

**Notice of a public meeting of
Executive**

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

Date: Monday, 18 March 2019

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 Wednesday, 20 March 2019.**

*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. 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 Friday, 15 March 2019**. 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

3. Forward Plan

To note that there are currently no items listed on the Forward Plan for the next two Executive meetings, scheduled for 27 June 2019 and 25 July 2019.

4. Investment in the redevelopment of Lincoln Court Independent Living Scheme (Pages 1 - 20)

The Assistant Director of Housing & Community Safety to present a report which seeks approval to deliver an enhanced re-development proposal for the Lincoln Court Independent Living Scheme.

5. Education, Children and Young People's Capital Programme: Proposed School Maintenance Schemes and SEND Facilities Expansion and Improvement Schemes 2019/20 (Pages 21 - 28)

The Corporate Director of Children, Education & Communities to present a report which informs Executive of the funding available in the school maintenance programme for the financial year 2019/20 and seeks approval for the proposed programme and specific schemes.

6. Proposed Long Term Leases - Buildings at Clarence Gardens and Burnholme (Pages 29 - 48)

The Assistant Director, Regeneration & Asset Management, to present a report which seeks approval to grant long term leases to groups and clubs of property at Clarence Gardens and Burnholme, in line with the council's Asset Management Strategy.

7. A Sustainable Future for York with Hyper Hubs (Pages 49 - 62)

The Corporate Director of Economy & Place to present a report which seeks approval to proceed with planning and procurement processes to deliver rapid charging points for electric vehicles, or 'Hyper hubs', in strategic locations across the city, following a successful bid to the European Regional Development Fund (ERDF) for funding to support this scheme.

Note: This item has been included on the Forward Plan under statutory urgency procedures, as it involves a key decision and has been on the Forward Plan for less than 28 days. The reason for the urgency is to allow consultation and planning procedures to be initiated before May 2019, in line with the ERDF timeline.

8. Internal Audit (Pages 63 - 80)

The Chief Executive to present a report which seeks approval to enter into a new contract for internal audit and counter fraud services for the period 2020-2030.

9. Substance Misuse Scrutiny Review Final Report (Pages 81 - 156)

The Chair of the Scrutiny Task Group set up to review Substance Misuse services in York to present the Task Group's final report and seek approval for the recommendations arising from the review.

[Annex C to Appendix 1 to the above report has not been included in the printed pack but is available to view online]

10. Residents' Priority Parking Scrutiny Review Final Report (Pages 157 - 180)

The Chair of the Scrutiny Task Group set up to review the Residents' Priority Parking scheme to present the Task Group's final report and seek approval for the recommendations arising from the review.

11. Financial Inclusion Scrutiny Review Final Report (Pages 181 - 242)

The Chair of the Scrutiny Task Group set up to review the impact of Universal Credit in York and the activities being run to promote Financial Inclusion to present the Task Group's final report and seek approval for the recommendations arising from the review.

[Annex B to Appendix 1 to the above report has not been included in the printed pack but is available to view online]

12. Single Use Plastics Scrutiny Review Final Report (Pages 243 - 264)

The Chair of the Ad-Hoc Scrutiny Sub-Committee set up to review the use and disposal of single use plastics in York to present the Sub-Committee's final report and seek approval for the recommendations arising from the review.

Note: Due to the timescales involved in completing the scrutiny review, this item will not have been on the Forward Plan for 28 days at the time of the meeting. It has therefore been included on the agenda under the council's informal urgency procedures.

13. Scrutiny Operations and Functions Review Final Report (Pages 265 - 284)

The Chair of the Scrutiny Task Group set up to review the scrutiny functions and operations at City of York Council, to present the Task Group's final report and seek approval for the recommendations arising from the review.

Note: Due to the timescales involved in completing the scrutiny review, this item will not have been on the Forward Plan for 28 days at the time of the meeting. It has therefore been included on the agenda under the council's informal urgency procedures.

14. Urgent Business

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

Democracy Officer:

Name: Fiona Young

Contact details:

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

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

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

Contact details are set out above.

This information can be provided in your own language.

我們也用您們的語言提供這個信息 (Cantonese)

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

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

Bu bilgiyi kendi dilinizde almanız mümkündür. (Turkish)

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

 (01904) 551550

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Executive**18 March 2019**

Report of the Assistant Director – Housing & Community Safety

Investment in the redevelopment of Lincoln Court Independent Living Scheme.

Purpose of the report

1. To seek Executive approval to deliver an enhanced re-development proposal for the Lincoln Court Independent Living Scheme. This report details the chronology of design work and professional advice that has informed this enhanced proposal and provides a rationale for why the scheme approved in March 2018 is no longer viable.

Recommendations:

2. The Executive is asked to:

a i) Approve Option 1, an enhanced proposal to deliver 35 high quality, future-proofed units of older persons' independent living accommodation including fifteen new build wheelchair accessible apartments and improved communal facilities. Delivery of this proposal will ensure the long term future of Lincoln Court whilst also contributing to the delivery of much needed additional older persons' accommodation in the West of the City.

a ii) To note that in approving Option 1 a commitment is made for alternative recreational facilities following community consultation including Sport England within Westfield Ward in mitigation for the loss of the Multi Use Games Area. The alternative facilities provided are to be agreed by Executive and will be subject to a further report and budget approval..

b) Request that Council approve the revised gross capital investment of £4.793m. This cost equates to £137k per unit of

accommodation which compares favourably to other older persons' accommodation schemes being delivered across the City.

c) Agree to delegate authority to the Director of Health Housing and Adult Social Care to appoint a contractor to carry out the works, subject to the project being deliverable within the available budget.

Reason: To secure the long term future of Lincoln Court and ensure that it will provide high quality accommodation for older people to help meet the increasing demand for accessible accommodation in the area.

Background Information

3. York Supported Housing Strategy 2014-2019, published in 2013, sets out the Council's overarching vision to ensure the right supported housing options are available at the right time and in the right locations to support residents to live independently. This, the Council plan and the city's Health and Wellbeing Strategy drive the work of the older person's accommodation programme, to provide self contained apartment accommodation with communal facilities to enable independent living with the benefits of a close community and access to housing and care staff when needed.
4. There is evidence from reviews of Independent living and extra care schemes across the city and nationally that moving from inappropriate, multi level housing into purpose built accessible accommodation leads to increased independence and confidence and in many cases a reduction in the requirement for support from care services.
5. Lincoln Court, an independent living scheme in Westfield ward, last underwent a whole building modernisation in 1991, converting it from Aintree house which was originally built in 1966. There has been minimal investment in the scheme since its modernisation. There are a total of 26 homes: 22 one bedroom flats and 4 bedsits. Under the previous HRA planned investment programme the Lincoln Court flats were due to be modernised in the 2019-2020 year. The building has the highest current costs of similar schemes primarily because the bedsits can be difficult to let and the scheme has higher than average cost of operation as a result of aged mechanical and electrical plant. Investment is needed to address these issues.

6. There is high demand for independent living accommodation on the west of the city with many apartments receiving up to nineteen bids when they are advertised through the choice based lettings system. Applying national benchmarks to the level of provision in the city indicates that by 2030 the city is likely to have an under provision of around 800 independent living apartments.
7. On 15 March 2018 Executive agreed to invest £1.9m to deliver 8 new apartments and enhanced communal facilities for Lincoln Court in order to help to meet the need for additional older persons' accommodation in York. This was an estimated figure prior to understanding the detailed work required, this figure was also based on an incorrect square meter calculation of the scheme. One of the critical elements of the Lincoln Court scheme is the provision of a new energy efficient heating system for the apartments. This is due to the existing boiler being situated in the basement of Windsor House which will be demolished to provide a cleared site for the Centre of Excellence (CoE). Officers had previously anticipated that the new boiler plant could be connected to the existing pipe-work. However it is now clear that to ensure that the system is safe and robust, the pipe-work throughout the building will have to be replaced. Without this work the building would no longer be operational, resulting in the loss of 26 units.
8. Based on the experience of extending other schemes of older persons' accommodation officers had aimed to carry out the works in phases to avoid the need for residents to vacate the building. However following Health and Safety advice it is now clear that the demolition work at Windsor House, the refurbishment work and new apartment extension at Lincoln Court can not be carried out with the tenants remaining in the building. Support is being provided for tenants to help them move, to set up their new homes and to return (if they wish to) when the project is complete. The building will be vacated by 31 May 2019. Work is due to start on site in June 2019, and be completed in June 2020.
9. Following recent consultation with tenants and staff the decision has been taken to incorporate the modernisation of the existing flats into the main construction contract reducing the future disruption to the tenants. This will involve re-provision of the heating systems, a full rewire, and new kitchens and bathrooms.
10. A priority for the tenants at Lincoln Court was to have their windows replaced. During December approximately 60% of the apartment

windows were replaced with secure double glazed units. The remainder were to be fitted in January, however as the building is now to be vacated by the end of May 2019 tenants have chosen to defer the remainder of the work to avoid additional disruption. The remaining windows will be fitted during the redevelopment period.

11. The original scheme was designed to minimise impact on the existing tenants, with the majority of the new communal areas in the new build elements of the scheme. As the building is now going to be vacant during the works, further design work has been carried out to create a more integrated scheme. This revised design work demonstrates that learning from the Glen Lodge Extra Care scheme has been implemented. A key lesson from the Glen Lodge scheme was to recognise the importance of the integration of the existing and new wings of a building. There must be consideration of how both existing and new residents can orientate themselves within the building and how opportunities for social interaction between existing and new residents is encouraged through good design and interior layout. The revised location of the new communal lounge at Lincoln Court is an example of this learning being put into practice. A planning application for this revised scheme has been submitted.

Consultation

- 14 The tenants have been consulted throughout the design stages and many of the detailed features have been developed in response to their feedback. Recent consultation has been carried out with tenants on the revised proposals to the scheme, and the design team are working on some minor amendments in response.
- 15 Officers have consulted tenants and ward councillors on the need to move out of their homes while the work is completed and will offer support and financial remuneration with this process.

Options

- 16 **Option 1** -.The Executive is asked to approve the enhanced scheme design giving improved accommodation and communal facilities and revise the total budget for extending and undertaking a comprehensive refurbishment of Lincoln Court to £4.793m.

Analysis

17 **Option 1** – The requirement for the tenants to vacate the building while the work is completed allows the opportunity to revisit the proposals and provide an improved scheme that demonstrates learning from previous projects. The new design and layout includes

- 15 new apartments.
- 20 fully refurbished existing apartments, refurbished to the standard of the new build.
- All of the new apartments have been designed to fully meet the access and living needs of wheelchair users. This is the first of the Council's independent living schemes to be developed specifically to meet the needs of wheelchair users.
- An improved location for the boiler room. This addresses tenants concerns about the previous location and reduces the pipe runs to the accommodation in the building.
- An improved location for the mobility buggy store, to support tenant's independence.
- The addition of a guest suite located on the first floor, to offer the opportunity for the family and friends of residents to stay overnight when visiting.
- Additional laundry capacity within the new extension.
- A larger, brighter and more central communal lounge area which better integrates the new and existing elements of the building.
- Photovoltaic cells on the building's roof to reduce utility costs.
- Improved security and fire safety measures throughout the building.
- Additional meeting room and consultation space to enable additional services to be provided within the building, better integrating the scheme within the local community.

- The contractor will be required to minimise disruption to local residents during the construction, have a traffic management plan and to engage with residents throughout the works.
- 18 This revised scheme has been submitted for planning and is due to be considered at Area Planning Sub Committee in March.
- 19 It is acknowledged that within this revised proposal there is an increase in the footprint of the proposed new build element which impacts on the remaining garden space. However this increase in footprint facilitates an increased number of accessible apartments in an area of high housing demand. In order to mitigate the effect of the loss of some external space the remaining hard and soft landscaping around the perimeter of Lincoln Court will be improved as part of the works in order to enable and encourage increased access to external space.
- 20 The proposed footprint of the extension will result in the loss of the Multi Use Games Area (MUGA) adjacent to Lincoln Court. In order to mitigate the loss of this amenity space a commitment is made that alternative facilities will be provided at a suitable location within the Westfield Ward. Following the completion of construction works on both Lincoln Court and the Centre of Excellence the remaining land on which the MUGA is currently situated will be landscaped and returned to the community as open space. Further consultation with the ward councillors and the wider community over its future usage will be undertaken.
- 21 There is evidence from other Independent living and extra care schemes across the city that moving from inappropriate, multi level housing into purpose built accessible accommodation leads to increased independence and confidence and in many cases a reduction in the requirement for support from care services.

22 **Alternative Options**

The alternative options for this project have been considered and are outlined in Annex 1.

Council Objectives

- 23 This approach ensures that the authority increases the number of independent living units in the city and ensures that the scheme is fit for purpose in the future.

- 24 This scheme also delivers on the Health & Wellbeing strategy theme of supporting people to *Age Well* in York. By providing affordable, purpose built properties in a community with a higher than average demand for social housing and a higher than average number of Homecare clients.

Implications

- 25 The implications arising directly from this report are:

Financial –

The revised budget for this project is split between modernisation & repairs & new build extension works, totalling £4.793m. Details of the financing of this scheme are shown below.

Due to the fundamental changes in the scheme, following detailed design works the scheme costs have increased from £1.922m agreed in March 2018 to £4.793m. The increase of £2.871m will need to be funded through a combination of additional use of Housing Capital Maintenance budgets and a further combination from the HRA Investment reserve. A breakdown of the costs are shown below along with the proposed financing.

