budget £000	2018/19 Mon 2 Adj £000	2018/19 Mon 2 Reprofile £000	2020/21 Revised Mon 2 Budget £000	2018/19 Mon 2 Adj £000	2018/19 Mon 2 Reprofile £000	2021/22 Revised Mon 2 Budget £000	2022/23 Revised Mon 2 Budget £000	Gross Capital Programme To be Funded 18/19 - 22/23 £000
-Internal Funding			0			0			0			0	0	0
National Productivity Improvement Fund			156			0			0			0	0	156
- External Funding			156			0			0			0	0	156
-Internal Funding			0			0			0			0	0	0
Potholes			272			184			184			0	0	640
- External Funding			272			184			184			0	0	640
-Internal Funding			0			0			0			0	0	0
Silver Street & Coppergate Toilets			66			0			0			0	0	66
- External Funding			66			0			0			0	0	66
-Internal Funding			0			0			0			0	0	0
Osbalwick Beck Maintenance			60			0			0			0	0	60
- External Funding			60			0			0			0	0	60
-Internal Funding			0			0			0			0	0	0
Fleet & Workshop Operational Equipment			86			0			0			0	0	86
- External Funding			86			0			0			0	0	86
-Internal Funding			0			0			0			0	0	0
Fordlands Road Flood Defences			200			300			0			0	0	500
- External Funding			200			300			0			0	0	500
-Internal Funding			0			0			0			0	0	0
Highways Materials Specialist storage			80			0			0			0	0	80
- External Funding			80			0			0			0	0	80
-Internal Funding			0			0			0			0	0	0
National Cycle Network 65 Targeted Repairs			250			250			0			0	0	500
- External Funding			250			250			0			0	0	500
-Internal Funding			0			0			0			0	0	0
Non Illuminated Structural asset renewal			100			0			0			0	0	100
- External Funding			100			0			0			0	0	100
-Internal Funding			0			0			0			0	0	0
Hazel Court conversion of storage area to operational hub			100			0			0			0	0	100
- External Funding			100			0			0			0	0	100
-Internal Funding			0			0			0			0	0	0
CCTV Asset Renewal			180			110			0			0	0	290
- External Funding			180			110			0			0	0	290
-Internal Funding			0			0			0			0	0	0
Public Realm footpaths			50			0			0			0	0	50
- External Funding			50			0			0			0	0	50
-Internal Funding			0			0			0			0	0	0
Smarter Travel Evolution Programme			1,425			1,425			0			0	0	2,850
- External Funding			1,425			1,425			0			0	0	2,850
-Internal Funding			0			0			0			0	0	0
Electric Bus Scheme			3,300			0			0			0	0	3,300
- External Funding			3,300			0			0			0	0	3,300
-Internal Funding			0			0			0			0	0	0
City Fibre Network			162			100			100			50	0	412
- External Funding			162			100			100			50	0	412
-Internal Funding			0			0			0			0	0	0
TOTAL GROSS EXPENDITURE	175	-362	34,122	0	484	45,374	0	-122	22,541	0	0	17,065	6,225	125,327
TOTAL EXTERNAL FUNDING	220	0	22,170	0	0	41,487	0	0	19,095	0	0	13,997	3,397	100,146
TOTAL INTERNAL FUNDING	-45	-362	11,952	0	484	3,887	0	-122	3,446	0	0	3,068	2,828	25,181
Economy & Place - Regeneration & Asset Management														0
LCR Revolving Investment Fund		-268	240		268	268			0			0	0	508
- External Funding			240		268	268			0			0	0	508
-Internal Funding		-268	0		0	0			0			0	0	0
York Central			6,253			0			0			0	0	6,253
- External Funding			6,253			0			0			0	0	6,253
-Internal Funding			0			0			0			0	0	0
Decent Home Standards Works	-9	0	0			0			0			0	0	0
- External Funding	-9	0	0			0			0			0	0	0
-Internal Funding	0	0	0			0			0			0	0	0
Fishergate Postern	-18	0	0			0			0			0	0	0
- External Funding	-18	0	0			0			0			0	0	0
-Internal Funding	0	0	0			0			0			0	0	0
Holgate Park Land – York Central Land and Clearance			397			0			0			0	0	397
- External Funding			397			0			0			0	0	397
-Internal Funding			0			0			0			0	0	0
Asset Maintenance + Critical H&S Repairs	27	-20	545		20	240			220			220	220	1,445
- External Funding	27	-20	545		20	240			220			220	220	1,445
-Internal Funding	0	0	0		0	0			0			0	0	0
Community Asset Transfer		-125	50		125	125			0			0	0	175
- External Funding		-125	50		125	125			0			0	0	175
-Internal Funding		0	0		0	0			0			0	0	0
River Bank repairs			186			0			0			0	0	186
- External Funding			186			0			0			0	0	186
-Internal Funding			0			0			0			0	0	0
Castle Gateway (Picadilly Regeneration)			1,500			1,315			0			0	0	2,815
- External Funding			1,500			1,315			0			0	0	2,815
-Internal Funding			0			0			0			0	0	0
Guildhall			750			10,371			0			0	0	11,121
- External Funding			750			10,371			0			0	0	11,121
-Internal Funding			0			0			0			0	0	0
Critical Repairs and Contingency			0			274			0			0	0	274
- External Funding			0			274			0			0	0	274
-Internal Funding			0			0			0			0	0	0
Commercial Property Acquisition incl Swinegate	4,444		4,444			0			0			0	0	4,444

	2018/19	2018/19	2018/19	2018/19	2018/19	2019/20	2018/19	2018/19	2020/21	2018/19	2018/19	2021/22	2022/23	Gross Capital
	Mon 2	Mon 2	Revised	Mon 2	Mon 2	Revised	Mon 2	Mon 2	Revised	Mon 2	Mon 2	Revised	Revised	Programme
	Adj	Reprofile	Mon 2	Adj	Reprofile	Mon 2	Adj	Reprofile	Mon 2	Adj	Reprofile	Mon 2	Mon 2	To be Funded
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	18/19 - 22/23
														£000
- External Funding			0			0			0			0	0	0
-Internal Funding	4,444		4,444			0			0			0	0	4,444
Shambles Health & Safety			150			0			0			0	0	150
Built Environment Fund - Shopping Area Improvements			25			0			0			0	0	25
- External Funding			0			0			0			0	0	0
-Internal Funding	25		25			0			0			0	0	25
Air Quality Monitoring (Gfund)			82		20	20			0			0	0	102
- External Funding			82			0			0			0	0	82
-Internal Funding	20	-20	0		20	20			0			0	0	20
TOTAL GROSS EXPENDITURE	4,489	-433	14,622	0	433	12,613	0	0	220	0	0	220	220	27,895
TOTAL EXTERNAL FUNDING	0	0	0	0	0	1,541	0	0	0	0	0	0	0	2,123
TOTAL INTERNAL FUNDING	4,489	-433	14,040	0	433	11,072	0	0	220	0	0	220	220	25,772
Customer & Corporate Services - Community Stadium														0
Community Stadium			23,432			9,110			0			0	0	32,542
- External Funding			13,818			8,772			0			0	0	22,590
-Internal Funding			9,614			338			0			0	0	9,952
TOTAL GROSS EXPENDITURE	0	0	23,432	0	0	9,110	0	0	0	0	0	0	0	32,542
TOTAL EXTERNAL FUNDING	0	0	13,818	0	0	8,772	0	0	0	0	0	0	0	22,590
TOTAL INTERNAL FUNDING	0	0	9,614	0	0	338	0	0	0	0	0	0	0	9,952
Customer & Corporate Services														0
Fire Safety Regulations - Adaptations			102			0			0			0	0	102
- External Funding			0			0			0			0	0	0
-Internal Funding			102			0			0			0	0	102
Removal of Asbestos			144			50			50			50	0	294
- External Funding			0			0			0			0	0	0
-Internal Funding			144			50			50			50	0	294
Mansion House Restoration			169			0			0			0	0	169
- External Funding			96			0			0			0	0	96
-Internal Funding			73			0			0			0	0	73
Project Support Fund			423			200			200			200	200	1,223
- External Funding			0			0			0			0	0	0
-Internal Funding			423			200			200			200	200	1,223
Registrars			3			0			0			0	0	3
- External Funding			0			0			0			0	0	0
-Internal Funding			3			0			0			0	0	3
-Earmarked Reserve			0			0			0			0	0	0
Low Carbon and Solar Panels Investment			0			0			0			0	0	0
- External Funding			0			0			0			0	0	0
-Internal Funding			0			0			0			0	0	0
Photovoltaic Energy Programme			240			0			0			0	0	240
- External Funding			0			0			0			0	0	0
-Internal Funding			240			0			0			0	0	240
One Planet Council - Energy Efficiency			250			0			0			0	0	250
- External Funding			0			0			0			0	0	0
- Corporate Prudential Borrowing			250			0			0			0	0	250
-Internal Funding			250			0			0			0	0	250
West Offices - Major repairs			237			0			0			0	0	237
- External Funding			0			0			0			0	0	0
-Internal Funding			237			0			0			0	0	237
Capital Contingency			635			0			0			0	0	635
- External Funding			0			0			0			0	0	0
-Internal Funding			635			0			0			0	0	635
TOTAL GROSS EXPENDITURE	0	0	2,203	0	0	250	0	0	250	0	0	250	200	3,153
TOTAL EXTERNAL FUNDING	0	0	0	0	0	0	0	0	0	0	0	0	0	96
TOTAL INTERNAL FUNDING	0	0	2,107	0	0	250	0	0	250	0	0	250	200	3,057
Customer & Corporate Services - IT														0
IT Development plan			-1,110		3,304	1,110			3,430			1,435	1,770	1,970
- External Funding			0		0	0			0			0	0	0
-Internal Funding			-1,110		3,304	1,110			3,430			1,435	1,770	1,970
IT Superconnected Cities			120		0	0			0			0	0	120
- External Funding			0		0	0			0			0	0	0
-Internal Funding			120		0	0			0			0	0	120
TOTAL GROSS EXPENDITURE	0	-1,110	3,424	0	1,110	3,430	0	0	1,435	0	0	1,770	1,970	12,029
TOTAL EXTERNAL FUNDING	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL INTERNAL FUNDING	0	-1,110	3,424	0	1,110	3,430	0	0	1,435	0	0	1,770	1,970	12,029
Gross Expenditure by Department														
CEC - Children, Education & Communities	162	-3,171	8,937	3,500	3,171	15,659	274	0	9,416	0	0	8,500	0	42,512
HH&ASC - Adult Social Care & Adult Services Commissioning	0	0	4,221	0	0	4,018	0	0	595	0	0	616	638	10,088
HH&ASC - Housing & Community Safety	-147	-980	31,282	0	980	32,784	0	0	27,534	0	0	12,652	10,741	114,993
Economy & Place - Transport, Highways & Environment	175	-362	34,122	0	484	45,374	0	-122	22,541	0	0	17,065	6,225	125,327
Economy & Place - Regeneration & Asset Management	4,489	-433	14,622	0	433	12,613	0	0	220	0	0	220	220	27,895
Customer & Corporate Services - Community Stadium	0	0	23,432	0	0	9,110	0	0	0	0	0	0	0	32,542
Customer & Corporate Services	0	0	2,203	0	0	250	0	0	250	0	0	250	200	3,153
Customer & Corporate Services - IT	0	-1,110	3,424	0	1,110	3,430	0	0	1,435	0	0	1,770	1,970	12,029
Total by Department	4,679	-6,056	122,243	3,500	6,178	123,238	274	-122	61,991	0	0	41,073	19,994	368,539