	Scheme Feb 2019
	£'m
New build – additional apartments increased from 8 to 15 and enhanced communal facilities	2.295
Building refurbishment and maintenance which now includes a comprehensive refurbishment of the 20 remaining properties, this work includes for the reconfiguration of 4 bedsits into 2 one bedroom apartments	1.888
Environmental sustainable measures including photovoltaic cells for the building roof to reduce operating costs	0.06
Design, planning & project management costs	0.4

Temporary relocation costs to support tenants move out and return to Lincoln Court	0.15
Total	4.793
Funded by	
HRA Investment fund	2.208
RTB receipts	0.537
OPAP	0.1
One Planet York Budget	0.06
Major Repairs Reserve	1.888
Total	4.793

The increase in the modernisation works totalling £1,366k will be funded from the HRA modernisation budget; this will mean that future programmes of works may need to be re-profiled to future years to meet the budget requirement in 2019/20 for Lincoln Court.

The revised budget shortfall of £1,505k for the new units will be funded from £60k from the corporate provision for photovoltaic cells and £908k from the HRA investment reserve and £537k from 1-4-1 right to buy receipts.

The net increase of new units will generate £33k p.a in new rental income for the HRA Business Plan.

The £137k cost per unit of accommodation compares favourably with the £154k cost per unit at Glen Lodge and the estimated per unit cost at Marjorie Waite Court which is about to start on site.

The additional cost can be accommodated within the HRA Business plan.

Human Resources – none

Equalities Implications – A better decision making assessment has been completed and is attached at Annex 2. Highlights include:

- positive impacts of the scheme in providing safe warm housing for older people in the local area.
- provision of specialist accommodation to increase the independence of wheelchair users.
- environmental and cost benefits of the photovoltaic cells

Throughout the project opportunities will be taken to improve the ecological impact of the scheme and to maximise the local benefits of the scheme for the surrounding community.

Legal Implications – none.

Risk Management

Project risks include:

Risk	Mitigations
The revised scheme fails to be granted planning approval.	Planning approval has been granted for the original scheme. This scheme offers an improved living environment taking into account lessons learnt from previous projects Tenants' views are reflected within the scheme.
The final costs from Sewell are not within the budget made available here.	Officers are continuing to work with the Contractor to ensure that the scheme meets the brief and reflects the available resources. Enabling works will start on site in the spring to ensure that the contractor will be able to start on site without delay. There is scope within the project brief for value engineering within the scheme. The budget figures quoted in this report contain contingency sums to ensure that any additional cost can be covered.
That the temporary move causes significant impact for tenants.	All tenants are being supported to identify their requirements and needs and all will be considered at monthly allocations panels. All tenants will have the opportunity to return to the new modernised Lincoln Court or to remain in their new property and therefore will not have to move twice.

Contact Details

Authors:	Chief Officer Responsible for the report:		
Vicky Japes Head of the older person's accommodation programme	Tom Brittain Assistant Director - Housing & Community Safety.		
	Report Approved	√	Date 7/3/19
Wards Affected: Westfield Ward			
For further information please contact the authors of the report			

Annex 1: Lincoln Court Re-Development Options

Annex 2: Better Decision Making Tool

Annex 1- Lincoln Court Redevelopment Options

Option	Description	Commentary and Risks
a) Do Not Proceed	Lincoln Court would be closed following the re-location of tenants by the 31 st May 2019.	This would result in a permanent loss of older persons' accommodation in an area of the City where there is already under supply and a permanent loss of rental income to the HRA. This would leave a vacant building at risk of vandalism and a possible target for anti-social behaviour. All costs associated with progressing this scheme to date would be abortive. This would also significantly impact on the likelihood of the Centre of Excellence project being able to proceed. The two projects are closely linked in order to provide efficiencies in both construction costs and delivery timescales.
b) Revert to the scheme that gained Executive approval in March 2018	Deliver an 8 unit extension with a new boiler room.	This option has been found not to be viable for a number of key reasons; <ul style="list-style-type: none"> • The initial cost plan for this scheme was not based on the correct m2. • The mechanical design based on installing and commissioning a new boiler using existing pipework was not fully considered and subsequently deemed to be non-deliverable. • The requirement to re-locate the tenants for the duration of the works for health and safety reasons had not been identified and thus the costs of this had not been factored within project costs.
c) Demolish and rebuild	Take the existing building down and build a scheme based on the current design. Estimated cost of £6.2m. Deliver 35 new units.	<ul style="list-style-type: none"> • Increase total project cost. • Abortive project costs. • Timetable for procurement and planning which would also negatively impact on the delivery of the Centre of Excellence project.

		<ul style="list-style-type: none"> • Length of time that tenants have to be re-located.
d) Only do the modernisation and maintenance work	Do not build the extension block, only do the boiler work and the maintenance and modernisation work in the existing properties. Leaving the existing layout of communal facilities and apartments. This scheme would have to include the cost of work but also all the re-location costs and M&E design fees and all of the abortive costs. An estimate of this cost is £2.5m.	<ul style="list-style-type: none"> • Cost- the extent of works required have not been allowed for in the planned maintenance budget. • This results in a net loss of 3 properties. • Timescales and re- procurement as this is not what we took out to tender. • Abortive project costs. • This would still require the tenants to be relocated for the duration of the works.

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:	Older People's Accommodation Programme
Name of person completing the assessment:	Vicky Japes
Job title:	Older Person's Accommodation Programme Manager
Directorate:	HHASC
Date Completed:	28/01/19
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? Investment in the extension and enhancement of older person's accommodation at Lincoln Court
1.2	What are the main aims of the proposal? To refurbish and upgrade the existing apartments in the Lincoln Court independent living scheme, to provide enhanced communal facilities and to provide an additional 15 (net increase of 9) fully wheelchair accessible apartments to meet the needs of future residents and to cater for the increasing older population.
1.3	What are the key outcomes? 1) To provide a new boiler house and hot water circulation system to heat the existing properties. 2) To reroof the existing building to keep it watertight and improve the insulation in the building. 3) To provide photovoltaic cells on the building to reduce service charge costs for the scheme. 4) To combine bedsits to create fit for purpose apartments. 5) To build additional apartments to meet the increasing demand for independent living properties. 6) to ensure that the properties are designed to meet the needs of wheelchair users.

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) The city currently has 1170 independent living units, with plans in place to increase this to 1252. The national benchmark for this type of housing is 12.5 units per hundred residents aged 75+. With this planned provision York will only have 7 units per hundred residents aged 75+. York has 38 Independent living schemes with an average of 39 units per scheme. The average number of applications for CYC 1 bed roomed sheltered housing properties is 18.4, reflecting the significant demand for properties. The number of bids per property varies across the schemes from 30+ to 1 when vacancies were last advertised. This scheme will provide the first multiple unit scheme that the council has developed which is specifically designed to meet the needs of wheelchair users.
	What public / stakeholder consultation has been undertaken and what were the findings?

2.2	<p>Resident engagement has taken place throughout the development of the scheme. The revised design reflects the wishes of tenants for additional communal lounge space, an improved location for the boiler house and improved access for mobility scooters. A local area consultation event was held in the scheme in spring 2018, with interest shown by older residents in the new apartments and the integration of the old and new elements of the building. The Older Person's Accommodation Programme Stakeholder Group which includes representatives from Age UK and the Older Person's Assembly in York is very supportive of the provision of additional age appropriate accommodation in the west of the city.</p>
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2.3	<p>Are there any other initiatives that may produce a combined impact with this proposal? (e.g. will the same individuals / communities of</p> <p>The former Windsor House site next door to Lincoln Court now has planning approval for the development of a Centre of Excellence for Disabled Children. This scheme is due to start on site at the same time as the Lincoln Court scheme. This will increase the construction traffic and disruption in the area. The projects are being jointly procured to try to limit the disruption and avoid duplication.</p>
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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?	mixed	The project will invest in the development of new accommodation and will require work on site for at least a year. There is likely to be significant local sub contractor works contracts, which may be won by York based businesses. There will be an increase in the workforce in the area for a year which will increase the expenditure in the area. However the increase in traffic flow and disruption may impact on local small businesses.
3.2 Provide additional employment or training opportunities in the city?	Positive	The contractor who has been appointed following stage 1 of the procurement process is committed to developing trade skills on site and has written apprenticeship and training opportunities into their tender submission.
3.3 Help improve the lives of individuals from disadvantaged backgrounds or underrepresented groups?	Positive	The project to extend and modernise Lincoln Court will focus on providing warm safe and accessible properties for older Council housing tenants. The scheme is in Westfield ward in the west of the city, an area with a high population of older residents, a high proportion of social housing tenants, and a higher than average proportion of the population living with a long term limiting health condition. These new properties will provide affordable, accessible apartments for older people and particularly those with a mobility impairment.

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	The Lincoln Court extension and modernisation will provide safe, modern, warm, accessible properties for older people in the west of the city. Having a safe and affordable home has a significant impact on individuals' mental and physical wellbeing. The scheme will modernise the existing properties, providing a new heating system, a new insulated roof, fire and intruder safety alarms. The improved communal facilities will provide the opportunity for increased communal activity and social interaction within the scheme and the scope for better integration with the local community. The new apartments will be category 3 properties, fully accessible for wheelchair users. These properties will allow older residents with mobility impairments to live independently in their own homes for longer.
3.5 Help reduce health inequalities?	Positive	This scheme will provide the first purpose built category 3 fully accessible independent living properties in the Council's stock. These will enable wheelchair users to live independently in properties designed to meet their needs. It will increase independence. All tenants will have access to a range of communal facilities which will enable social interaction and tenants to use the space in ways that suit them. The scheme will increase the number of independent living properties in the west of the city where there is very high demand.
3.6 Encourage residents to be more responsible for their own health?	positive	The scheme will provide enhanced communal facilities where tenants can choose to run a range of activities and socialise. Well designed independent living properties will allow older people to live independently in their own homes for longer rather than having to move into residential care to have their everyday needs met. Evidence shows that moving into accessible, level, easy to manage properties can reduce residents need for care and support and allow them to continue to make their own daily choices.
3.7 Reduce crime or fear of crime?	positive	As our residents age there is a corresponding increase in the fear of crime in their locality. Independent living schemes enable residents to continue to live independently in their own home, with a personal front door, but also with a main scheme front door which adds additional security. The scheme will include improved CCTV coverage.
3.8 Help to give children and young people a good start in life?	mixed	This project is a housing scheme specifically for older residents. It will have minimal impact on the lives of young people. However the project to refurbish Lincoln Court helps to enable the development of the site next door for a centre of excellence for disabled children. As part of the project investment will also be made into active play/fitness equipment in Westbank park and Chesney's field youth play areas, to re-provide the unused Multi use games area which will be lost as part of the development.

Culture & Community

Does your proposal?	Impact	What are the impacts and how do you know?
3.90 Help bring communities together?	Positive	The project is designed specifically for a discrete community of older residents. It will provide communal facilities which will offer activities which can be accessed by residents in the surrounding area. The replacement fitness/ play facilities will be available for local young people. The scheme will also include a guest suite to allow tenants friends and family to visit.
3.10 Improve access to services for residents, especially those most in need?	Positive	The project will provide purpose built accommodation for older residents in the west of the city. Every independent living apartment that is advertised to rent receives an average of 19 bids. We know that there is a significant demand for age appropriate accommodation. This scheme will develop a net increase of 9 new apartments (providing 15 new properties) which are fully accessible for wheelchair users.

3.11	Improve the cultural offerings of York?	Positive	Community sports clubs and sports facilities contribute to the cultural opportunities in an area. They allow people to meet and belong to their local area. The projects will provide these opportunities on 3 site in the West of the city, by creating new and enhancing existing recreational open space.
3.12	Encourage residents to be more socially responsible?	neutral	The scheme will provide enhanced social facilities which can be used for the benefit of the wider community.

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?	Neutral	This project will include a new roof with increased insulation in all areas. There will be photovoltaic cells on the roof of the three storey wing. The power produced from these will be used to fuel the communal areas of the building which will reduce tenants annual service charges. The project will include a new energy efficient boiler system and insulated heating system throughout the building to reduce energy consumption.
3.14	Minimise the amount of water we use and/or reduce the amount of water we pay for?	positive	The building will have a new water circulation system and new kitchen and bathroom fittings. This modernisation will reduce any waste water from leaks and will fit modern taps designed to minimise water use.

Zero Waste

Does your proposal?		Impact	What are the impacts and how do you know?
3.15	Reduce waste and the amount of money we pay to dispose of waste by maximising reuse and/or recycling of materials?	Neutral	We will work with the construction contractor to establish where recycled and reused materials can be incorporated into the build.

Sustainable Transport

Does your proposal?		Impact	What are the impacts and how do you know?
3.16	Encourage the use of sustainable transport, such as walking, cycling, ultra low emission vehicles and public transport?	Positive	The scheme is on a busy bus route. The project and the centre of excellence scheme next door will be providing a new bus shelter for the local area. The project will include 4 electric vehicle charging points. Cycle storage will be provided inside the building to encourage residents, visitors and staff to cycle to the scheme and store their bikes safely. The project provides an enlarged electric buggy store and the opportunity to recharge these buggies using the power generated by the photovoltaic cells on the building's roof.
3.17	Help improve the quality of the air we breathe?	Neutral	We will be replacing all hedges and trees removed within the project.

Sustainable Materials

Does your proposal?		Impact	What are the impacts and how do you know?
3.18	Minimise the environmental impact of the goods and services used?	neutral	The project team will work with the contractor to take opportunities to appoint local sub contractors, use sustainable materials and reduce traffic journeys as part of the project.

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	The new outdoor areas in the scheme will include areas for edible planting.