	2018/19 Mon 2 Adj £000	2018/19 Mon 2 Reprofile £000	2018/19 Revised Mon 2 Budget £000	2018/19 Mon 2 Adj £000	2018/19 Mon 2 Reprofile £000	2019/20 Revised Mon 2 Budget £000	2018/19 Mon 2 Adj £000	2018/19 Mon 2 Reprofile £000	2020/21 Revised Mon 2 Budget £000	2018/19 Mon 2 Adj £000	2018/19 Mon 2 Reprofile £000	2021/22 Revised Mon 2 Budget £000	2022/23 Revised Mon 2 Budget £000	Gross Capital Programme To be Funded 18/19 - 22/23 £000
TOTAL GROSS EXPENDITURE	4,679	-6,056	122,243	3,500	6,178	123,238	274	-122	61,991	0	0	41,073	19,994	368,539
TOTAL EXTERNAL FUNDING	-118	-1,850	46,895	0	1,850	62,887	0	0	29,686	-250	0	23,696	4,596	167,760
TOTAL INTERNAL FUNDING	4,797	-4,206	75,348	3,500	4,328	60,351	274	-122	32,305	250	0	17,377	15,398	200,779



Executive**29 November 2018**

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

Portfolio of the Executive Leader (incorporating Finance & Performance)

Treasury Management Mid Year Review and Prudential Indicators 2018/19**Summary**

1. The Council is required through legislation to provide members with a mid year update on treasury management activities. This report provides an update on activity for the period 1 April 2018 to 30 September 2018.

Recommendations

2. Members are required, in accordance with the Local Government Act 2003 (revised), to:
 - Note the Treasury Management activities to date in 2018/19
 - Note the Prudential Indicators set out at Annex A and note the compliance with all indicators.

Reason: to ensure the continued performance of the Council's Treasury Management function.

Background

3. In December 2017 the Chartered Institute of Public Finance & Accountancy (CIPFA) issued revised Prudential and Treasury Management Codes. As from 2019/20 all local authorities will be required to prepare a Capital Strategy which is intended to provide the following:
 - A high level overview of how capital expenditure, capital financing and treasury management activity contribute to the provision of services
 - An overview of how the associated risk is managed
 - The implications for future financial sustainability

4. A report setting out our Capital Strategy will be taken to full council alongside the usual suite of budget reports in February 2019.
5. The Treasury Management function is responsible for the effective management of the Council's investments, cash flows, banking, and money market transactions. It also considers the effective control of the risks associated with those activities and ensures optimum performance within those risk parameters.
6. This mid year report has been prepared in compliance with CIPFA's Code of Practice on Treasury Management and covers the following:
 - An economic update for the first part of the 2018/19 financial year;
 - A review of the Treasury Management Strategy Statement and Annual Investment Strategy;
 - The prudential indicators;
 - A review of the Council's investment portfolio;
 - A review of the Council's borrowing strategy;
 - A review of compliance with the Treasury and Prudential Limits.

Economic Background and Analysis

7. The first half of 2018/19 has seen UK economic growth post a modest performance, but sufficiently robust for the Monetary Policy Committee, (MPC), to unanimously (9-0) vote to increase Bank Rate on 2nd August from 0.5% to 0.75%. Although growth looks as if it will only be modest at around 1.5% in 2018, the Bank of England's August Quarterly Inflation Report forecast that growth will pick up to 1.8% in 2019, albeit there were several caveats – mainly related to whether or not the UK achieves an orderly withdrawal from the European Union in March 2019.
8. Some MPC members have expressed concerns about a build-up of inflationary pressures, particularly with the pound falling in value again against both the US dollar and the Euro. The Consumer Price Index (CPI) measure of inflation rose unexpectedly from 2.4% in June to 2.7% in August due to increases in volatile components, but is expected to fall back to the 2% inflation target over the next two years given a scenario of minimal increases in Bank Rate. The MPC has indicated Bank Rate would need to be in the region of 1.5% by March 2021 for inflation to stay on track. Financial markets are currently pricing in the next increase in Bank Rate for the second half of 2019.
9. As for the labour market, unemployment has continued at a 43 year low of 4% on the Independent Labour Organisation measure. A combination of job vacancies hitting an all-time high in July, together with negligible

growth in total employment numbers, indicates that employers are now having major difficulties filling job vacancies with suitable staff. It was therefore unsurprising that wage inflation picked up to 2.9%, (3 month average regular pay, excluding bonuses) and to a one month figure in July of 3.1%. This meant that in real terms, (i.e. wage rates higher than CPI inflation), earnings grew by about 0.4%, near to the joint high of 0.5% since 2009. (The previous high point was in July 2015.) Given the UK economy is very much services sector driven, an increase in household spending power is likely to feed through into providing some support to the overall rate of economic growth in the coming months. This tends to confirm that the MPC were right to start on a cautious increase in Bank Rate in August as it views wage inflation in excess of 3% as increasing inflationary pressures within the UK economy. However, the MPC will need to tread cautiously before increasing Bank Rate again, especially given all the uncertainties around Brexit.

Interest Rate Forecast

10. Table 1 is Link Asset Services Interest Rate forecast for both the bank rate and long term Public Works Loans Board borrowing rates (note all figures are percentages):

	Dec 18	Mar 19	Jun 19	Sep 19	Dec 19	Mar 20	Jun 20	Sep 20	Dec 20	Mar 21
Bank Rate	0.75	0.75	0.75	0.75	1.00	1.00	1.00	1.25	1.50	1.50
5 Yr PWLB rate	2.00	2.10	2.20	2.20	2.30	2.30	2.40	2.50	2.50	2.60
10 Yr PWLB rate	2.50	2.50	2.60	2.70	2.70	2.80	2.90	2.90	3.00	3.10
25 Yr PWLB rate	2.90	3.00	3.10	3.10	3.20	3.30	3.30	3.40	3.50	3.50
50 Yr PWLB rate	2.70	2.80	2.90	2.90	3.00	3.10	3.10	3.20	3.30	3.30

Table 1: Link Asset Services Interest Rate Forecast (%)

11. The flow of generally positive economic statistics after the end of the quarter ended 30 June meant that it came as no surprise that the MPC

came to a decision on 2 August to make the first increase in Bank Rate above 0.5% since the financial crash, to 0.75%.

Annual Investment Strategy Update

12. The Treasury Management Strategy Statement (TMSS) for 2018/19 was approved by Council on 22 February 2018. There are no policy changes to the TMSS and the details in this report do not amend the TMSS.
13. The Council's Annual Investment Strategy, which is incorporated in the Strategy, outlines the Council's investment priorities as follows:
 - security of capital
 - liquidity
 - yield
14. The Council continues to aim to achieve the optimum return (yield) on investments commensurate with the proper levels of security and liquidity and the Council's risk appetite.

Investment Portfolio

15. The average level of cash balances available for investment purposes in the first 6 months of 2018/19 was £92.174m (£114.243m for the same 6 month period in 17/18). The level of cash balances available is largely dependent on the timing of the Council's cash flow as a result of precept payments, receipt of grants, receipt of developers contributions, borrowing for capital purposes, payments to its suppliers of goods and services and spend progress on the Capital Programme. These funds are therefore only available on a temporary basis depending on cash flow movement.
16. The average level of cash balances has decreased compared to a year ago due to a number of factors. These include a number of delayed capital schemes now-progressing.
17. The Council continues to use cash balances instead of taking long term debt to finance the Council's capital programme. This strategy remains a prudent one as investment rates continue to be lower than borrowing rates when viewed on a short term projection but the potential to secure long term funding is kept under review to ensure this remains the most effective use of cash balances, given long term rates are currently at attractive levels. As cash balances are set to decrease in the short to medium term, due to previously agreed capital schemes progressing and new schemes being added to the capital programme, consideration is

being given to long term debt in order to finance the Councils capital programme.