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?	Mixed	The project will involve the removal of an existing boundary hedge. This will be replaced along the new boundary, to reinstate the wildlife corridor from Hob Moor. Planting and amenities in the garden area will be designed to attract birds and other wildlife for the benefit of the wildlife and the tenants.
3.21	Improve the quality of the built environment?	Neutral	This project will significantly improve the quality of the built environment in the area. It will use modern energy efficient materials, with good insulation. The new apartments will be designed with generous space standards to enable wheelchair users to live independently. The new enhanced communal areas have been designed with a large glazed area to integrate the building with the garden area. The internal layout has been improved to include an improved entrance area, a salon area and a communal kitchen.
3.22	Preserve the character and setting of the historic city of York?	negative	The scheme will involve the removal of a section of historic headgerow, close to Hob Moor. This will be replaced and will reinstate the wildlife corridor from Hob Moor.
3.23	Enable residents to enjoy public spaces?	Positive	Both the Lincoln Court and Centre of excellence for disabled children will have new garden areas with amenities to attract wildlife and encourage use of the outdoor area. The project will be providing new fitness/ play equipment in youth play areas to encourage outdoor physical activity for the local young people. Following the project investment will be made in the area of land which currently includes the unused MUGA to provide a usable area of open space close to the footpath.

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	The project is specifically to provide high quality purpose built accommodation for older residents in the city.
4.2	Disability	Positive	The project will include 15 new purpose built category 3 wheelchair accessible apartments. All properties can be accessed by lift. All properties will have level access and all rooms on one floor. There will be provision for mobility scooters.
4.3	Gender	Neutral	The accommodation will all be one bedroomed properties designed to accommodate couples or single people. The scheme currently has a mix of single males, single females and one couple. All residents will be asked to make choices of bathroom and kitchen equipment before they vacate the building for the work.
4.4	Gender Reassignment	Neutral	The project will not have a specific impact on any of these groups. But all properties will be let using the existing council allocations policies which is designed to support those who are most in need of housing support, and to ensure equality of opportunities.
4.5	Marriage and civil partnership	Neutral	
4.6	Pregnancy and maternity	Neutral	
4.7	Race	Neutral	
4.8	Religion or belief	Neutral	
4.9	Sexual orientation	Neutral	
4.10	Carer	Neutral	
4.11	Lowest income groups	Neutral	
4.12	Veterans, Armed forces community	Neutral	

Human Rights

Consider how a human rights approach is evident in the proposal

		Impact	What are the impacts and how do you know?
4.13	Right to education	Neutral	This housing development project is unlikely to have a significant impact on this. Allocation of properties will comply with the council's allocations property, designed to support those who are most in need of housing support. The allocation of the category 3 properties will include an analysis of who will benefit most from these properties.
4.14	Right not to be subjected to torture, degrading treatment or punishment	Neutral	
4.15	Right to a fair and public hearing	Neutral	
4.16	Right to respect for private and family life, home and correspondence	Neutral	
4.17	Freedom of expression	Neutral	
4.18	Right not to be subject to discrimination	Neutral	
4.19	Other Rights	Neutral	

4.20	Additional space to comment on the impacts		



Section 5: Planning for Improvement

	What have you changed in order to improve the impact of the proposal on the One Planet principles? (please consider the questions you marked either mixed or negative, as well as any additional positive impacts that may be achievable)
5.1	We have increased the budget for the project to include photovoltaic cells, electrical charging points and internal cycle storage. We have taken the opportunity during the review of the building design to include category 3 properties to develop the first of these apartments in the Council's independent living stock. We have carried out consultation with local young people and have agreed to invest in outdoor fitness equipment to encourage outdoor activity and increased physical activity.

	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)
5.2	We will be moving tenants out of the scheme during the work to minimise the negative impact on tenants. All tenants will be asked for their tenants choice options before vacating the property. Tenants have been consulted throughout the design work and have given feedback which has lead to design changes which will increase tenants privacy and safety.

	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)
5.3	During and following phase 2 of the procurement process and the appointment of the contractor we will work with them to highlight the need to minimise the environmental impact of the construction work and to encourage them to source sustainable materials.

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
Establish what water saving devices can be incorporated into the building design.	CYC project team and contractor	Prior to contract commencement
Seek opportunities to incorporate sustainable materials in the scheme.	CYC project team and contractor	Prior to contract commencement
work with tenants to design outdoor scpace to meet their needs, encourage wildlife and provide edible planting.	CYC project team, contractor and community groups	prior to completion of the scheme
Review the contractors social value elements of their tender submission and ensure that these are delivered.	CYC project team and procurement	Prior to signing contract and during delivery.

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**18 March 2019**

Report of the Corporate Director of Children, Education and Communities and the Director of Customer and Corporate Services

Education, Children and Young People's Capital Programme: Proposed School Maintenance Schemes and SEND Facilities Expansion and Improvement Scheme 2019/20

Summary

1. The purpose of this report is to:
 - inform the Executive of the funding available in the school maintenance programme in the financial year 2019/20
 - seek approval for the proposed programme of work and the two specific schemes budgeted at £250k and £300k.
 - seek approval for a specific scheme at Applefields School at a budgeted cost of £270k, to be funded from the SEND Expansion and Improvement of Facilities Scheme.

Recommendations

2. The Executive is recommended to:
 - note the resources available in the CEC Capital Programme for maintenance and building work at schools, and for SEND expansion.
 - approve the two specific Maintenance schemes at a budgeted individual cost of £250k and £300k.
 - approve the Applefields SEND scheme at a budgeted cost of £270k.
 - approve the Maintenance schemes to be developed from the estimated available resource within the 2019/20 capital

programme, subject to final affordability once overall funding and detailed cost estimates are available

- Members are requested to delegate approval of expenditure on individual schemes to Officer level.

Reason:

- to maximise the programme of maintenance within the maintained school estate, dealing with the most urgent issues for 2019/20
- enable work to be carried out at Applefields School as part of the Inclusion Review to better provide for the education of its pupils in the forthcoming school years.

Background

3. The current approved Education and Children's Capital programme has a budget of £20.799m in 2019/20 (following approval of the Capital Budget 2019/20 - 2023/24 at Budget Council on 28th February 2019).
4. The individual schemes being considered in this report will be funded from four overall schemes within this programme. These are DfE Maintenance, Schools Essential Building Work, Schools Mechanical and Electrical Work, and the scheme for the Expansion and Improvement of Facilities for Pupils with SEND.

Consultation

5. All of the maintenance schemes considered in this report have been, or will be, subject to extensive consultation with governing bodies, key partner agencies, local councillors and residents in the locality of the individual schemes during development.
6. The Applefields School proposals have been discussed and agreed by the Inclusion Review Group which is a group made up of Officers and Head teachers from across the City.

Analysis

Capital Maintenance and Building and Electrical Work

7. Capital Maintenance grant funding is allocated annually to local authorities by the Department for Education (DfE) for the

improvement of LA maintained school buildings and children's centres. The 2019/20 allocations have not yet been announced.

8. For Academy schools (non-maintained), the LA is not responsible for maintaining these buildings. The academies have to apply direct for funding from the Education Funding Agency.
9. The current approved maintenance programme contains a budget of £1.536m for 2019/20. This figure includes £200k for previous years scheme retentions and final costs, plus an assumed underspend of £500k on 2018/19 schemes which has been re-profiled into 2019/20 at Monitor 3.
10. The amount of grant funding assumed for 2019/20 included in the current programme is therefore £836k, based on the 2018/19 allocation with a reduction factored in. However, due to the number of academy conversions which have taken place during 2018/19, it is likely that the actual allocation will now be lower than this figure. For the purposes of drawing up a programme to be funded in 2019/20, a prudent estimate of £770k should now be assumed. The addition of the under spend from 2018/19, now expected to be in the region of £700k allows a programme of £1.470m to be funded in 2019/20.
11. Based on current knowledge of the schools estate and taking into account the existing condition of school buildings, any regulatory and legislative issues, and the number of pupils affected by any building failures, schemes that have been considered have been prioritised and ranked in order of importance. The estimated total cost of carrying out this work would total £3.276m. Annex A provides details of the schemes listed under building work and mechanical and electrical work.
12. The budgeted figures are pre-tender estimates and may be subject to change following the results of this process. At this stage, and following the announcement of the actual level of the Maintenance grant allocation, the list of schemes that can be delivered will be finalised.
13. Within the schemes listed for approval, an amount of £200k will be held as a contingency for unforeseen emergency issues that may arise over the winter period.
14. In autumn 2018 a project to assess all building needs across the maintained school estate was carried out. This was based on an

analysis of fabric and mechanical and electrical condition surveys carried out over the last three years, knowledge within CEC and Property Services, and information gathered from discussions with schools.

15. The 25 schemes recommended for approval above represent only those of the very highest priority, where the work has been assessed as being of greatest urgency. All of these schemes have critical health and safety issues including Legionella, SEN, fire risk, roof and window failures, heating system failures, vermin infestation and buildings that don't meet current regulations. With the limited funding available (£1.470m) through the DfE maintenance grant only 11 out of the 25 schemes can be funded.
16. In order to expand this programme in 2019/20, additional sources of funding were considered. Two bids were submitted through the councils CRAM process, and were approved as part of the Capital Budget. This has resulted in sufficient funding being made available to complete the full proposed programme for 2019/20 and provide a resource to plan a significant programme of maintenance for 2020/21.
17. Two of the 25 schemes have budgets of £250k and £300k respectively. The first is at Dringhouses Primary where the 55 year old heating pipes burst during December. The school is now reliant on electrical heaters as the existing heating pipes are within ducts containing asbestos and the heating pipes need to be replaced above floor level.
18. The second scheme is at Westfield Primary, where areas of the building are in extremely poor condition with regular roof leaks and aluminium single glazed windows that need to be replaced with double glazing to prevent heat loss and excessively high energy bills.

SEND Facilities Expansion and Improvement Scheme

19. The main scheme for the Expansion and Improvement of Facilities for Pupils with SEND has a budget of £647k in 2019/20.
20. It is proposed to allocate £270k of this to a scheme at Applefields School to address the lack of suitable teaching and support spaces currently available. The current experience of the school is that the lack of appropriate space is highlighting the limitations in meeting the needs of some of the schools more complex young people.

21. There is a significant increase in the number of pupils anticipated to start Applefields in both the next and future academic years it is crucial therefore that sufficient local provision is developed to meet this increasing demand to reduce the need to place children and young people in expensive out of city provision. This capital project is designed to help manage this pressure by increasing the number of specialist rooms which will support alternative activities and enable appropriate interventions.
22. The proposed work will adapt two classrooms to create additional break out space and improve the learning environment which is required for those pupils with complex social and emotional needs. In addition the school garage will be converted into useable workspace/workshop for pupils to access extended life skills and vocational activities. This will support pupils to prepare for work life and independent living.

Financial Implications

23. The financial implications are dealt with in the main body of the report.

Other Implications

24. There are no Human Resources, Legal, Crime and Disorder, Information, Property or other implications arising from this report.
25. Equalities – The capital works identified through the inclusion review are focused on ensuring that the Council fulfils its duties under the Equalities Act 2010. The planning of new school provision has to have due regard to the provisions of the Act.

Risk Management

26. In general, there is always a degree of risk associated with operating a capital programme as schemes are developed and implemented. The key to minimising this risk is the effective operation of monitoring and control processes. Regular monitoring reports will be presented to the Executive on the overall capital programme of the local authority, and more detailed reports on the Children's and Education programme can be presented to the Executive Member as required.
27. The failure to deliver sufficient school places is a significant risk for the council as it would lead to reputational damage and lead to financial pressures if the needs of pupils with SEND cannot be met

through good local provision. The approach outlined in this report will guarantee the efficient management of supply and demand.

Contact Details

Authors:	Chief Officer Responsible for the report:		
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	Report approved	✓	Date 4/3/19
Specialist Implications Officer(s) Finance: Mike Barugh Principal Accountant 01904 554573			
Wards Affected:			All ✓
For further information please contact the author of the report			

Background Papers

The Inclusion Review and SEN Grant Executive Report November 2018

Annexes

Annex A - Schedule of Proposed Schools Maintenance Schemes
2019/20

ANNEX A - Schedule of Proposed Schools Maintenance Schemes 2019/20**BUILDINGS**

Project Number	School	Project Description	Grade	Total Impact Score	Cost (£)
1	Poppleton Road Primary	Window Replacement	D2	13.2	43,000
2	St Paul's Nursery	Chimney Structural & Roof Leaks	C2	9.0	80,000
3	Westfield Primary	Roofs, windows, doors & gutters - phase 1 of 4	D1	7.4	300,000
4	Yearsley Grove Primary	Roof replacement phase 2 of 3	D2	7.2	147,000
5	Wigginton Primary	Window replacement	D2	6.4	46,000
6	St Paul's Primary	Roof, glazed walk way and roof terrace levels	C1	6.2	50,000
7	Dringhouses Primary	External paving, edging, fencing, vehicle access (security, H&S, access, SEN)	C1	6.0	80,000
8	Clifton Green Primary	Roofs, gutters and windows - phase 2 of 4	C1	5.4	180,000
9	Huntington Secondary	Roof & windows - phase 2 of 3	C2	4.2	230,000
10	Huntington Secondary	External resurfacing	C2	4.0	200,000
11	Headlands Primary	Aluminium Window Replacement	C2	3.8	38,000
12	Huntington Secondary	TCU Roof repairs & Rewire	C2	3.4	70,000
TOTAL					1,564,000

Mechanical & Electrical

Project Number	School	Project Description	Grade	Total Impact Score	Cost (£)
1	Fishergate Primary	Boiler replacement	D2	13.8	154,000
2	Dringhouses Primary	Heating pipes	D1	13.2	250,000
3	Fishergate Primary	Re-wire phase 2 of 2	D2	13.0	93,000
4	Huntington Secondary	DHW Cylinder replacement	D2	12.8	150,000
5	St Paul's Nursery	Re-wire, supply upgrade	C2	12.0	55,000
6	Wigginton Primary	Boiler replacement and DHW	D2	11.8	140,000
7	Stockton-on-the Forest Primary	Phase 2 fire alarm replacement & rewire of main hall	C2	11.0	100,000
8	St Paul's CE Primary	Renew boiler	C1	10.8	40,000
9	Clifton Green Primary	Rewire: DB, emergency lighting, lighting, fire alarm - phase 2 of 5	D2	10.0	145,000
10	Stockton-on-the-Forest	Replace DHW Cylinder	D1	10.0	20,000
11	Clifton Green Primary	Main boiler & DHW	D2	9.8	160,000
12	St Paul's CE Primary	Rewire and supply upgrade Phase 1 of 2	C1	9.0	65,000
13	Huntington Secondary	Rewire 5 of 5	D2	8.0	240,000
TOTAL					1,712,000



Executive**18 March 2019**

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

Proposed Long Term Leases – Buildings at Clarence Gardens and Burnholme**Summary**

1. This report seeks an Executive decision on granting long term leases, in line with the Asset Management Strategy, at the locations and to the groups and clubs as set out below:
 - Clarence Gardens – Buildings to The Hut York Ltd
 - Burnholme – Building to Hempland Kids Club

Recommendations

2. The Executive is asked to:
 - i. Agree to undertake a public consultation in line with S123 of the Local Government Act on the potential award of a long lease of two buildings at Clarence Gardens, to The Hut York Ltd ('The Hut') for a term of 99 years, at a peppercorn rent, in accordance with the Community Asset Transfer Policy as set out in the Asset Management Strategy.

Reason: To comply with legislation.

- ii. Delegate to the Director of Economy and Place in consultation with the Executive Member for Finance and Performance to finalise the leasing of these buildings to The Hut York Ltd following consideration of any consultation responses.

Reason: To create a sustainable future use of a community facility and transfer maintenance and repair responsibilities to the tenant.

- iii. Agree to the leasing of a building at the Burnholme Health and Well-Being Campus to the Trustees of Hempland Kids Club (THKC) for a term of 99 years at a peppercorn rent, in accordance with the Community Asset Transfer Policy as set out in the Asset Management Strategy.

Reason: To ensure the sustainable future use of a community facility and transfer maintenance and repair responsibilities to the Trustees.

Background

3. The Community and Operational Asset Strategy (CAS) which is contained within the overall Asset Management Strategy includes the following objectives:-
 - We will use land and building assets to maximise positive outcomes for our communities
 - Assets should be operated by the community where a community group is best placed to deliver the outcomes
4. The Council already has a history of achieving these objectives on a number of assets across the City. A number of Community Asset Transfers (CAT) on community and sports related assets have been completed which has resulted in the development of these assets and increased use of them by community groups and the public and this method of dealing with similar projects will continue as part of the implementation of the CAS.
5. The Council's Community Asset Transfer Policy states that qualifying community groups may be offered a lease for a Term of up to 99 years, in order that the tenant can apply for any funding to support the use of the asset and any work needed to repair/refurbish/improve the property, on a nil rent basis subject to the conditions referred to in that policy including that
 - The tenant has full responsibility for repairs and decoration and for payment of all outgoings relating to the premises including insurance, business rates and utility costs
 - The premises must be open for the public to use for a minimum period each year
 - The tenant is restricted from transferring the leaseThese conditions will be included as specific covenants within the lease which will also include a community use agreement setting out how community groups and the public can use the premises
6. Consultation has taken place with community groups and others to develop business cases for the tenants to take on long term leases for the following properties.

Clarence Gardens – Lease buildings to The Hut York Ltd

7. The Hut York Ltd has occupied the Clarence Gardens Building (see site plan at Annex 1) since 2011. Initially this organisation provided a community service solely for people with mental health issues and/or learning disabilities but this has now expanded to meeting the needs of the whole community including lonely and disadvantaged adults of all ages, elderly,

carers and also referrals from GPs. The service has developed in line with community needs and its member's feedback and now also includes assisting people to learn new skills and offer work experience to help people back into employment.

8. The Hut are now in a position to move to the next level of their strategic plan for which additional space is needed and also the refurbishment of their existing space to make it fit-for-purpose and sustainable. Discussions have taken place with the Council for The Hut to take over the responsibility for an adjacent building which, apart from the use of part of the space as a disabled toilet which is also used by the bowling club, is currently vacant. The Hut have already set up a Funding Committee which has identified sources of external funding (both nationally (such as Big Lottery) and from local Charitable Foundations and is generating match funding from within the organisation which would enable
 - Substantial upgrading and refurbishment of the existing building to make it economically efficient and to match the strategic vision of the Hut's programme
 - Transform the adjacent building into
 - A quiet space for counselling, small group work and training
 - Leave part of the building open as a disabled toilet available for authorised users including the bowling club and staff working in the gardens
 - The Hut would take full responsibility for managing this building as part of the lease
9. To achieve this a longer lease is needed for both buildings to enable the application for this funding, the long term planning for the development of the offer to existing and new users and also the expansion of the already substantial partnership working with local and regional community and public sector organisations.
10. The Hut meet the requirements as set out in the CAS and CAT for a qualifying organisation for such an asset transfer and this application is recommended for the above reasons as well as the added outcome that The Hut will take on the management of the toilet facility.. As stated community access will be set out in the Community Use agreement which will form part of the new lease
11. These buildings are situated on the edge of Clarence Gardens which forms part of Bootham Stray. The Council holds Bootham Stray (and the other Strays around York) for use by the city's residents as open space recreation land.
12. The general public however have not enjoyed access to these buildings since The Hut took occupation in 2011 but they could still be classed as

'open space' for the purposes of the relevant legislation because they were constructed within Clarence Gardens and used for a purpose ancillary to the function as an outdoor public recreation facility, in particular as they are situated on Stray land. Section 123 of the Local Government Act 1972 prohibits local authorities from 'disposing' of 'open space' unless they have first advertised the proposed disposal in a local newspaper in two consecutive weeks and considered any objections received (disposal would include the granting of a long lease). It is therefore considered prudent to follow this process in relation to this proposal.

Burnholme – lease of building to Hempland Kids Club

13. The Trustees of Hempland Kids Club (THKC) have occupied this stand-alone building, which used to be the Youth Club building, on the Burnholme site, for a number of years and have invested heavily in the building making it fit-for-purpose. Several years ago there was a proposal to grant the THKC a long lease of the building. This was then put on hold, due to the closure of Burnholme Community College in 2014 and the project to look at future options for the uses of the whole site, including the part occupied by the Kids Club. The development of this site has now progressed substantially with the construction and completion of The Burnholme Centre and further phases planned in the near future. As the public have not accessed/used this building for recreation and it has not been used for a purpose ancillary to public recreation, the property is not considered to be 'open space' and so it is not considered necessary to publish a notice before the proposed lease may be granted.
14. As the project for the development of the Burnholme site is progressing the area and building occupied by the Kids Club (see Annex 2) is not required to be altered in anyway and so the lease to the Kids Club can now be entered into. The Trustees of the Club have been fully involved in all the consultation stages and the development of the plan for this site and are fully supportive of all that has happened and is proposed. They have also made an application for a 99 year lease at a peppercorn rent for the building and outdoor space which they occupy as they wish to progress their initial proposals for the use and development of this site including continuing use for the kids club, use by the wider community for social and health promoting activities (which will be set out in the community use agreement which will form part of the lease) and the development of the outdoor space for a playground for the users of the building – something which is lacking at the present time.
15. THKC meet the requirements as set out in the Community Asset Transfer policy for a qualifying organisation for such an asset transfer and this application is recommended for the above reasons. The rent will be peppercorn and the Trustees will be responsible for all repair and maintenance of the building and outdoor area. However, as the asset is part

of the larger Burnholme site and the tenant will be using the common areas for access for the users of the building and also some staff parking, a service charge will be paid which will be regularly reviewed.

Consultation

16. In each of the above cases extensive and prolonged consultation has taken place with
- The community organisations which are using the buildings to help them develop their proposals into a feasible plan
 - Council officers from the relevant operational services, property and legal services
 - Ward members where appropriate to listen to their views on the proposals.
 - In respect of the Burnholme case this has also been part of the extensive consultation which has taken place as part of that project which has been reported to the Executive on several occasions.

Options and Analysis

17. In each of the above situations the alternative option would be to grant each of the organisations a shorter lease on more traditional terms which would
- Split the responsibility for repair and maintenance between landlord and tenant
 - Charge the tenant a market rent
18. This option would have the following impacts
- The Council would receive some income although, as it would also have responsibility for the cost of the structural and external repair and maintenance, the net income would be minimal and perhaps result in the need for more investment
 - There would be future flexibility in the use of these assets so if the Council required them to deliver its own services in the future getting possession would be easier. However even with the longer leases the Council could still use some of the space to deliver future requirements by leasing back the space needed which would also provide an income for the tenant to assist with long term sustainability. This option will be included in the leases
19. However the disadvantages in each of these cases in granting shorter term leases are
- The loss of ability for the tenants to realise their business plans for the future use and operation of each of these properties as there would be no certainty in occupation for their long term plans
 - External funders also need the certainty of longer term leases which is critical in each case to develop the properties to meet the intended uses.

Council Plan

20. These proposals support the 3 key priorities, as set out in the Council's Plan 2015-19 as follows

- A prosperous city for all
 - Local residents will be able to enjoy facilities to promote creativity, health and the well-being of those in the neighbourhood
- A focus on front-line services
 - Everyone has access to opportunities regardless of their background
 - Residents are encouraged and supported to live healthily
- A council that listens to residents
 - Engaging with the community to provide suitable space for local residents

Implications

21.

- **Financial** – The Hut currently pay £6,000 in annual rent at Clarence Gardens and THKC a peppercorn rent at Burnholme. Although there will be a loss of annual income this is not significant and the relevant budget managers have confirmed that this has already been factored into their budget proposals as has the potential saving in the need for future repair and maintenance of the buildings
- **Human Resources (HR)** There are no HR implications
- **One Planet Council / Equalities** (Contact – One Planet Council Officer / Equalities Officer) The Better Decision making process has been completed and the outcomes have been incorporated into this report. A copy of the form is attached at Annex 3
- **Legal** - The Council has power under Section 123 of the Local Government Act 1972 and the General Disposal Consent Order to grant a lease of General Fund (non-HRA) land for less than best consideration/full open market without needing the consent of the Secretary of State (for Communities and Local Government) provided that:
 - (i) The difference between the consideration being obtained and best consideration/full O.M.V. is less than £2 Million and
 - (ii) The Council considers that the purpose of the disposal will contribute to the improvement of the economic, environmental or social well-being of the area

If any part of the land is 'open space' within the meaning of Section 336 of the Town and Country Planning Act 1990 (land which is used for the

public recreation or which is laid out as a public garden or a disused burial ground) then S.123 LGA 1972 requires that before any disposal (including a lease) can be completed, the Council must advertise the proposed disposal/lease in a local newspaper in two consecutive weeks and duly consider any objections/comments received.

- **Crime and Disorder** – there are no crime and disorder implications
- **Information Technology (IT)** there are no IT implications
- **Property** – these are covered within the report
- **Planning** – there may be a need for planning applications as the proposals for each of these cases develop – such as the conversion of the additional building in Clarence Gardens to the uses as set out in paragraph 8. Granting the leases is not subject to obtaining the appropriate permissions and consents and these will be dealt with by the tenants as set out by planning legislation etc.

Risk Management

25. For each of the proposals the risk is considered to be low.

Contact Details

Author:

Philip Callow
Commercial Project Manager
Community and Operational
Asset Strategy

Economy and Place
01904 553360

Chief Officer Responsible for the report:

Tracey Carter
Assistant Director – Regeneration and
Asset Management

Report **Date** 25/2/19
Approved

Specialist Implications Officer(s) List information for all

Financial
David Gladders
Accountant
01904 551101.