18. Investment return (calculated as the amount of interest earned against the average cash balance for the period) during the first six months of 2018/19 is shown in table 2:

	2017/18 (full year)	2018/19 (part year to date)
Average CYC Rate of Return	0.41	0.65
<u>Benchmarks</u>		
Bank of England Base Rate	0.25	0.75
Average 7 Day LIBID	0.21	0.44
Average 1 Month LIBID	0.28	0.47

Table 2: CYCs investment rate of return performance vs. benchmarks

19. The average rate of return achieved to date in 2018/19 has increased compared to the average seen in 2017/18, due to the increase in Bank Rate.
20. It remains a very difficult investment market in terms of earning the level of interest rates commonly seen in previous decades as rates continue to be very low and in line with the current 0.75% Bank Rate. The continuing potential for a re-emergence of a Eurozone sovereign debt crisis, and its impact on banks, prompts a low risk and short term strategy. Given this risk environment and the fact that increases in Bank Rate are likely to be gradual and unlikely to return to the levels seen in previous decades, investment returns are likely to remain low.
21. Figure 1 shows the interest rates available on the market based on LIBID rates between 7 days and 1 year and also the rate of return that the Council has achieved for the first six months of 2018/19. It shows that favourable / competitive interest rates have been obtained for investments whilst ensuring the required liquidity and security of funds for the Council.

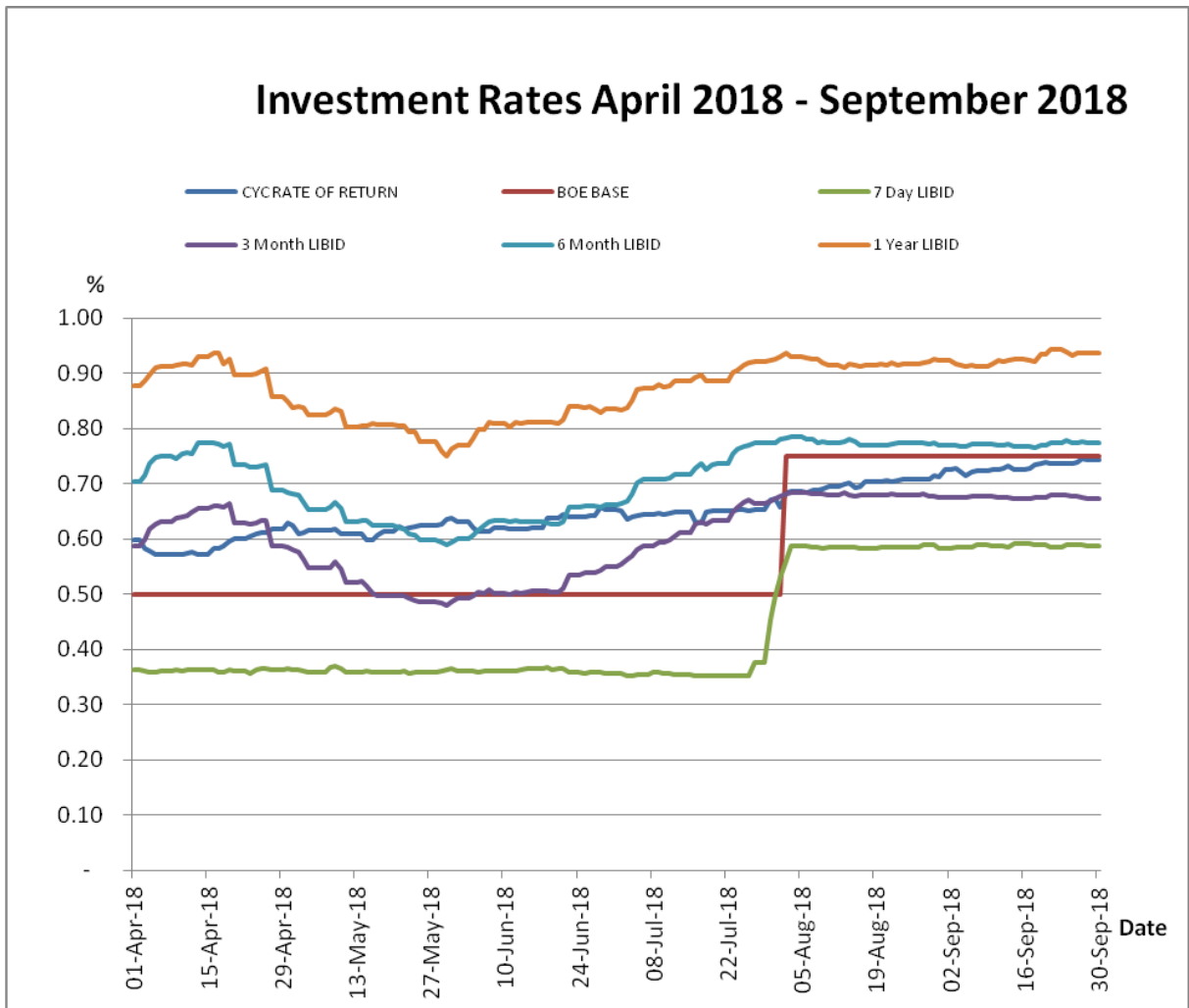


Figure 1 CYC Investments vs Money Market Rates up to 30th September 2018

- 22. Figure 2 shows the investments portfolio split by deposits in short term call accounts, fixed term investments and money market funds (MMFs).
- 23. All of the money market funds have an AAA credit rating, the notice call accounts are all AA or A+ rated and the fixed terms investments are A+ or A rated.

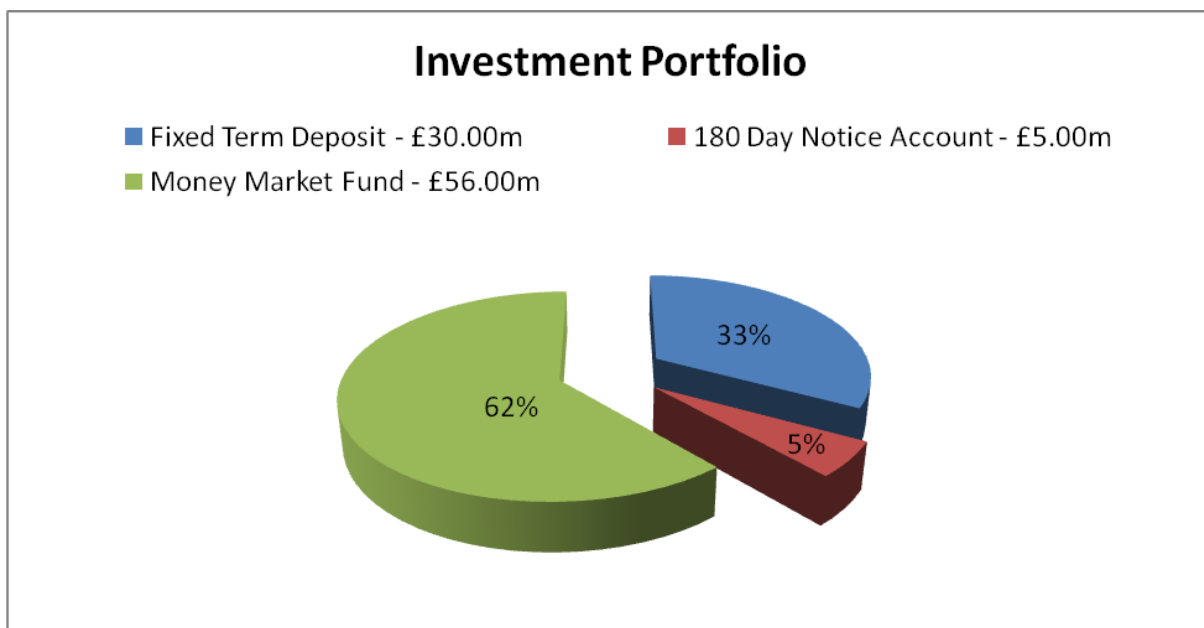


Figure 2 Investment Portfolio by type at 30th September 2018

Borrowing Portfolio

24. The Council undertakes long term borrowing in accordance with the investment requirements of the capital programme and all borrowing is therefore secured for the purpose of its asset base.
25. The level of borrowing taken by the Council is determined by the Capital Financing Requirement (the Councils underlying need to borrow for capital expenditure purposes). Borrowing needs to be affordable, sustainable and prudent.
26. Under regulation, the Council can borrow in advance of need and Markets are therefore constantly monitored and analysed to ensure that advantage is taken of favourable rates and the increased borrowing requirement is not as dependant on interest rates in any one year.
27. On the reverse side, the Council's level of borrowing can also be below the Capital Financing Requirement. This would mean that instead of increasing the Council's level of borrowing, surplus funds held for investment purposes would be utilised. In the current interest rate environment, where investment rates on holding investments are significantly below borrowing rates, consideration is given to the value of taking borrowing or whether it is better for the council to keep investment balances lower.
28. The finance team continues to closely monitor the opportunities that arise and receive daily updates from Link Asset Services in respect of borrowing timings and amounts. One new loan has been taken during

the first six months of 2018/19 on 13th April 18 from West Yorkshire Combined Authority at 0% interest, repayable on the 28th February 2027. No repayments are due during the term of the loan. The purpose of the loan is to help to fund York Central infrastructure projects. Members are reminded that this is a further instalment of a total £2.550m loan agreed by Executive on the 14th July 2016.

29. One loan has been redeemed prematurely. The Council was approached by the provider of one of its LOBO loans who advised they would be willing to negotiate a reduced premium to redeem the loan early. The Council asked its treasury management advisers to review the proposal and they highlighted that, given our strong cash position, it would be financially advantageous to accept the offer. The £5m loan was redeemed on the 12th October and, based on the loan not being refinanced, the saving to the treasury budget is £51k in 2018/19 and £111k in 2019/20 although this gradually reduces over the remaining life of the loan. The average saving generated is £29k pa. The net benefit over the remaining 42 years of the original loan period would be £1.242m in cash terms, and £738k on a net present value basis, split between GF and HRA.
30. The TMSS allows us to repay loans without replacement, where this is expected to lead to an overall cost saving or a reduction in risk.
31. The Council's long-term borrowing started the year at a level of £257.059m. On 12th October 2018 a £5m RBS LOBO loan was repaid taking the Council's long-term borrowing figure to £252.465m. The Housing Revenue Account settlement debt amounts to 48% of the borrowing portfolio (£121.550m) and the General Fund debt is 52% (£130.915m).
32. Figure 3 illustrates the 2018/19 maturity profile of the Council's debt portfolio at 12th October 2018. The maturity profile shows that there is no large concentration of loan maturity in any one year, thereby spreading the interest rate risk dependency.