Legal
Gerard Allen
Senior Solicitor - Property
01904 552004

Wards Affected:

Clarence Gardens – Guildhall
Burnholme - Heworth

For further information please contact the author of the report

Background Papers:

Executive report 28 September 2017 Asset Management Strategy
Economy and Development Policy Development Committee Report
20 November 2018 Community and Operational Asset Strategy – Development
and Implementation

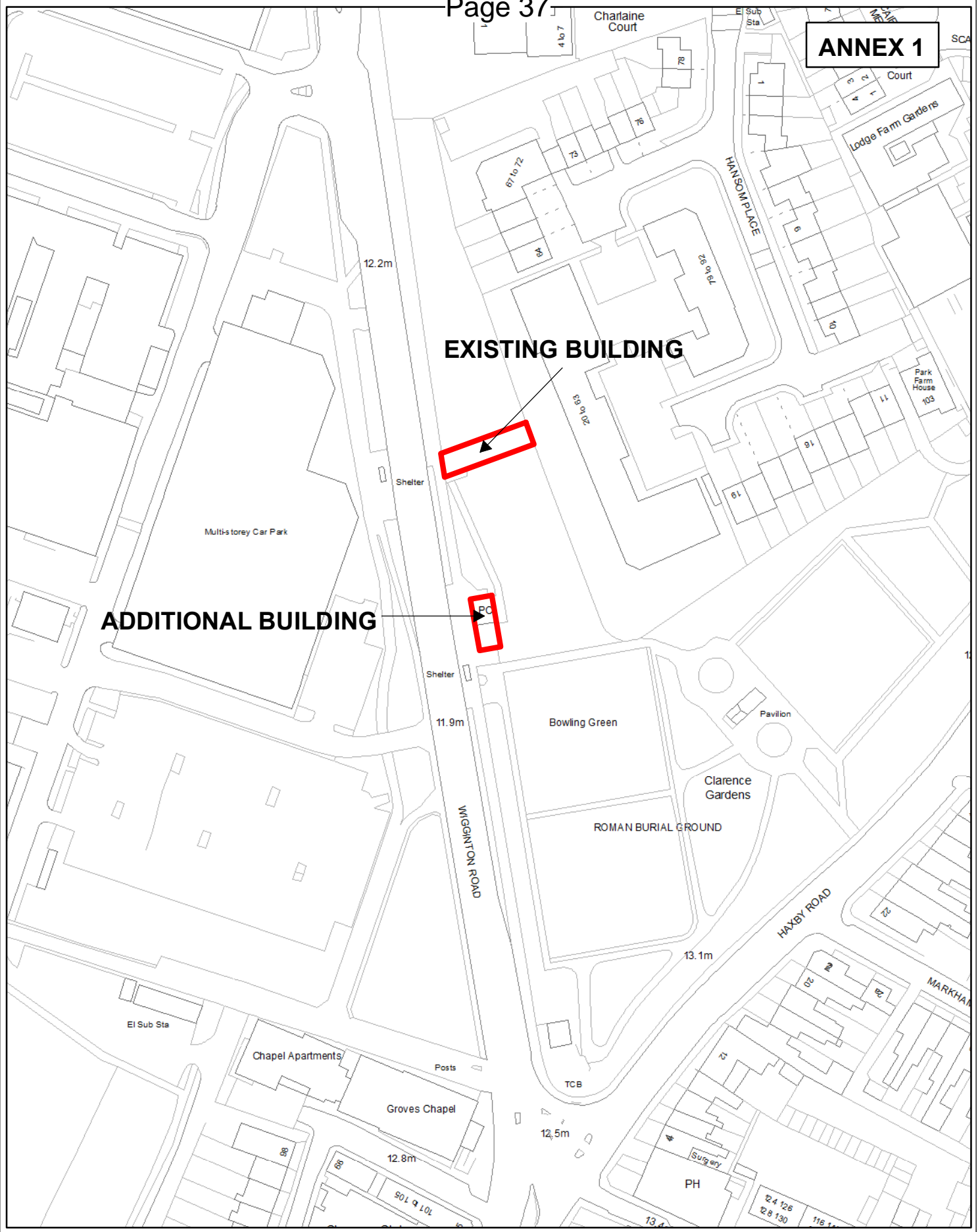
Annexes

- Annex 1** Clarence Gardens site plan showing existing and additional buildings
- Annex 2** Burnholme – plan showing proposed area of occupation
- Annex 3** One Planet Council Better Decision Making Tool

List of Abbreviations Used in this Report

CAS	Community and Operational Asset Strategy
CAT	Community Asset Transfer
The Hut	The Hut York Ltd
THKC	Trustees of Hemplands Kids Club

ANNEX 1



Asset & Property Management

Annex 1 - Clarence Gardens site plan showing existing and additional buildings.



SCALE 1:1,250

DRAWN BY: CC

DATE: 04/03/2019

Originating Group:

Asset & Property Management

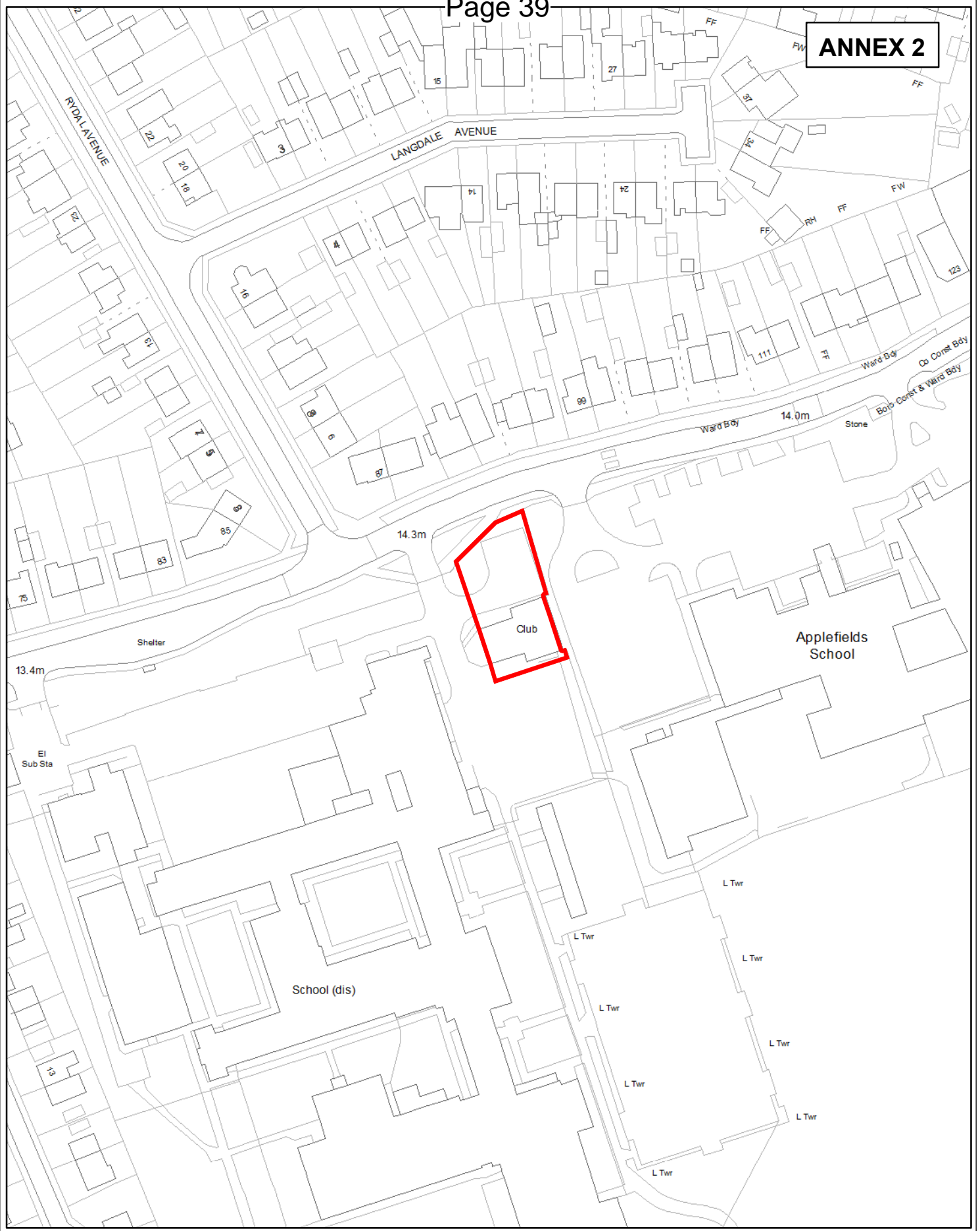
Drawing No.

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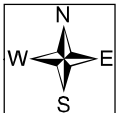
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ANNEX 2



**Asset & Property
Management**

Annex 2 - Burnholme - plan showing proposed area of occupation



SCALE 1:1,250

DRAWN BY: CC

DATE: 04/03/2019

Originating Group:

Asset & Property Management

Drawing No.

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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:	Economy and Place/Asset Management
Name of person completing the assessment:	Philip Callow
Job title:	Project Manager Community Asset Strategy
Directorate:	Economy and Place
Date Completed:	23rd January 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? Granting of long term leases to community organisations at 2 locations around the City in line with the Asset Management Strategy
1.2	What are the main aims of the proposal? Maintaining and developing the sustainable future use of community facilities by transferring the management of these buildings to community organisations to enable the use of them to be developed to meet the needs of these organisations and also to increase the use of these buildings by the local communities
1.3	What are the key outcomes? 1/ Long leases to the community organisation on full repairing and management terms at nil rent. 2/ Development of the use of these buildings in accordance with the organisations business plans 3/ Use of these buildings by other organisations and the public

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) The Councils Asset Management Strategy has within its objectives to a/ use land and building assets to maximise positive outcomes for our communities and b/ assets to be operated by the community where a community group is best placed to deliver the outcomes. The proposals listed in this report meet both these objectives so will assist in the Council achieving them
	What public / stakeholder consultation has been undertaken and what were the findings?

2.2	<p>1/ Work has taken place with the community organisations which are using the buildings to help them develop their proposals into a feasible plan</p> <p>2/ Council officers from the relevant operational services along with property and legal officers have been involved in each stage to ensure each proposal is feasible, sustainable and deliverable</p> <p>3/ Ward members have also been consulted to listen to their views on the proposals and how they fit in with Council priorities</p> <p>4/ In respect of the Burnholme case this is part of the larger development of the Burnholme site which has included extensive consultation with many organisations and the public.</p> <p>In all of these cases the proposals for each of the buildings has been shaped by the outcomes of these discussions and have the support of all the stakeholders</p>
-----	---

	<p>Are there any other initiatives that may produce a combined impact with this proposal? (e.g. will the same individuals / communities of identity also be impacted by a different project or policy?)</p>
2.3	<p>No as the discussions with Council Officers and their work has already been incorporated into the proposals which have been recommended</p>



Section 3: Impact on One Planet principles

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

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

Equity and Local Economy

	Does your proposal?	Impact	What are the impacts and how do you know?
3.1	Impact positively on the business community in York?	Neutral	
3.2	Provide additional employment or training opportunities in the city?	Positive	The proposals for the Hut in particular provide opportunities for training and acquisition of new skills for existing and new members including young people with emotional and mental health issues and also health sector professionals
3.3	Help improve the lives of individuals from disadvantaged backgrounds or underrepresented groups?	Positive	The proposals for the Hut will enable this organisation to develop it's training and counselling service to people with mental health issues and/or learning disabilities, the lonely and disadvantaged adults of all ages, carers and referrals from the GP. The Burnholme Kids Club also has children from all background and provides them with an educational programme.

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	Provides the buildings on the basis which will allow these community organisations to provide the space to deliver their programmes
3.5	Help reduce health inequalities?	Positive	Physical and mental health issues are contained within the strategies and objectives of all the organisations which will be occupying these buildings
3.6	Encourage residents to be more responsible for their own health?	Neutral	
3.7	Reduce crime or fear of crime?	Neutral	
3.8	Help to give children and young people a good start in life?	Positive	All of the organisations which will be leasing these buildings have programmes aimed at children and young people

Culture & Community

	Does your proposal?	Impact	What are the impacts and how do you know?
3.9	Help bring communities together?	Positive	By including in the leases for all these buildings the opportunity for individuals and communities to hire the spaces
3.10	Improve access to services for residents, especially those most in need?	Positive	By enabling the Hut at Clarence Gardens to develop their existing and new premises then they will be able to deliver their programmes to a greater number of those with mental health issues
3.11	Improve the cultural offerings of York?	Neutral	
3.12	Encourage residents to be more socially responsible?	Positive	By granting leases to community organisations on all these buildings this will allow the community to take control and responsibility for the management and development of these facilities and also encourage volunteering in both the management of the building and also delivery of the services

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?	Neutral	
3.14 Minimise the amount of water we use and/or reduce the amount of water we pay for?	Neutral	

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

Sustainable Transport		
Does your proposal?	Impact	What are the impacts and how do you know?
3.16 Encourage the use of sustainable transport, such as walking, cycling, ultra low emission vehicles and public transport?	Neutral	Granting longer leases will not change the current policies which these organisations adopt in terms of accessing their facilities
3.17 Help improve the quality of the air we breathe?	Neutral	

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

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

Land Use and Wildlife		
Does your proposal?	Impact	What are the impacts and how do you know?
3.20 Maximise opportunities to conserve or enhance the natural environment?	Neutral	
3.21 Improve the quality of the built environment?	Positive	By granting long leases this will enable the community organisations to apply for funding to carry out work to the buildings which will improve the quality and condition of the existing buildings
3.22 Preserve the character and setting of the historic city of York?	Neutral	
3.23 Enable residents to enjoy public spaces?	Positive	The terms of the leases will provide the opportunities not only for better use of the buildings by the community groups but also other groups and the public

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	There will be no significant impact as a result of these proposals as all the community organisations involved already operate in a way that has a positive impact on all these communities of identity and the granting of the long leases to maintain and develop the sustainable future use of these community facilities will at the very least maintain this positive impact if not improve it.
4.2	Disability	Positive	
4.3	Gender	Positive	
4.4	Gender Reassignment	Positive	
4.5	Marriage and civil partnership	Positive	
4.6	Pregnancy and maternity	Positive	
4.7	Race	Positive	
4.8	Religion or belief	Positive	
4.9	Sexual orientation	Positive	
4.10	Carer	Positive	
4.11	Lowest income groups	Positive	
4.12	Veterans, Armed forces community	Positive	

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

4.20	Additional space to comment on the impacts
	The projects and proposals are unlikely to have a significant impact on these rights. Each community organisations have their own equalities policies as well as safeguarding policies and these will be maintained in accordance with the appropriate requirements



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)
	As the community organisations have been involved throughout each of these proposals then the positive impacts highlighted have come out of those discussions and so the proposals contained in the report have been shaped by the One Planet principles from the beginning

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)
	Each of the organisations already had policies which covered these subjects and therefore there was no need to change anything as they formed part of the discussions in taking forward the business and sustainability plans for each building

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)
	Ensuring that, where appropriate, the benefits are included in the leases and community use agreements

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

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**18 March 2019**

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

A Sustainable Future for York with Hyper hubs**Summary**

1. In the context of York being a One Planet City and the council's, environmental ambitions and Sustainable Transport approach, the Council engaged with the Office for Low Emission Vehicles (OLEV) and the Go Ultra Low funding programme in order to further our ambitions in terms of putting in place the infrastructure, in terms of rapid charging points or "Hyper hubs" in strategic locations across the City, to accelerate the change in culture and adoption of Electric Vehicles (EV). In 2016 the Council were successful in the bidding process and were awarded the funding.
2. In the Autumn of 2017 the council had the opportunity to bid for additional ERDF funding to add an innovative layer to the project. This was the addition of a solar canopy and battery storage. This would support the implementation of Hyper hubs for EVs at Monks Cross Park and Ride, Poppleton Bar Park and Ride and York Hospital (this element is receiving funding support from York Hospital).
3. In December 2018 the council were notified by Ministry for Housing Communities and Local Government that our bid was successful subject to legal agreements.
4. The purpose of this report is to update on the project detail, seek approval for creating a budget to accept the additional funding and to seek approval to proceed with the planning and procurement processes in order to deliver this exciting and innovative scheme.

Recommendations

5. The Executive is asked to:
 - 1) Agree to undertake work in line with the report
 - 2) Recommend to council approval of the budget for the Hyper hubs project (£700k)
 - 3) Note that there are conditions that come with the grant
 - 4) Approve the initiation of the consultation process on design in May
 - 5) Approve the initiation of the planning process after the consultation process has concluded
 - 6) Approve the commencement of the procurement process
 - 7) Note that a report will be brought back later in the year to inform members of the outcome of the procurement process and to ask for approval to proceed to contract award

Reason: In order to move forward and implement a sustainable approach to EV charging to meet the Council's ambitions in terms of promoting sustainable transport, reducing the City's carbon footprint, increasing the use of electric vehicles in the City and to work towards increasing air quality in the City.

Background

6. City of York council is committed to creating a city which has a thriving local economy, strong communities and a sustainable way of life; a city where our residents are healthy, happy and prosperous. This is consistent with the One Planet approach. The council are taking a lead role in realising this work through a number of projects, including projects around sustainable transport and the environment.
7. The council has invested over years in building EV charging infrastructure in council car parks, shopping parks and leisure centres. This has enabled the uptake of EVs in the city and the transition to cleaner fuels to be accelerated. Council owned charging points have usage rates of over 1500 sessions per month, and have also been a catalyst for the use of electric buses on the Park&Ride network. York is an air quality management area with regular exceedances of NO₂ levels in urban highly populated areas due principally to transport emissions resulting in air pollution. The transition away from polluting vehicles is one which will benefit the health of residents and visitors in York and the learnings from this can be replicated by other cities.

8. Currently, 98% of new cars/vans purchased in the UK are fuelled by petrol or diesel (SMMT 2017). There is an increasing number of Ultra Low Emission Vehicles (ULEV) being purchased which use stored electrical energy in a battery pack. These vehicles are significantly more efficient (4 to 5 times further per kWh of energy) than petrol or diesel cars, with lower CO₂e emissions. These also have greatly reduced emissions of local air pollutants which cause harm to health.
9. The number of vehicles able to use the existing EV infrastructure is increasing every month and this trend is expected to continue for decades to come. Thus the usage rates of the charge points will increase in proportion to the numbers of users.
10. Many EU countries are expecting petrol or diesel cars to become virtually obsolete within the next three decades. These cars, however, have different refuelling requirements, and currently there is insufficient rapid charging infrastructure provided for the anticipated numbers of vehicles.
11. This project will stimulate the market in York, and provide suitable infrastructure to enable the further transition away from fossil fuel vehicles, and towards ultra low emission vehicles.
12. High power charging brings challenges for the UK local grids in providing short term peak power capacity, and reducing the carbon intensity of fuels from a national grid perspective. The Hyper Hubs aims to resolve both of these issues by reducing the peak power demand on the grid, and prioritising renewable energy supply through the supply of low carbon energy generated on site.
13. On a well-to-wheel basis, electricity is already 50% reduced carbon compared to petrol or diesel. In providing solar generation and energy storage facilities, this carbon intensity can be further reduced by minimising the amount of grid energy required to recharge the vehicles.

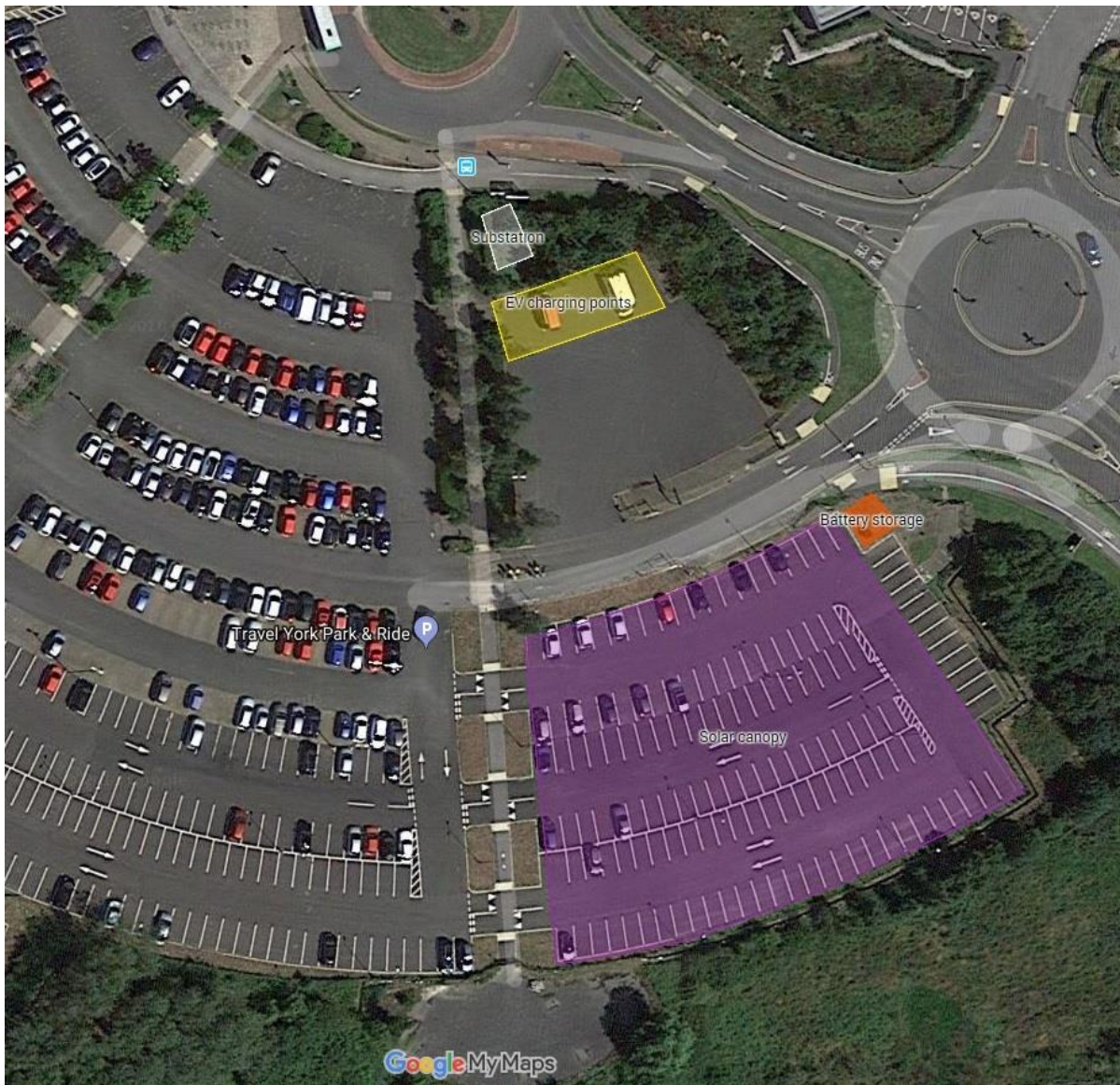
14. Hyper Hubs are an innovative combination of solar energy harvesting and storage with electric vehicle charging points, reducing the reliance of electric vehicles on the UK electricity grid and reducing greenhouse gas (GHG) emissions. By providing Hyper Hubs at Poppleton and Monks Cross Park and Ride sites, we aim to increase the use of electric vehicles for journeys in and to York, providing eight private vehicle charging points at each site.
15. The concept of harvesting solar energy, using battery storage and charging an electric vehicle from the stored energy is one that has already been successfully trialled on a council vehicle at the EcoDepot.
16. In simple terms, on each of the Park and Ride sites, a solar canopy would be erected over approximately 100 parking spaces, providing space for 1,400 m² of solar panels. This canopy is an elevated structure – essentially a roof below which cars can still park – with solar panels on the top. Adjacent to the canopy, but not on land currently used for parking, there would be an energy storage facility – a battery. At each site there would also be eight charging points for electric vehicles. Electricity generated by the solar panels would be used to hyper charge vehicles plugged in to the charging points. Electricity not used immediately would be stored in the battery.



17. Above is an image of what the solar canopies would look like. The canopies would use the free space immediately above the vehicles to harvest solar energy to the site. Batteries would then store the electricity,

providing it either to hyper charge electric vehicles when plugged in, or feeding it into the UK electricity grid.

18. The image below shows how Monks Cross Park and Ride currently looks. The boxes on the image represent where the different elements would be located. The purple area is where the solar canopy would be located over 100 of the parking spaces (as discussed, above, this equates to an area of 1400 m²)



19. Using a canopy demonstrates a further good use of space in the Park and Ride site. Park and Ride is our existing approach to minimising private car journeys into York. The Park and Ride sites are being proposed for Hyper hubs because they are large sites, well connected to the road network, under Council ownership, and connected to the UK

electricity grid. A further benefit is that electric buses are increasingly being used for routes from the Park & Ride sites.

20. Solar panels are constantly evolving, and the precise details of output will depend on the specification provided by the supplier following procurement. However at current output levels, the 1400m² array of panels per site would produce an output of approximately 215,000 kWh per site per year – 430,000 kWh per annum in total for the project.
21. From a technology perspective, the aim of the Hyper Hubs project is to integrate the existing technologies of electric vehicles, solar voltaic panels and battery storage systems to achieve a new and innovative approach to low carbon energy and transport.
22. This will be achieved through the use of renewable energy generation and energy storage to harvest, store, and manage the supply of energy to electric cars via high powered DC ‘Hyper’ charge points. These ‘direct current’ DC charge points supply current at the smooth and constant voltage required for battery charging. This supply of renewable electricity will reduce and mitigate the reliance of electric vehicles on the UK electricity grid.
23. While the UK national electricity grid has sufficient power capability currently for the demands of electric cars, designing a means of mitigating peak power demand from the grid will help to reduce the need for future grid infrastructure investment on a local level and reduce carbon intensity of the supply of energy in the transport sector.
24. The electric vehicle infrastructure element of the project is to purchase and install the DC ‘hyper’ charging points (faster than current ‘rapid’ charge speed points at 50kW) which will supply the energy to the vehicles. These will be installed in a Hub of eight car bays which can supply up to **150kW** power output per car, with a typical charging session taking 10-20 minutes. By way of comparison, a typical home charging point takes around eight hours to charge an electric vehicle.
25. The Park and Ride sites identified will be running electric buses and will have four dual outlet DC Hyper charge points for cars and taxis to use which will enable the number of low carbon vehicles to increase. The solar PV installation will be designed to fit the layout of the sites. Both sites have a south facing semi-circle layout which will allow the sun to be tracked.

26. Each site will have 1,400m² of solar canopies providing 200kW of solar generation, with 200kWh of energy storage in 2019. These will use type approved invertors to supply electricity to the hyper chargers, and any excess energy can be exported to the local grid. To clarify, by using an energy storage device, the grid exports are aimed to be minimal i.e. by allowing the vehicles charging to predominantly use the electricity harvested on site.
27. A typically electric vehicle will have between 30kWh and 100kWh of battery capacity. Most vehicles will be able to travel 4~5 miles per kWh. A typical charging session on a 150kW charger would give ~200 miles range in 20 minutes depending on the battery pack's initial state of charge. This is a significant improvement on early generation EVs both in terms of battery capacity, and rate of refuelling. This provides an attractive alternative to the use of petrol or diesel vehicles given there is a substantial cost saving to be made through the use of electricity as a fuel e.g. 2.5p per mile for electricity, compared with 12p per mile for diesel.
28. In terms of the operation of the Hyper hubs, an EV will enter the EV charging point area (as identified in the Monks Cross plan above) and use the rapid charging point until they have the required charge. This will take around 10-20 minutes. Once they are done they will move from the area and park at the Park and Ride or proceed on their journey. In principle the charging bays will not be available as parking spaces.
29. An important element of the project will be testing and adapting to user behaviour in terms of the usage of the Hyper hubs and the project team will build an evidence base over time to inform future use. This adaptability will allow the council to flex its procedures to ensure that the Hyper hubs are used to their optimal level and will meet user need.
30. Early work to consult and develop the council's overarching EV strategy and usage procedures will be undertaken in the summer and presented to Members later in 2019.
31. The landscape for EV charging will change as the market is exercised by projects like this one and it may be in future years the approach differs from the approach in this project, but the long term benefit of harvesting solar energy and storing to feed into York's sustainable energy offer will remain.

Procurement

32. The delivery of these projects will be project managed by City of York Council with suppliers and contractors appointed for the infrastructure works. This will be managed by contract with a consortium of suppliers created to assist with the integration of these technologies and wider industries. City of York Council has already developed experience with the project management of solar and energy storage devices, having participated in an Innovate UK trial in 2016/17.
33. The supply of goods and installation services will be procured in accordance with the Public Contracts Regulations 2015 and the Council's Contract Procedure Rules. Officers from Procurement Services and Legal Services will be on the project team.