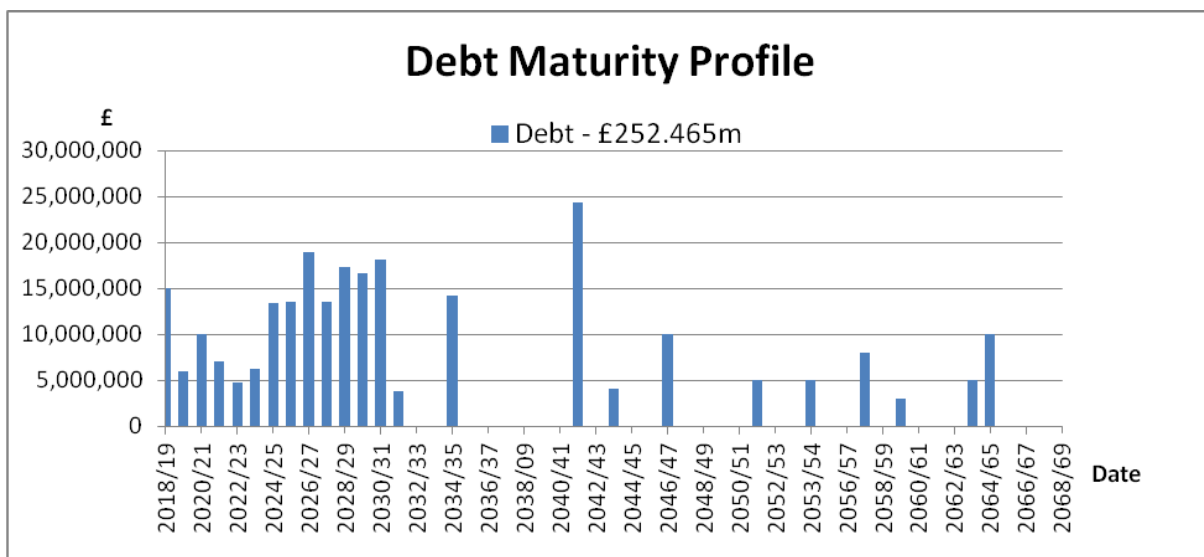


Figure 3 – Debt Maturity Profile 18/19 at 12th October 2018 [after RBS lobo repayment.]

33. Table 3 shows PWLB Certainty borrowing rates available for selected loan durations. There have been fluctuations in the rates with an average trend upwards to 30th September 2018.

	PWLB Certainty borrowing rates by duration of loan				
	1 Year	5 Year	10 Year	25 Year	50 Year
Yr High	1.57%	1.99%	2.43%	2.83%	2.64%
Yr Low	1.28%	1.67%	2.09%	2.50%	2.25%
Yr Avg	1.46%	1.84%	2.25%	2.64%	2.41%
Spread	0.29%	0.32%	0.34%	0.33%	0.39%

Table 3 – PWLB Borrowing Rates (%) – to 30th September 2018

Compliance with Prudential Indicators

34. The Prudential Indicators for 2018/19 included in the Treasury Management Strategy Statement are based on the requirements of the Council's capital programme and approved at Budget Council on 22 February 2018.
35. It is a statutory duty for the Council to determine and keep under review the "Affordable Borrowing Limits" included in the Prudential Indicators. The monitoring of the Prudential Indicators is attached at Annex A.

During the financial year 2018/19 to date the Council has operated within the treasury limits and Prudential Indicators set out.

Consultation and Options

36. The report shows the six month position of the treasury management portfolio in 2018/19. The treasury management budget was set in light of the council's expenditure plans and the wider economic market conditions, based on advice from Link Asset Services. It is a statutory requirement to provide the information detailed in the report.

Council Plan

37. The treasury management function aims to achieve the optimum return on investments commensurate with the proper levels of security, and to minimise the interest payable by the Council on its debt structure. It thereby contributes to all Council Plan priorities.

Financial implications

38. The financial implications are in the body of the report.

Legal Implications

39. Treasury Management activities have to conform to the Local Government Act 2003, the Local Authorities (Capital; Finance and Accounting) (England) Regulations 2003 (SI 2003/3146), which specifies that the Council is required to have regard to the CIPFA Prudential Code and the CIPFA Treasury Management Code of Practice and also the Local Authorities (Capital Finance and Accounting) (England) (Amendment) Regulations 2008 (SI 2008/414), which clarifies the requirements of the Minimum Revenue Provision guidance.

Other Implications

40. There are no crime and disorder, information technology, property, equalities, human resources or other implications as a result of this report.

Risk Management

41. The Treasury Management function is a high-risk area because of the level of large money transactions that take place. As a result of this there are procedures set out for day to day treasury management operations that aim to reduce the risk associated with high volume high

value transactions. These are detailed in the Treasury Management Strategy Statement at the start of each financial year.

Contact Details

Authors:	Cabinet Member & Chief Officer Responsible for the report:		
Debbie Mitchell Corporate Finance Manager 01904 554161	Ian Floyd Deputy Chief Executive & Director of Customer & Corporate Services		
Sarah Kirby Principal Accountant 01904 551635	Report Approved	√	Date 5/11/18
Wards Affected: All			
For further information please contact the author of the report			

Specialist Implications:
Legal – Not Applicable
Property – Not Applicable
Information Technology – Not Applicable

Annexes

Annex A – Prudential Indicators 2018/19

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Prudential Indicators 2018/19 Mid-Year

	Prudential Indicator		2018/19	2019/20	2020/21	2021/22	2022/23	2023/24
1	Capital expenditure To allow the authority to plan for capital financing as a result of the capital programme and enable the monitoring of capital budgets.	GF	£93.0m	£92.1m	£36.1m	£30.1m	£10.9m	
		HRA	£29.2m	£31.1m	£25.9m	£11.0m	£9.1m	
		PFI	£0.0m	£0.0m	£0.0m	£0.0m	£0.0m	
		<u>Total</u>	<u>£122.2m</u>	<u>£123.2m</u>	<u>£62.0m</u>	<u>£41.1m</u>	<u>£20.0m</u>	
2	CFR as at 2017/18 outturn Indicates the Council's underlying need to borrow money for capital purposes. The majority of the capital programme is funded through government support, government grant or the use of capital receipts. The use of borrowing increases the CFR.	GF	£238.7m	£254.0m	£247.2m	£240.0m	£232.9m	
		HRA	£139.0m	£139.0m	£139.0m	£139.0m	£139.0m	
		PFI	£46.5m	£44.9m	£43.1m	£41.3m	£39.4m	
		<u>Total</u>	<u>£424.2m</u>	<u>£437.9m</u>	<u>£429.3m</u>	<u>£420.3m</u>	<u>£411.3m</u>	
3	Ratio of financing costs to net revenue stream An estimate of the cost of borrowing in relation to the net cost of Council services to be met from government grant and council taxpayers. In the case of the HRA the net revenue stream is the income from rents.	GF	12.42%	15.22%	17.18%	17.75%	17.77%	
		HRA	13.25%	13.25%	13.25%	13.25%	13.25%	
		<u>Total</u>	<u>12.59%</u>	<u>14.80%</u>	<u>16.35%</u>	<u>16.80%</u>	<u>16.81%</u>	
4	External debt To ensure that borrowing levels are prudent over the medium term the Council's external borrowing, net of investments, must only be for a capital purpose and so not exceed the CFR.	Gross Debt	£299.0m	£316.3m	£329.6m	£330.7m	£334.2m	
		Invest	£85.9m	£20.0m	£20.0m	£20.0m	£20.0m	
		<u>Net Debt</u>	<u>£213.1m</u>	<u>£296.3m</u>	<u>£309.6m</u>	<u>£310.7m</u>	<u>£314.2m</u>	

	Prudential Indicator		2018/19	2019/20	2020/21	2021/22	2022/23	2023/24
5 a	<p>Authorised limit for external debt</p> <p>The authorised limit is a level set above the operational boundary in acceptance that the operational boundary may well be breached because of cash flows. It represents an absolute maximum level of debt that could be sustained for only a short period of time. The council sets an operational boundary for its total external debt, gross of investments, separately identifying borrowing from other long-term liabilities.</p>	Borrowing / Other long term liabilities Total	<p>£450.3m</p> <p>£30.0m</p> <hr/> <p>£480.3m</p>	<p>£447.9m</p> <p>£30.0m</p> <hr/> <p>£477.9m</p>	<p>£439.4m</p> <p>£30.0m</p> <hr/> <p>£469.4m</p>	<p>£430.3m</p> <p>£30.0m</p> <hr/> <p>£460.3m</p>	<p>£421.3m</p> <p>£30.0m</p> <hr/> <p>£451.3m</p>	<hr/>
5 b	<p>Operational boundary for external debt</p> <p>The operational boundary is a measure of the most likely, prudent, level of debt. It takes account of risk management and analysis to arrive at the maximum level of debt projected as part of this prudent assessment. It is a means by which the authority manages its external debt to ensure that it remains within the self-imposed authority limit. It is a direct link between the Council's plans for capital expenditure; our estimates of the capital financing requirement; and estimated operational cash flow for the year.</p>	Borrowing Other long term liabilities Total	<p>£440.3m</p> <p>£10.0m</p> <hr/> <p>£450.3m</p>	<p>£437.9m</p> <p>£10.0m</p> <hr/> <p>£447.9m</p>	<p>£429.4m</p> <p>£10.0m</p> <hr/> <p>£439.4m</p>	<p>£420.3m</p> <p>£10.0m</p> <hr/> <p>£430.3m</p>	<p>£411.3m</p> <p>£10.0m</p> <hr/> <p>£421.3m</p>	<hr/>

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Executive

29 November 2018

Report of the Assistant Director, Legal & Governance

Portfolio of the Executive Member for Economic Development and Community Engagement

Lord Mayoralty 2019/20

Summary

1. The purpose of this report is to ask the Executive to consider the points system for the annual nomination of the Lord Mayor for the City of York Council and confirm that the Group with the most points under that system should be invited to appoint the Lord Mayor for the coming municipal year, 2019/2020.

Recommendations

2. Members are asked to
 - (i) consider and review the existing accumulated points system as set out in paragraphs 3-9 below; and to
 - (ii) invite the Conservative Group to nominate the Lord Mayor for 2019/2020, in line with the accumulated points system as revised or not.

Reason: To ensure that the Council adopts an appropriate method by to nominate Lord Mayors for office.

Background

2. Members will be aware that the system for nominating the Lord Mayor is based on an accumulation of points determined by the number of seats held by each particular group on the Council. The party having the largest cumulative total of points on Lord Mayor's Day each year is invited to nominate the Lord Mayor for the following year. A party loses 47 points when nominating the Lord

Mayor. It should be noted that currently a nominee for Lord Mayor requires at least five years' service as a City of York Councillor.

Current Points System

3. Under the system, a party which loses all its seats on the City Council may have any accumulated points frozen until seats are once again gained by that party on the Council.
4. Under the current points system, the number of points accumulated by each party is as follows:

PARTY	POINTS ACCUMULATED AT AGM – MAY 2017	LOSS FOR LM	POINTS ACCUMULATED AT AGM – MAY 2018
Labour	-1		$-1+15 = 14$
Lib Dem	42	-47	$42 - 47 + 12 = 7$
Green	-11		$-11+4 = -7$
Conservatives	36		$36 + 12 = 48$
Independent (Cllr Warters)	7		$7 + 1 = 8$
Independent (Cllr Hayes)	3		$3 + 1 = 4$
*York Independents	0		$0+2$

***Note:** As at the May Annual Meeting in 2018, the York Independent Group had been formed with 2 Members and as such qualified for 2 points at that meeting. However, the new Socialist Independent Group had not been formed by the time of that Annual Meeting and therefore do not qualify for points accumulation at this time.

5. The above table shows that the Conservative Group with a total of **48** points will qualify for the Lord Mayoralty in 2019/2020, under the existing points system.
6. Traditionally, the Outgoing Lord Mayor assumes the mantle of Deputy Lord Mayor the following year to enable an experienced Member to chair meetings of Full Council, should the then Lord Mayor be absent for any Council meetings during their year.

Otherwise the role of Deputy Lord Mayor is very minimal, given that the civic standing of York requires it to have a Sherriff who works alongside and shares duties with the Lord Mayor during their year of office.

Proposed Changes

7. Given that the next local elections will be held in May 2019 prior to the start of the next Civic Year, Members may wish to consider a slight change to the current points system by which Groups nominate to the office of Lord Mayor;
8. The current system is equitable in terms of its distribution of allocation of the office of Lord Mayor across the larger Groups. However, it does stipulate that Members should actually have served 5 years as an elected Member before they can be nominated by their Group for the office. In an election year, this rules out automatically all those Members who have served 4 years and been re-elected for a second full term but who have not actually served for 5 full years;
9. It is suggested that the Executive may wish to review the points system now and alter it slightly in order to enable Members who have served 4 years and are then re-elected for a further 4 years in May 2019 to be eligible for nomination as Lord Mayor for 2019/20;

Consultation

10. The political groups are aware that this is the process usually applied to select the mayoralty for the year ahead. Whilst there would not normally be a need for further consultation with Groups at this stage, all Groups have been consulted on the suggested change set out in paragraphs 7-9 above. Responses received indicate that 1 group would support such a change, 2 would not and 2 have yet to respond at the time of publication.

Options

11. The options available for consideration are to:
 - (i) invite the Conservative Group to nominate the Lord Mayor for the Municipal Year 2019/2020 based on the existing accumulated points system, set out in paragraphs 3-6 above; or

- (ii) Invite the Conservative Group to nominate the Lord Mayor for the Municipal Year 2019/20 based on revising the accumulated points system set out in paragraphs 7-9 above; or
- (iii) Propose alternative changes to the points system which might change the way Groups make nominations to the office of Lord Mayor more fundamentally

Analysis

12. The nomination of a Lord Mayor is an annual event which is undertaken by way of a points system to ensure a fair and robust outcome. This system has been in place for some considerable time and has operated successfully in terms of rotating the role and honour of becoming Lord Mayor on a cross party basis. It is for Members to consider whether a change at this time to the current system would be beneficial.

Council Plan 2015-2019

13. The appointment of the Lord Mayor in York is a fundamental part of the city's continuing historic traditions. The role of Lord Mayor is firmly enshrined in the Council's Constitution, as an ambassador for the city and its cultural and economic ambitions. As such, the appointee will promote the Council's priorities in general but specifically will have the opportunity to promote a 'prosperous city for all'.

Implications

14. There are no specific direct implications in relation to financial, human resource, legal or equalities arising from the recommendations in this report, which is concerned with the process for and invitation to nominate for the appointment of a Lord Mayor.

Risk Management

15. Failure to appoint a Lord Mayor in the second most traditional city outside of London could have a significant impact on the Council's reputation in terms of maintaining its civic heritage. It is important that an equitable and robust system is applied to the nomination process.

Contact Details

Author:	Chief Officer Responsible for the report:		
Dawn Steel Head of Civic & Democratic Services <i>Tel No. 01904 551030</i>	Andrew Docherty Assistant Director, Legal & Governance		
	Report Approved	√	Date 15 November 2018
Wards Affected: All			√
For further information please contact the authors of the report			

Background Papers/Annexes: None

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Executive**29 November 2018**

Report of the Monitoring Officer and the Corporate Director of Children, Education & Communities

Portfolio of the Executive Member for Economic Development and Community Engagement and the Executive Member for Education, Children and Young People

Maladministration Finding**Summary**

1. This report complies with the statutory duty to report to Members a finding of the Local Government and Social Care Ombudsman that the Council has been guilty of maladministration.

Recommendations

2. Members are asked to:

Receive the report and note and approve the steps already taken in response to the case.

Reason: In accordance with legal requirements

Background

3. The Local Government and Social Care Ombudsman has issued a report which finds that the Council committed maladministration for not providing appropriate supervision for the parents of a child in its care in hospital and for not responding to their complaint quickly enough. The Ombudsman's full report appears at Annex A.
4. The Executive is now legally required to consider the report and formally report back to the Ombudsman on the action it has taken. In this case, however, Officers have already indicated that the recommendations contained in paragraphs 90 to 92 of the report are accepted. The Ombudsman agrees that the Council's response constitutes a suitable remedy for the complaint.

5. It is very unusual for the Council to receive a formal report from the Ombudsman which needs to be reported in this way. Indeed it is some years since the last such report had to be presented. Members will though be concerned about the circumstances of this cases. It should be stated very clearly that Officers have fully accepted that the Council was at fault in this case. There are though specific and unusual circumstances which contributed to subsequent events.
6. In this case a child (identified as Z in the Ombudsman's report) suffered injuries which led to care proceedings being commenced. The cause of those injuries has never been established. Z required hospital care outside the City. Tragically Z died from a cause unrelated to the injuries. It was the view of those involved in managing Z's case that contact with parents needed to be supervised. Making provision for supervised contact can sometimes be challenging. The challenges are exacerbated where contact needs to take place in a hospital outside the area. It is unrealistic to expect that hospital staff will take on that responsibility. Nevertheless Officers accept that more could and should have been done to review supervision arrangements.
7. Z's parents made a complaint which, in accordance with the statutory complaints procedure, required independent investigation. The complaint took far longer to bring to a conclusion than it should. Indeed the statutory timescale had been exceeded by the time the independent investigator reported and further significant delay occurred thereafter. Undoubtedly the complexity of the case played its part but Officers accept that the complaint was not progressed as it should have been. Members will though be aware that the Council produces an annual complaints monitoring report which, for the last two years, has been subject to scrutiny by the Corporate and Scrutiny Management Committee. The report contains performance information on complaints handling. Members can therefore take some comfort that the picture in this case is not representative of the general position and that arrangements are in place to monitor future performance.
8. The Interim Corporate Director has written to the parents to formally apologise and confirm that the Ombudsman's recommendations are accepted. She has also indicated that an internal case review is to be undertaken to inform a review of policies and procedures and has invited the parents to play a part should they wish to do so.

9. Specialist Implications

Legal – these are contained within the body of the report

There are no specific other implications associated with the report which should be specifically reported.

10. Consultation

None

11. Options

11.1 The Executive must receive the report. The Executive can support the actions already taken by Officers to remedy the complaint. If the Executive wished to do otherwise then the Ombudsman would be likely to consider using his powers to issue a second report drawing attention to the Council's failure to satisfactory remedy a complaint.

Contact Details

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Monitoring Officer
Maxine Squire
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**Report
Approved**

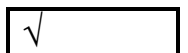


Date

14/11/2018

Wards Affected:

All



For further information please contact the authors of the report

Background Papers:

None

Annex A

Report of the Local Government and Social Care Ombudsman

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**Report by the Local Government and Social Care
Ombudsman**

**Investigation into a complaint against
City of York Council
(reference number: 17 006 785)**

16 October 2018

The Ombudsman's role

For 40 years the Ombudsman has independently and impartially investigated complaints. We effectively resolve disputes about councils and other bodies in our jurisdiction by recommending redress which is proportionate, appropriate and reasonable based on all the facts of the complaint. Our service is free of charge.

Each case which comes to the Ombudsman is different and we take the individual needs and circumstances of the person complaining to us into account when we make recommendations to remedy injustice caused by fault.