Benefits

34. The Hyper hubs will achieve direct benefits for electric vehicle drivers such as taxi drivers, business users, and private car owners in York by providing the infrastructure to enable the transition away from carbon intensive fuels. The Hyper Hubs will not be restricted to certain businesses or groups but will be accessible to all.
35. The Hyper Hubs will provide an alternative for electric vehicles drivers who do not have domestic off-street parking to permit trickle charge overnight. Drivers will have a quality alternative to off street charging which provides familiarity with the petrol forecourt method of refuelling. Each Hyper Hub is intended to be able to accommodate up to 200 car users per day.
36. Businesses will benefit by being able to move away from fossil fuels for transport. For example, taxis can switch to electric vehicles thus achieving lower fuel costs and cleaner air. Businesses and organisations which use cars and vans for fleet travel e.g. NHS can use the fast charging capability to refuel midway through the day and increase the range of fleet vehicles.
37. Lack of off-street parking is a significant barrier to the uptake of EVs (electric vehicles), as the prevailing model involves charging vehicles overnight on a trickle charge through a domestic unit on off-street parking locations. This is a particular issue in York because we have a high level of terraced housing with no off-street parking. The supply of low carbon energy Hyper Hubs helps provide a quality alternative to installing expensive individual charge points in constrained city centre areas where only a grid supply exists and there is little off-street parking.

38. Additionally, there will be indirect benefits achieved by improved health and wellbeing for residents and visitors to the city. Reduced air pollution levels as a result of the increased uptake of electric vehicles. Further indirect benefits will be through improving the energy resilience of the transport network by reducing the need for electricity to be supplied through the high voltage national grid network.

ERDF outputs

39. The Hyper hubs project supports priority 4e (with complementary support for IP4a) - Promoting low-carbon strategies for all types of territories, in particular for urban areas, including the promotion of sustainable multimodal urban mobility and mitigation-relevant adaptation measures.

40. The project will support:

- Investment in renewable energy; combined heat and power from renewable sources
- Diversification of energy sources and smart energy distribution through smart grids
- Investment in smart, sustainable urban transport including solving system integration solutions
- Innovation and investment in encouraging the adoption of renewable technologies
- Cut emissions
- Innovative transport pricing
- Energy storage and transmission systems
- A change in behaviours for end users switching to renewable energy sources, reduced carbon footprint and emissions, and a cleaner environment.

Finance summary

41. The estimated cost of the scheme above, with contingency, is £1.5m.

Funding source	Note	Value
Office of Low Emission Vehicles	Awarded to the council for Go Ultra Low scheme – Rapid charging points	£800k
European Regional Development Funding	The subject of this report. This is the additional funding for the Solar Canopy and the battery storage. This is subject to the signing of Legal agreements.	£700k

42. It is important to note that the Council will comply with the conditions of the award of ERDF funding and have capacity within the Smart Transport team in order to administer the funding and ensure that all activity is compliant.

43. If any additional resource is required to deliver the project this will be absorbed into existing structures and budgets.

Options

44. **Option 1** is to approve to proceed with the extended project (with Solar Canopy and battery storage) to provide a more sustainable solution for charging of EVs in the City and to accelerate the market in terms of rapid charging provision.

45. **Option 2** is to proceed to build rapid charging hubs (with the OLEV funding already secured) and rely on energy take from the national grid.

Analysis

46. **Option 1** is the preferred option as it will deliver on the Council's sustainability ambitions.

Council Plan

47. The Hyper hubs project will deliver outcomes which contribute directly to the following objectives in the Council Plan 2015-19.

A prosperous city for all

- Local businesses can thrive
- Efficient and affordable transport links enable residents and businesses to access key services and opportunities
- Environmental Sustainability underpins everything we do
- Visitors, businesses and residents are impressed with the quality of our city.

Implications

- **Financial**
See paragraphs 36 – 38 of the report.
- **Human Resources (HR)**
None
- **One Planet Council / Equalities**
The project will deliver against sustainability outcomes and equalities impacts will be assessed as the project develops.

Legal

48. Funding Agreement

The ERDF funding is predicated on the council proceeding with the project as described in the body of this report. This being solar harvesting, battery storage and rapid charging for electric vehicles.

49. Procurement

The supply of goods and installation services will be procured in accordance with the provision of the Public Contracts Regulations 2015 and the Council's Contract Procedure Rules.

50. Property

The sites are currently leased to First Bus plc and so consideration will need to be given to the terms of the leases to ensure the hubs can be erected on site. In addition, some of the sites are bound by covenants limiting the use of the sites so these will also need to be considered as part of the project.

- **Crime and Disorder**
None
- **Information Technology (IT)**
None at this stage. The Head of ICT will be consulted during the design phase.
- **Property**
Property services have been consulted on the basic proposals and the implications on power, etc. A representative will be on the project team.

Risk Management

51. As with all leading edge technology projects there is a risk that the technology implemented is overtaken by new technologies, systems and approaches. In order to mitigate this, the council has built into the sustainable transport structure the capability to support the project management and engagement with suppliers. The project is, at an early stage, engaging with experts in the industry to de-risk the adoption of technology solutions.
52. Securing consent for the Solar panels and storage is critical to the projects environmental outcomes. The Park and Ride sites have been selected for their geographic locations and also as there was always an ambition to implement further sustainable transport innovations at these locations.

Contact Details

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Chief Officer Responsible for the report:

Neil Ferris
Director of Economy and Place

Report **Date** 5/3/19
Approved

Specialist Implications Officer(s) List information for all

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Cathryn Moore
Legal Manager Projects
01904 552487

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

For further information please contact the author of the report

List of Abbreviations Used in this Report

OLEV – Office for Low Emission Vehicles
ERDF – European Regional Development Fund
EV – Electric Vehicle
ULEV – Ultra Low Emission Vehicles

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Executive**18 March 2019**

Report of the Chief Executive

Internal Audit**Purpose of Report**

1. This report seeks approval for a new contract for internal audit and counter fraud services for the period 2020-30.

Recommendation

2. Executive is asked to:
 - i. Agree to enter into a new 10 year contract with Veritau, with an option to extend for a further 5 years
 - ii. Agree the outline service specification as set out in annex 1

Reason for recommendation:

To provide a value for money internal audit and counter fraud function to the Council.

Background

3. The Public Sector Internal Audit Standards (PSIAS) define internal audit is an independent, objective assurance and consulting activity designed to add value and improve an organisation's operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes.
4. The PSIAS go on further to outline a number of core principles that should be present in any internal audit function:
 - i. Demonstrates integrity.
 - ii. Demonstrates competence and due professional care.
 - iii. Is objective and free from undue influence (independent).
 - iv. Aligns with the strategies, objectives, and risks of the organisation.
 - v. Is appropriately positioned and adequately resourced.
 - vi. Demonstrates quality and continuous improvement.

- vii. Communicates effectively.
5. In 2009 the Council decided to deliver internal audit and related assurance services through a company, jointly owned with North Yorkshire County Council. Veritau Limited was formed in 2009 by both Councils to share internal audit, counter fraud and information governance services between the councils. The arrangement addressed a number of concerns around capacity for providing effective services in-house, including cost of services, ability to respond to changing service delivery models and recruitment and retention of high quality audit staff. It also delivered a number of other advantages, which are set out in the analysis section of the report. Each council has a 50% share in the company. The company established a subsidiary company in 2012, Veritau North Yorkshire (VNY). VNY is owned by Veritau and four of the North Yorkshire District Councils. The combined group operates as a single business.
6. The council no longer buys information governance services from Veritau, so the main services provided are internal audit and counter fraud. The original contract was for 10 years (with options to extend by a further five years) and was due to end on 31 March 2019. In March 2018 the Chief Executive made an officer decision to extend the contract by 1 year to take the Council through to 31 March 2020.
7. Veritau was formed for the primary purpose of delivering and enhancing assurance services provided to the shareholding councils. To fulfil this aim the council relies upon the Teckal exemption which enables us to procure these services directly from Veritau without tendering. This also enables control over the delivery of services. The new arrangement would continue to comply with Teckal arrangements as set out in the Public Contracts Regulations 2015.

Consultation

8. This report has been considered by Audit and Governance Committee on 5th December 2018 and 6th February 2019. Members of the committee requested further information which is now included in this report. Specifically they requested further analysis of the following;
 - i. Costs and implications of alternative options
 - ii. Results of the external assessment of internal audit
 - iii. Management arrangements at other councils and
 - iv. Further justification and consideration of the proposed contract length.

9. Some Members still had concerns about the close relationship between Veritau and the S151 Officer. However it was explained that having a good working relationship with internal audit was crucially important to the S151 Officer in meeting their statutory obligations. Some Members also stated that they would be more comfortable with a shorter contract but on balance the Committee agreed that 10+5 was reasonable.
10. The Committee resolved that, with the inclusion of the additional information they requested to be in the report, they were content for the report to progress to Executive.

Analysis

11. Proposals for sharing assurance services between City of York Council and North Yorkshire County Council were first suggested in 2007. A number of options for the delivery of a shared service were explored and in 2009 the Executive at each council approved the formation of Veritau Limited, and the transfer of services and staff to the company.
12. There were a number of drivers for the change, and benefits in sharing services. These included the following.
 - i. Increased security of service provision including resilience and capacity: the teams at both councils had experienced problems filling vacancies in professional assurance roles. Combining the services across a bigger team enabled resource pressures to be spread and the risks to be more effectively managed. The combined team is better placed to manage issues caused by staff vacancies and unexpected service demands. It also gives greater flexibility to respond to changing priorities, initiatives and new working practices dictated by professional standards. Reliance on key members of staff for the delivery of services had also been an issue and the new arrangement improved the scope to manage succession planning and mitigate risks around service continuity.
 - ii. Achievement of economies of scale by sharing overheads and reducing unproductive time: for example, through reducing overall management overheads, using a single audit management IT system and combining procedures. The councils recognised the need to improve the quality of services and making efficiency savings through sharing services and reinvesting this in the team was a way to achieve this. It also enabled effectiveness to be increased by sharing best practice and developing

expertise which could be shared across sites for example through the development of common approaches to audits.

- iii. Enhanced focus on service delivery and quality through the development of a dedicated professional services function with a separate identity, and a vision and brand linked to the delivery of high quality assurance services.
- iv. Greater staff satisfaction and retention as a result of enhanced career opportunities and the ability of staff to specialise and gain broader experience as part of a larger team.
- v. A greater opportunity to develop specialist knowledge within the company and reduce reliance on expensive bought-in services (for example IT audit). This was not possible within the smaller teams operated by each council.
- vi. A more innovative approach, which could generate improvements by being given greater flexibility in managing services.

13. The formation of a company controlled by the council was the preferred option as it achieved a number of key aims.

- i. It enabled each council to exercise a high degree of control and influence over the services in the future.
- ii. By maintaining control, it enabled them to be satisfied that the company would continue to provide sufficient and continuing access to the services.
- iii. It represented a genuinely equal partnership between the councils.

Success of company model

14. The company model for sharing services has achieved the aims set out in the original business case and has delivered the expected benefits, as set out below.

15. Veritau was one of the first shared assurance services partnerships nationally. As financial pressures on councils have continued to grow over the last eight years, many in-house internal audit teams have faced reductions in their resources. In some cases, to levels which threaten their ability to deliver a service which meets statutory requirements - particularly at smaller councils. Nationally, more local authorities are joining shared service arrangements as a

way to manage this risk. This approach has also been replicated by central government which has established a single shared service for internal audit. Councils have also had their capacity to investigate fraud significantly reduced since the transfer of benefit investigation services to the DWP as part of the Single Fraud Investigation Service Initiative. In their 2016 Counter Fraud and Corruption Tracker, Cipfa reported that 10% of the public sector organisations they had surveyed (mainly local authorities) had no dedicated counter fraud resource.

16. Similar pressures faced by the shareholding councils have led to reductions in the level of service required from Veritau since it formed. For example, the level of service provided to NYCC and CYC by Veritau Limited has fallen by 25% since 2009, across the range of service areas. The company has been able to manage this reduction in demand whilst still maintaining professional standards and high levels of customer satisfaction. This is possible because as a larger entity it has been able to absorb the reductions through:
 - i. varying the numbers of employees engaged in service delivery across each client and targeting the mix of services most needed by the clients (for example to meet increases in demand for information governance and counter fraud services across a number of councils)
 - ii. selling services to external clients to maintain and expand the overall size of the business - this ensures that the overall infrastructure needed to maintain high quality services can continue to be supported.

17. As a larger entity, the group has also been able to manage short term fluctuations in demand and resource pressures. For example those caused by employee absences or requests for additional work. Veritau employees work across multiple sites and are moved around as needed to meet the demand for work.

18. The company model provides economies of scale across a range of areas. A number of examples are set out below.
 - i. A low ratio of management and administration overheads to direct costs compared to smaller in-house teams.
 - ii. Common IT audit and fraud management systems in use across all clients - the use of remote access means that systems can be accessed from any site.
 - iii. Unified procedures are in place for the delivery of services as far as possible. This means that employees can undertake work interchangeably at all sites. It also means that changes in practice can

be managed centrally - for example updates required to reflect changes in internal audit standards.

- iv. Common work programmes are used across clients where possible, which makes delivery of work more efficient.