We have no legal power to force councils to follow our recommendations, but they almost always do. Some of the things we might ask a council to do are:

- > apologise
- > pay a financial remedy
- > improve its procedures so similar problems don't happen again.

Section 30 of the 1974 Local Government Act says that a report should not normally name or identify any person. The people involved in this complaint are referred to by a letter or job role.

Key to names used

Ms X	The complainant
Mr Y	The complainant
Z	Their youngest son

Report summary

Children's Services - Child protection

Ms X and Mr Y complain about what happened when their youngest son, who we shall call Z, was admitted to hospital. Ms X and Mr Y's son passed away whilst he was in hospital and whilst the family were subject to ongoing court action by the Council regarding their children. Ms X and Mr Y say the Council restricted their ability to spend time with Z when he was in hospital which limited the time they were able to spend with him before he passed away. Ms X and Mr Y complain the Council delayed dealing with their complaint under the statutory children's complaints procedure.

Finding

Fault found causing injustice and recommendations made.

Recommendations

To remedy the injustice caused, we recommend the Council:

- write to Ms X and Mr Y to apologise for the failure to review supervision arrangements for Z and the fact this meant they lost out on spending time with their son. The Council should also apologise for the delays in dealing with Ms X and Mr Y's complaint and for misleading them in relation to the reasons for those delays; and
- pay Ms X and Mr Y £2000 for the distress caused as a result of the failure to properly review supervision arrangements whilst Z was in hospital. In reaching a view on the level of distress caused we have taken account of the fact Ms X and Mr Y missed out on spending time with Z which they cannot get back. We consider this would allow the family to spend quality time together, for example on a holiday. However, the family can choose to spend it how they wish. This payment is in addition to the monies already paid by the Council.

The Council should take this action within three months of our final decision.

The Council should also take the following action to ensure other people using it's services are not similarly affected:

- Review its existing policies to set out supervision arrangements which can be made available for parents or other relatives visiting looked after children in hospital.
- Contact the second hospital and relevant council to develop a closer working relationship for when looked after children receive treatment outside the Council's area.
- Review training needs of Council officers at all levels with regards to the statutory complaints process and relevant timescales.
- Review the Council's handling of statutory children's complaints since September 2016 to ensure complaints are being dealt with in line with statutory timescales.

The Council has accepted our recommendations.

The Council must consider the report and confirm within three months the action it has taken or proposes to take. The Council should consider the report at its full

Council, Cabinet or other appropriately delegated committee of elected members and we will require evidence of this. (*Local Government Act 1974, section 31(2), as amended*)

The complaint

1. Ms X and Mr Y complain the Council has delayed dealing with their complaint under the statutory children's complaints procedure. Ms X and Mr Y are complaining about what happened when their youngest son, Z, was admitted to hospital. Ms X and Mr Y's son passed away whilst he was in hospital and whilst the family were subject to ongoing court action by the Council regarding their children. Ms X and Mr Y say the Council:
 - failed to communicate with hospitals regarding Z's medical conditions which led to evidence being ignored and the family's explanation of his injuries being dismissed without proper investigation;
 - failed to visit Z whilst he was in hospital and subject to the interim care order;
 - failed to review the supervision plan as recommended by the Court;
 - withheld important information from Z's medical files during the Court case;
 - were responsible for the family's loss of income by failing to withdraw proceedings until the second day of the final hearing; and
 - caused the family unnecessary distress by forwarding Z's post mortem results to them in an insensitive way.

Legal and administrative background

The Ombudsman's role and powers

2. We investigate complaints about 'maladministration' and 'service failure'. In this report, we have used the word 'fault' to refer to these. We must also consider whether any fault has had an adverse impact on the person making the complaint. We refer to this as 'injustice'. If there has been fault which has caused an injustice, we may suggest a remedy. (*Local Government Act 1974, sections 26(1) and 26A(1), as amended*)
3. We cannot investigate late complaints unless we decide there are good reasons. Late complaints are when someone takes more than 12 months to complain to us about something a council has done. We have investigated what happened since the beginning of 2016. (*Local Government Act 1974, sections 26B and 34D, as amended*)
4. We cannot investigate a complaint about the start of court action or what happened in court. (*Local Government Act 1974, Schedule 5/5A, paragraph 1/3, as amended*)

Children's social care complaints

5. The law sets out a three stage procedure for councils to follow when looking at complaints about children's social care services. At stage 2 of this procedure, a council appoints an Independent Investigator and an Independent Person (who is responsible for overseeing the investigation). If a complainant is not happy with the outcome of the stage 2 investigation, they can ask for a stage 3 review. If a council has investigated something under this procedure, we would not normally re-investigate it unless we consider the investigation was flawed. However, we may look at whether a council properly considered the findings and recommendations of the independent investigation.

6. The law says a stage 2 investigation should take no more than 25 working days and 65 working days in complex cases.

Children Act 1989

7. Section 47 of the 1989 Children Act says the Council must make enquiries when it has “*reasonable cause to suspect that a child... is suffering, or is likely to suffer significant harm*”. The Council has to decide what action, if any, it should take to safeguard the child’s welfare.
8. Section 31 of the Act says the Council can apply to court for a care order if:
 - the child concerned is suffering, or is likely to suffer, significant harm; and
 - the harm, or likelihood of harm, is attributable to the care given by the parents or the child being beyond parental control.
9. Where an application is made for a care order the Council must prepare a plan for the future care of the child (care plan).
10. Where care proceedings are adjourned or the Court orders the Council to make further investigations of a child’s circumstances the Court can make an interim care order. The interim order will set out who is responsible for supervision arrangements with regards to the child and what investigations should be carried out. This may involve medical reports being produced and other agencies submitting information to the Court.

How we considered this complaint

11. We produced this report after examining relevant documents and interviewing the complainant.
12. We gave the complainant and the Council a confidential draft of this report and invited their comments. The comments received were taken into account before the report was finalised.

What we found

What happened

13. Ms X and Mr Y have three children. Z was the youngest and had a number of health conditions. In 2016 Mr Y took Z to hospital with breathing problems. Z was examined by a doctor. The doctor noticed evidence of damage to Z’s ribs on an x-ray and contacted the Council as it was unclear how the injuries occurred. The doctor said injuries were not linked to the medical issues Z had presented with in hospital. Ms X and Mr Y had no previous involvement with the Council’s children’s services department.
14. The Council contacted the family on the same day and asked about the cause of the injuries. Ms X and Mr Y both said Z had been admitted to hospital previously and was subject to a number of invasive and physical medical interventions which may have caused the injuries.
15. The Council decided to begin a safeguarding investigation to look at the cause of the injuries. In the meantime, the Council asked Ms X and Mr Y to make arrangements to be supervised around their children. The two older children would be looked after by their grandparents and other family members would supervise Ms X and Mr Y when they were with Z in hospital.

16. On the following day the Council held a strategy meeting with medical professionals and the police. A doctor from the hospital suggested the injury to Z may not have been caused whilst he was previously in hospital. This was based on a telephone call he had with the other hospital. Ms X and Mr Y maintained they were not responsible for Z's injuries.
17. A few days later Ms X told the Council the family were struggling with the supervision arrangements agreed with the Council due to being with Z in hospital and ensuring the other children were cared for. The Council said it would discuss this with Ms X once it had held a strategy meeting about what steps to take next.
18. At the strategy meeting it was decided the Council would issue care proceedings. The Council decided to assess the children's grandparents to see if they were able to supervise contact with the children. The Council then drew up a safety plan which said:
 - the two children not in hospital should remain in the care of their grandparents at the family home. When Z was discharged from hospital he would also be placed in their care;
 - Ms X and Mr Y would be supervised by named relatives during contact with the children including Z; and
 - Ms X and Mr Y were not to have overnight contact with the children at home.
19. The Council applied for interim care orders for all three children 11 days after Z was admitted to hospital.
20. Before the court hearing could take place, Z was transferred to another hospital as his condition had deteriorated.
21. The other hospital contacted the Council to ask about supervision arrangements. The Council told the hospital if staff left the room Z was in, then the parents should be asked to leave also. The hospital said it was not able to supervise contact between Z and his parents. The hospital agreed to allow the parents in the same room as Z whilst a nurse was present for one night until further discussions could take place.
22. On the same day, the Court heard the Council's application for care orders for the three children. The Court granted an interim care order whilst investigations were carried out into the cause of Z's injuries. The Court ordered that the Council's safety plan should be adopted but the Council should "*keep the interim arrangements under review*".
23. The day after the court order was made the Council spoke to Mr Y. It told him the hospital was not able to supervise contact and he should bring a grandparent to supervise contact. Mr Y told the Council this was difficult as the grandparents were caring for the other two children and could not bring them onto the ward. Mr Y asked the Council if it could make an exception as Z was always with a nurse. The Council told Mr Y that "*the hospital are saying that this is not their responsibility but if he discussed with hospital staff and they changed their views then we could take this into account*".
24. Two days after the interim care order was granted the Council spoke to the hospital about supervision arrangements for Z. The Council told the hospital that "*supervised contact will need to continue... [and] if it is possible for this to be organised by the ward at all then this is on the basis that if the nurse has to leave the room then visiting parents/family must leave too so that the family are not left*".

alone with child at any time". The hospital advised that it would not be possible for it to supervise contact in this way.

25. The Court held a further hearing 11 days after the first hearing to set further directions in terms of supervision arrangements and investigations to be carried out. The Council's note of the hearing says:

"[The judge] was of the view that any actual harm was likely to have been by a stressed parent at worst, not be maliciousness. He asked us to consider the welfare of the children vs the risk of actual harm. And if the plan is sustainable, realistic and right. He pointed out that [the Council] do not have a [psychiatric assessment] request and therefore we are not considering the parents to have any underlying [mental health] problems. The parents have been compliant. We are already carrying a big risk, for example if all the children wake in the night how are they going to manage supervision".
26. The Council agreed to change the safety plan to say the parents could stay in the family home overnight but:
 - if a child wakes in the night a grandparent would attend first;
 - a video monitor would be placed in the grandparents bedroom; and
 - a stair gate would be fitted to stop the children coming downstairs.
27. The Council said it would review the plan before Z returned home *"as his support needs are likely to be higher and the supervision will carry more risk"*.
28. Mr Y contacted the Council by e-mail five days later to say Z's condition had deteriorated. Mr Y asked the Council to relax supervision rules whilst Z was in hospital *"so we can spend more time with our critically ill son"*. Mr Y said he and Ms X would *"like to point out the consequences of us not being able to be there at a crucial time due to the restrictions imposed by yourself. To us the risk of something happening and us not being there significantly outweighs the risks in the safeguarding policy"*.
29. The Council replied to Mr Y's e-mail on the same day and said it had called the hospital to ask if it could change the safety plan to state *"that we do not require supervision whilst a nurse is present"*. The Council said it agreed *"that the risk is low while [Z is on the ward] and I would like you to spend as much time as possible with [Z]"*.
30. The Council spoke to the hospital about supervision arrangements. The hospital said it was unable to facilitate supervision of the parents.
31. A Council social worker e-mailed the Council's legal department on the same day to ask advice about supervision arrangements for Z in the hospital. The e-mail said:

"[the hospital] are still saying they can not supervise the contact even though I re-framed what we were asking and explained that the [Council] are happy with the parents being in the room while a nurse is present, and that they would leave if a nurse is not there. I explained we have assessed them as compliant and that it was suggested in court that the risk was low regarding any injuries that could be caused... [the hospital] have discussed it with there [sic] risk management and have said there is case law that states nursing staff [cannot] supervise contact due to a case when a child was harmed by parents while a nurse was present. They are saying they will not do this unless directed by the courts. Can you advice [sic] how we are to proceed?".

32. There is no record of a reply from the Council's legal department to this e-mail.
33. A week later Ms X contacted the Council to say Z's condition had improved. Ms X said it looked like Z has "*thin bones*" and the hospital were looking at this further.
34. Two days after this Ms X and Mr Y's solicitors wrote to the Council asking it to relax supervision requirements for Z whilst he was his hospital. The letter said:
"... the restrictions on supervision whilst [Z] is in hospital are particularly onerous with the parents having to be accompanied by a supervisor at all times... I question what the [Council] perceive as a risk to [Z] whilst he is in hospital with the parents visiting. Would the [Council] be able to reconsider their position on the need for supervision and reflect on the risk while [Z] is in hospital of any harm falling to him by either of the parents?"
35. There is no record of the Council responding to this request. The Council says this is probably because there was a significant change in the circumstances of the case in the following days which meant there would be little point in replying by the time it had considered the letter.
36. Two days later a nurse from the hospital contacted the Council and said an endocrinologist was looking into possible bone disorders and a vitamin D deficiency in Z. The nurse also said Z had a chest infection and had been moved to a high dependency unit.
37. Four days after this Mr Y contacted the Council's out of hours team to say he and Ms X were not able to arrange for anyone to supervise them at the hospital with Z. Mr Y said hospital staff would not let Ms X on the ward. He asked the Council to revisit the supervision arrangements. The Council contacted the hospital and found Z was doing well. The hospital said it could not supervise contact but Ms X had been allowed limited contact by ward staff. The Council advised the hospital that no contact should take place without supervision. The Council spoke to Mr Y and advised him that he and Ms X needed to be supervised by family or a social worker and that no social worker was available that day. Ms X and Mr Y thought a social worker would be made available due to discussions that had taken place at a review meeting with the Council.
38. Two days later the hospital contacted the Council's out of hours team to say Z's health had deteriorated and staff were concerned he needed to see his mother. The Council's out of hours team agreed Z needed to see his mother and so she should be allowed to do so.
39. On the same day the hospital called the Council to say that Z was only likely to live for another hour. The hospital asked for consent to withdraw treatment. The Council advised that Ms X and Mr Y had the ability to exercise their parental responsibility with regards to medical interventions and advice and the Council would not interfere so long as the parents went along with medical advice given.
40. Later that day Z passed away. A post mortem was carried out at Ms X and Mr Y's request. Z was in hospital for almost 9 weeks in total.
41. A week later the Council told the Court it was reviewing the supervision arrangements for Ms X and Mr Y's other children.
42. A hearing took place in court a month later and the supervision requirements for Ms X and Mr Y's other children were relaxed. Ms X and Mr Y were able to care for their children during the day and night and grandparents were no longer required to live in the family home. The Court said there should still be unannounced visits

by professionals pending the outcome of the final hearing which took place 11 weeks later.

43. At the final hearing, the Council were criticised by the judge who said its case was not detailed enough. The judge asked the Council to prepare a statement setting out its current position but was not happy with the short statement provided.
44. On the second day of the hearing the Council applied to withdraw its application for a care order. The Council made a note of the Court's findings:
"No sensible person could criticise this [Council] for commencing these proceedings in the face of the situation which presented itself following [Z's] admission to hospital... However, the commencement of the proceedings is simply the first step. Evidence has to be gathered, and following the gathering of the evidence the [Council] has to take a view. Within proceedings like this, the burden of proof rests firmly on the [Council] to establish its case on the balance of probabilities... There can be no doubt [Z's] ribs were fractured, but for the sake of clarity, the position which has been reached is that the [Council] have decided that those fractures cannot be attributed to parental care".
45. The Order withdrawing proceedings said Z's injuries remained unexplained but could not be attributed to Ms X or Mr Y's care. The Court said there were no continuing child protection issues as a result of the Court's investigation into Z's injuries. The Court asked the Home Office Disclosure and Barring Service to remove any reference or markers from Ms X and Mr Y's records relating to child protection concerns.
46. In September 2016 Ms X and Mr Y complained to the Council about what had happened. The Council decided to respond to the complaint at stage 2 of the complaints process and appointed an Independent Investigator and Independent Person on 23 September 2016.
47. Ms X and Mr Y confirmed the details of their complaint with the Council on 3 October 2016.
48. The Independent Investigator requested copies of case notes from the Council on 28 October 2016 and began interviewing officers on 22 November 2016. There was a delay because the Council solicitor involved in the case was not available until that date.
49. The Independent Investigator tried to arrange an interview with a senior officer on 1 December 2016. The senior officer said there would be a delay in arranging this as the Council was subject to an Ofsted inspection. The Ofsted inspection ended on 8 December 2016.
50. The senior officer met with the Independent Investigator and Independent Person on 20 January 2017. Following the meeting the Independent Investigator tried to contact a school about one of the children. However, no response was received despite the Council and the Independent Investigator making attempts to arrange this.
51. The Independent Investigator issued a draft report on 23 March 2017. There was a short delay as the Independent Investigator was not well and unable to complete the report.

52. The report found that:
- the Council did review the supervision plan in line with the Court's recommendations. The Council contacted the hospital to see if medical staff could supervise Ms X and Mr Y with Z but were told this was not possible;
 - the Council failed to provide a social worker to supervise Ms X's visit to see Z in hospital. The Council said it could provide someone to supervise visits but failed to record this on Z's file;
 - the Council failed to tell Ms X and Mr Y that it had taken one of their other children to be examined in hospital;
 - when the Council took Ms X and Mr Y's other child to hospital it failed to ensure the child was accompanied by someone familiar;
 - there was no fault in the Council providing Ms X and Mr Y with details of the Samaritans when Z passed away but it should have provided them with details of other organisations which could have offered support;
 - the Council gave Ms X and Mr Y unclear advice about whether medical staff could supervise their visits to hospital when relatives were not available;
 - the Council failed to give Ms X and Mr Y or their relatives any advice regarding possible benefit entitlement and other financial support available;
 - the Council sent Z's post mortem report to a number of parties involved in the court proceedings including Ms X and Mr Y's solicitors. The solicitors were responsible for sharing this information with Ms X and Mr Y not the Council;
 - the Council failed to visit Z whilst he was in hospital however the Council was *"trying to be respectful of the family's feelings"*;
 - the Council failed to advise Ms X and Mr Y the reasons why it had decided to seek care orders rather than supervision orders a few days before care proceedings started; and
 - the Council had been advised that Z's bones were fragile following further tests and examinations in hospital. The Independent Investigator said any change in medical opinion about Z's injuries was a matter for court.
53. On 10 April 2017, a senior Council officer advised the Council's complaints department that it was *"likely that we will seek Counsel's advice"*. The officer said this was because there were *"some potentially very fundamental practice implications associated with some of the conclusions which could have a far reaching and damaging impact on the services ability to discharge its statutory duties where there are unexplained injuries to a child"*. The officer said the matter needed *"very careful consideration"*.
54. The senior officer provided the Independent Investigator with further comments on 9 May 2017.
55. The Independent Investigator responded to the Council on 16 June 2017. The Investigator said they would add further explanation regarding advice given to grandparents regarding attendance at court. The Investigator also clarified that they were not recommending a "serious case review" but the Council should review what had happened to see if any lessons could be learned. The Investigator said Ms X and Mr Y wanted to be *"fully involved"*.
56. Ms X and Mr Y complained to us on 25 July 2017. They said the Council was taking too long to consider their complaint. Our investigator contacted the Council

for an update on 16 August 2017 and was advised that the Council was making some amendments to the stage 2 report and it would be sent to Ms X and Mr Y later that week.

57. We asked the Council for a copy of the stage 2 report on 9 October 2017 as it had still not been issued to Ms X and Mr Y. The Council did not respond and so we asked for this again on 9 November 2017.
58. On 10 November 2017, the Council provided us with a copy of the original stage 2 report from March 2017. We forwarded this to Ms X and Mr Y.
59. On 20 December 2017, we contacted the Council as Ms X and Mr Y had still not received an adjudication letter about their complaint. We suggested the Council consider whether a financial remedy was appropriate given the delays which had occurred already.
60. The Council met with Ms X and Mr Y to discuss their complaint in January 2018.
61. The Council issued its adjudication letter on 8 February 2018. The Council agreed with the findings of the stage 2 investigation. The Council said it also agreed with Ms X and Mr Y that they had offered an explanation of Z's injuries but that this was not included in the stage 2 investigation.
62. The Council said it would:
 - remind officers to record the outcome of reviews and any action to be taken as soon as possible;
 - pay Ms X and Mr Y £500 to recognise the delays in responding to their complaint;
 - remind officers of the importance of attempting to make alternative arrangements for supervision as quickly as possible;
 - remind officers of the importance of ensuring they have accurate contact details for families;
 - ensure information is available on a range of different support services and agencies available to families;
 - assess how much money may have been available to recompense family members for travelling to and from the hospital to supervise contact and pay the recommended amount. The Council agreed to pay the family £1232.21 to cover these costs; and
 - remind officers of the importance of visiting families even if families may not want this involvement.
63. The Council said it would not recompense the family for four months of lost wages which Ms X and Mr Y had asked for. The Council also said it could not change Z's records so he was no longer a child who died in care. The Council said it realised this was "*upsetting*" for Ms X and Mr Y but it was not able to change the records.

Conclusions

Complaint handling

64. The law says the Council has 25 days to investigate a complaint at stage 2 of the statutory complaints process. Where the Council is not able to meet the timescale, it must write to the complainants letting them know this is the case and issue its final response within 65 days of receiving the complaint.

65. In Ms X and Mr Y's case the date the Council received the complaint was 3 October 2016 according to the relevant legislation. This is because they confirmed the final details of their complaint in writing on this date.
 66. The Council did not issue its final response to the complaint until 8 February 2018. Overall it took the Council 343 working days to respond to Ms X and Mr Y's complaint. This is 278 working days more than is allowed in the statutory regulations. This is fault.
 67. There are long periods of time where little or no action was taken regarding the complaint. Although the Council was subject to an Ofsted inspection when Ms X and Mr Y first made their complaint this was concluded on 8 December 2016 and there is no evidence of urgency from the Council to bring the matter to a close after this date.
 68. This was a sensitive complaint about issues which had caused Ms X and Mr Y a great deal of distress. There is no evidence in the complaints file that the Council recognised this or that any attempts were made to prioritise the complaint even once we became involved.
 69. When the Council responded to Ms X and Mr Y's complaint it apologised for the delay in providing a response to the complaint. It said this was "*partly due to managers wanting to consider the lessons they needed to learn so they could respond clearly about this*". There is no evidence of any such discussions on the Council's records. The Council asked for clarification on whether the Independent Investigator was recommending a "serious case review" take place but that is as far as discussions went.
 70. The Council has failed to offer a genuine apology for the delay investigating Ms X and Mr Y's complaint. However, it has paid Ms X and Mr Y £500 for the unnecessary time and trouble they were put to because of the delay. This payment is in line with the our [guidance on remedies](#). The Council maintains its apology was genuine.
 71. Due to the length of time it has taken the Council to complete its stage 2 investigation we decided to investigate Ms X and Mr Y's complaints without the need for a stage 3 investigation. We asked Ms X and Mr Y if they would like the Council to consider their complaint at stage 3 but they declined due to the time that had already passed.
 72. We would not normally re-investigate a complaint unless we consider the investigation was flawed. However, in the absence of consideration at stage 3 of the statutory process we have investigated parts of the complaints where Ms X and Mr Y were not happy with the Council's response.
 73. We have also decided to investigate what happened since January 2016. This is because of the significant delays in the Council responding to Ms X and Mr Y's complaint.
- The Council failed to communicate with hospitals regarding Z's medical conditions which led to evidence being ignored and the family's explanation of his injuries being dismissed without proper investigation.**
74. The courts have considered the Council's evidence and reasons for starting court action with regards to Ms X and Mr Y's children. When proceedings were withdrawn the Court acknowledged Ms X and Mr Y were not at fault for injuries to Z but also that it was not critical of the Council for taking action in the first place.

75. As these issues have already been before the courts we must stop our investigation into this part of the complaint.

The Council failed to visit Z whilst he was in hospital and failed to review the supervision plan as recommended by the Court.

76. The Court ordered the Council to keep the contact arrangements under review. Therefore, the Council was responsible for contact arrangements so this is something we can investigate.
77. The Council upheld Ms X and Mr Y's complaints about its failure to visit Z in hospital. It said a social worker should have visited Z every 6 weeks. However, it failed to consider the impact this had on Ms X, Mr Y and Z. That impact is linked to Ms X and Mr Y's complaint about the Council's failure to review the supervision plan, which was not upheld, so we are considering these two points together.
78. The social worker responsible for the case was interviewed by the Independent Investigator on 20 October 2016. She said:
- "I did not visit [Z] in hospital. This was partly because I wasn't sure it was appropriate given how ill he was. However, looking back, it would have helped me see what they were experiencing. I would have given them my support but they evidently did not want me in their lives. [They] did not want to have [children's services] involvement... Going to the hospital to see a very tiny, ill baby was not going to inform my plan but I needed to prioritise [the other children]"*.
79. Relationships between social workers and parents can, and perhaps will inevitably be strained. There is no evidence Ms X or Mr Y rejected support from social workers. Even if they had we would have expected the social worker to continue to try and build a working relationship with them in the interests of the children. Records of contact show Ms X and Mr Y requesting more support especially in managing the supervision arrangements imposed by the Council. Visiting Ms X, Mr Y and Z in hospital would have allowed the Council to gain a better understanding of the difficulties they faced being with Z. Ms X and Mr Y say they both stayed with Z 24 hours a day during a previous unrelated hospital admission.
80. Going to the hospital would also have allowed the Council to assess how Z's emotional needs were being met. The early stages of a baby's development are strongly linked to forming a strong bond with care givers. The Council's plan was for Z to live with his grandparents on discharge and the Council was aware Ms X and Mr Y were only able to spend 4 to 6 hours a day with him. There was nothing in the care plan to say how Z's emotional needs would be met either by his grandparents or Ms X and Mr Y whilst he was in hospital. This is fault.
81. As a result of the failure to consider Z's emotional needs the Council failed to properly review supervision arrangements. The Court said the Council should "*consider the welfare of the children vs the risk of actual harm*" when carrying out that review.
82. The Council's review consisted of a series of telephone calls to hospital staff. The Council did not visit the ward to see what arrangements were in place and whether supervision was necessary. Had the Council gone to the hospital to see the arrangements and spoken to hospital staff in person it seems likely supervision requirements could have been relaxed or additional supervision arranged so Ms X and Mr Y would have been able to spend more time with Z.

83. Ms X and Mr Y repeatedly asked the Council to review the supervision arrangements to allow them to spend more time with Z. However, the Council sought to blame the hospital for refusing to supervise contact. Ultimately it was the Council and not the hospital who were responsible for the supervision arrangements being in place. The Council failed to review its position considering the hospital's response and Z's emotional needs. This is fault.
84. The Independent Reviewing Officer was interviewed by the Independent Investigator as part of the stage 2 investigation. She said the Council *"talked about whether there were any third-party services that could assist with supervising contact. However, the parents preferred family members who were known to the children, so we looked at extending the pool of relatives who could assist"*.
85. There is no evidence the family were offered third party services to provide supervision of their contact with Z. The Council says it offered for a social worker to supervise contact, however this was not recorded at the time the offer was made and when Ms X and Mr Y asked for a social worker to come to the hospital there was no one available. As a result, Ms X and Mr Y were not able to see their son that day and he was in hospital without anyone familiar being with him.

The Council withheld important information from Z's medical files during the court case.

86. We cannot continue to investigate the availability of medical information during the court case. This is a matter for the courts.

The Council were responsible for the family's loss of income by failing to withdraw proceedings until the second day of the final hearing.

87. It is clear from the Council's records the courts were not happy with the Council's position on the first day of the final hearing. As a result of this the Council decided to withdraw proceedings on the following day.
88. We cannot investigate complaints about what happened in court and so we cannot investigate this part of the complaint further.

The Council caused the family unnecessary distress by forwarding Z's post mortem results to them in an insensitive way.

89. The post mortem results were sent to Ms X and Mr Y by their own solicitors as part of a bundle of documents. Therefore, the Council is not responsible for the way the post mortem results were shared with the parents.

Recommendations

90. To remedy the injustice caused, we recommend the Council:
- write to Ms X and Mr Y to apologise for the failure to review supervision arrangements for Z and the fact this meant they lost out on spending time with their son. The Council should also apologise for the delays in dealing with Ms X and Mr Y's complaint and for misleading them in relation to the reasons for those delays; and
 - pay Ms X and Mr Y £2000 for the distress caused as a result of the failure to properly review supervision arrangements whilst Z was in hospital. In reaching a view on the level of distress caused we have taken account of the fact Ms X and Mr Y missed out on spending time with Z which they cannot get back. We consider this would allow the family to spend quality time together, for example

on a holiday. However, the family can choose to spend it how they wish. This payment is in addition to the monies already paid by the Council.

91. The Council should take this action within three months of our final decision.
92. The Council should also take the following action to ensure other people using it's services are not similarly affected:
 - Review its existing policies to set out supervision arrangements which can be made available for parents or other relatives visiting looked after children in hospital.
 - Contact the second hospital and relevant council to develop a closer working relationship for when looked after children receive treatment outside the Council's area.
 - Review training needs of Council officers at all levels with regards to the statutory complaints process and relevant timescales.
 - Review the Council's handling of statutory children's complaints since September 2016 to ensure complaints are being dealt with in line with statutory timescales.
93. The Council has accepted our recommendations.
94. The Council must consider the report and confirm within three months the action it has taken or proposes to take. The Council should consider the report at its full Council, Cabinet or other appropriately delegated committee of elected members and we will require evidence of this. (*Local Government Act 1974, section 31(2), as amended*)

Decision

95. We have completed our investigation. This is because we have found fault causing injustice and the action we have recommended is a suitable way to remedy this.

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