19. Undertaking work across a number of organisations has also brought other benefits. For example auditors that have developed knowledge and expertise in a specific service area at one site are used to undertake work more effectively at other clients. Veritau is also able to support the sharing of knowledge and good practice across clients where appropriate.
20. Veritau has developed a strong and growing identity as a public sector assurance services provider. When first formed, the company inherited five contracts to provide internal audit services to external bodies. These organisations were all based in the North Yorkshire area. Veritau currently provides services to more than 20 public sector bodies, including work in the North West and the Midlands. Veritau is often approached by other councils to undertake audit assignments, often of a complex or sensitive nature.
21. In 2010, Veritau was awarded the Cliff Nicholson award for Excellence in Public Service Audit by Cipfa in recognition of its innovative approach to sharing services.
22. Since then, Veritau has also been shortlisted on a number of occasions for innovation and excellence awards by Public Finance and the Institute of Revenues Rating and Valuation (IRRV).
23. Recruitment and retention continues to be an issue across the range of Veritau services. As a Teckal company, pay structures are closely aligned to local government rates. This presents a challenge as pay rates in the wider private sector are often significantly higher for similar roles. To help address this, the company places a strong emphasis on being a good employer and uses the flexibility it has as a private company to make it attractive to current and prospective staff. For example:
 - i. The group has been accredited as an investor in people since June 2011.
 - ii. The company operates a performance related pay scheme which offers all employees an opportunity to earn additional pay as a reward for good performance.
 - iii. The company offers a high degree of flexibility around working patterns and home working.

- iv. The company offers a choice of pension provision.
- v. The client base and range of services offers staff the opportunity to gain wider experience in different organisations and areas.
- vi. The company invests a significant amount in training and development - professional training is a particular strength.

24. To address issues with recruiting qualified professional staff (one of the drivers for forming Veritau) the group has taken an innovative approach based on the recruitment and internal development of graduate trainees across each service area. Veritau makes a significant investment in professional training - an option not generally available to smaller in-house teams. Bringing in talented trainees on a regular basis helps to maintain a sufficient level of well trained professional staff able to meet the demand for services. As noted above, Veritau's approach to professional training has been recognised by Public Finance and the IRRV for its framework for training and developing staff. A number of former trainees have progressed into senior roles in the company. Veritau has also developed an aspiring manager programme, offering management development opportunities. The first new assistant manager was appointed under this programme in September 2018.

25. In addition to professional training, the company offers opportunities for staff to undertake training in specialist areas. Historically, reliance was placed on expensive bought in support to provide IT audit work at some clients. Over the last few years the company has targeted IT audit training internally and has been able to bring this work in-house. While retention of specialist staff is an issue (because they are attractive to other employers) the group is aiming to address this by increasing capacity and training. A specialist IT audit trainee was appointed in 2017 and training is being provided to a number of other employees.

26. Counter fraud is an area where the company has been particularly innovative. The counter fraud team inherited by Veritau from City of York Council in 2009 was principally a benefit fraud service. Since then the fraud team at Veritau has sought to diversify by broadening the range of investigations undertaken and transforming the service into a corporate fraud team. In its former role as a benefit fraud team, there was little scope to directly support councils through reducing losses - councils lost subsidy on benefit fraud overpayments and in most cases, customers were unable to pay overpayments identified.

27. Focussing on other types of fraud affecting councils has meant that the team can concentrate on cases which make real savings. The level of benefit fraud

investigated fell steadily between 2011 and March 2016, when responsibility for investigation transferred to the DWP. The change in focus has resulted in increases in real cash savings identified as a result of counter fraud work. In the last two years, counter fraud activity has yielded cash savings of £347k (2016/17) and £298k (2017/18) for the council. For 2018/19 (up to 30 September 2018) savings of £216k have been realised.

28. In accordance with the relevant auditing standards, the council must regularly review the effectiveness of its internal audit function. This review has recently been completed and the outcome reported to Audit & Governance Committee in February 2019. The review identified many positive observations and recommended some areas for further consideration. However, overall no concerns were raised regarding the performance of Veritau.

Value for Money

29. Charges for services to the member councils are based on a day rate - which is industry wide practice for this type of work. Rates have remained competitive since the creation of the company. In 2009/10 (the first year of operation) the rate charged was £225 per day. For 2018/19, the rate is £249 per day - an increase of only £24 per day (10.7%). Over the same period, CPI has risen by 22.6%.

30. In the latest benchmarking information available from Cipfa, the average cost of internal audit per chargeable day for the local authorities taking part in the exercise was £300. In 2017/18 further benchmarking was undertaken with a number of other providers who are part of the Audit Together shared services network. This identified a range of costs from £265 up to £301 that were directly comparable to the £244 per day charged by Veritau last year.

The proposal

31. Officers have reviewed the Councils requirements from its internal audit and counter fraud service and a draft specification is included as an annex to this report. The specification has been written to reflect the current operating context and the requirement for the Council to continue to improve and enhance the services concerned.

32. The key points in the service specification include:

- i. key performance indicators that can be monitored throughout the life of the contract

- ii. Ongoing delivery of efficiency savings
- iii. Maintaining a strong client relationship
- iv. Continued representation on the Veritau board.

33. Where appropriate, the targets to achieve have been increased from the current contractual arrangements to ensure the Council continues to receive timely and accurate reports that add real value.

34. The benchmarking with other councils included looking at management arrangements. Of the 70 councils examined, 26 had a shared service, 41 had an internal team and 3 used an external provider. Of the councils with a shared service they all had similar arrangements to the council in that they reported to the s151 officer, except 1 where the reporting line was direct to the Chief Executive.

35. It is proposed to agree a new 10 + 5 year contract with Veritau. Benchmarking with other shared services has identified that there is no particular standard or usual contract length. Of the 12 shared service models examined, 9 either had no time limit or were on rolling agreements and the remaining 3 had agreements for either 3, 5 or 6 years all with options to extend. The 10 + 5 agreement is therefore proposed both to be consistent with the other councils within the current shared service and to give Veritau, as a small local supplier, some certainty and to allow the company to plan business activity. It is worth noting that the council can withdraw from the service at any time by giving 12 months notice.

36. The company will continue to be held accountable by the Council Shareholder Committee, reporting the business plan and budget for the year ahead and the outturn position by presenting its accounts to the Committee.

Options

37. A number of different options have been considered and are set out in the table below.

	Option	Costs	Advantages / disadvantages
1	Continue with Veritau model – recommended option	£500k	<u>Advantages</u> <ul style="list-style-type: none"> • Service resilience and capacity • Economies of scale • Quality of service delivery

			<ul style="list-style-type: none"> • Access to wider / specialist resources • Control over service through shared ownership of company <p><u>Disadvantages</u></p> <ul style="list-style-type: none"> • There is a view that the provision of internal audit through this delivery model may give rise to conflicts of interest
2	In house service – the problems originally sought to be addressed through the shared service will continue to exist. It would also not be possible for the council to maintain the same level and quality of service without increasing cost.	Approx £650k plus implementation costs estimated at £250k	<p><u>Advantages</u></p> <ul style="list-style-type: none"> • Quality of service delivery • Scope of service easily changed <p><u>Disadvantages</u></p> <ul style="list-style-type: none"> • Increased cost • Lack of resilience • Likely to be more difficult to recruit & retain staff in smaller team • Access to specialist resources limited • Reduced opportunity to share knowledge / experience with neighbouring councils • Cost of implementation (purchase of IT system, HR and legal costs, TUPE etc.)
3	Seek another vehicle for delivery of shared service - The options for delivery of the service remain broadly the same as when Veritau was created and the arguments for maintaining the company model remain valid. The other member councils all remain committed to the Veritau model	£500k plus implementation costs estimated at £150k	<p><u>Advantages</u></p> <ul style="list-style-type: none"> • Service resilience and capacity • Economies of scale • Quality of service delivery • Access to wider / specialist resources <p><u>Disadvantages</u></p>

			<ul style="list-style-type: none"> • Risks to stability of current arrangements • Any changes in scope of service would require contractual negotiation • Continuity of staffing not guaranteed • Increased ongoing cost • Significant costs in winding up, negotiating and creating a new vehicle with the other member councils • Cost of implementation (HR, legal costs, TUPE etc.)
4	Procure external service provider	Approx £540k plus implementation costs estimated at £150k	<p><u>Advantages</u></p> <ul style="list-style-type: none"> • Service resilience and capacity • Economies of scale • Quality of service delivery • Access to wider / specialist resources <p><u>Disadvantages</u></p> <ul style="list-style-type: none"> • Continuity of staffing not guaranteed • Increased ongoing cost • Cost of implementation (tendering, TUPE, etc) • Any changes in scope would require changes to contract • Less certainty over costs in longer term • Lack of control over service

38. Options 2, 3 and 4 have been discounted on the basis of additional cost (for which budget would need to be identified) and disruption to service. As outlined in paragraphs 27 to 28 the benchmarking of other audit services demonstrates that the charges from Veritau are already competitive. It is considered that any procurement exercise would not drive out further value.

Council Plan

39. The work of internal audit and counter fraud helps to support our overall aims and priorities by promoting probity, integrity and accountability and by helping to make the council a more effective organisation.

Implications

Financial Implications

40. The annual budget for internal audit and fraud services is £500k and the service specification outlined in annex 1 can be delivered within this approved budget. This is less than the estimated cost of the alternative options outlined above.
41. It is difficult to accurately cost the alternative options outlined in paragraph 33, as there are many different factors and possible outcomes to consider. The costs are therefore broad estimates based on informal discussions with Councils who currently use external providers, knowledge of rates charged elsewhere and assuming a similar level of service to that currently received. In addition to the ongoing costs included in the table above, there would also need to be a period of dual running with an in house team and Veritau to allow for a proper handover, along with costs of buying an internal audit ICT system and other set up costs. Overall, it is difficult to see how this could be delivered within current resources and therefore additional budget would need to be identified to cover the set up and transition costs. In addition, there would be legal costs associated with the transfer arrangements of Veritau staff into the Council.
42. As outlined in paragraphs 27 and 28, the current arrangements are very cost effective. The average paid by other Councils is some 20% higher than our current costs. Therefore seeking an alternative service delivery vehicle is unlikely to deliver any cost savings but would have the added cost of re procurement.

Human Resources (HR)

43. There are no HR implications if the recommended option is agreed. Under options 2, 3 and 4 TUPE would apply and this would result in uncertainty for staff and potential disruption to service delivery.

Legal

44. The Council can make a direct award to Veritau Ltd without undergoing a procurement process while it remains a Teckal compliant company. This requires the Council to exercise similar control over the company as it does over its own departments, that at least 80% of the activities of the company are those entrusted to it by the shareholding Councils and that there is no direct capital participation from the private sector in Veritau. The alternative proposals would all require some legal resource to extract the council from the Veritau company structure along with support to procure a new supplier.

Other

45. There are no other One Planet Council, equalities, crime and disorder, information technology, property or other implications.

Risk Management

46. An assessment of risks has been completed and there are no significant risks to highlight.

Contact Details

Author:	Chief Officer responsible for the report:		
Debbie Mitchell Finance & Procurement Manager Ext 4161	Mary Weastell Chief Executive		
	Report Approved	✓	Date 4 March 2019
Wards Affected: All			
<i>For further information please contact the author of the report</i>			

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Service Specification

Address of Parties

Veritau – registered office is at West Offices, Station Rise, York, YO1 6GA

City of York Council - West Offices, Station Rise, York, YO1 6GA

Services and Service Levels

Internal Audit Services (Core Service)

To provide an internal audit service in accordance with the Public Sector Internal Audit Standards and CYC's Audit Charter. The service will comprise an annual programme of work agreed by the council's s151 Officer and approved by the Audit and Governance Committee (or equivalent). The programme of work will include follow up reviews and other assurance related activities. Changes to the programme of work during the year will be agreed by the s151 Officer and reported to the Audit and Governance Committee (or equivalent). The results of internal audit work will be reported to senior management and the Audit and Governance Committee in accordance with agreed protocols.

To provide advice, guidance and training on governance and control related matters to CYC officers and Members.

To support officers in the maintenance and update of codes and policies associated with the council's framework of governance and control (as required).

To attend and contribute to corporate and directorate working groups (as required).

To undertake investigations, reviews and such other work as instructed by the council's s151 Officer or his/her nominated representative.

Counter Fraud Services (Core Service)

To provide a counter fraud service. The service will comprise an annual programme of work agreed by the council's s151 Officer and approved by the Audit and Governance Committee (or equivalent). The programme of work will include proactive exercises to identify possible fraud and the investigation of suspected fraud cases referred to the company. This will include local and national data matching exercises.

To support officers in the maintenance and update of the council's counter fraud policies (as required).

To provide advice, guidance and training to CYC officers and Members on measures to manage the risk of fraud and corruption.

To undertake a programme of activities to raise awareness of fraud issues amongst staff and the public. Activities will include targeted fraud awareness training and organising counter fraud publicity (both internal and external).

Other Assurance Related Services

The Council may request other related assurance services (including Information Governance and Risk Management support services) from Veritau on an ad-hoc basis. The scope and duration of the work will be agreed by the client officer in advance.

As outlined in the key performance indicators section below, annual targets will be agreed by the s151 Officer and reported to the Audit and Governance Committee (or equivalent).

Notices

City of York Council - West Offices, Station Rise, York, YO1 6GA

For the attention of Debbie Mitchell – Corporate Finance and Commercial Procurement Manager

Veritau – registered office is at West Offices, Station Rise, York, YO1 6GA

For the attention of Max Thomas – Director and Head of Internal Audit

Pricing

Part 1 - Fees

The Fees for the Service are calculated as follows:

Each year the annual fee will be calculated by reference to the agreed programme of work for core services (expressed in days) multiplied by the agreed daily fee rate.

The daily fee rate will be agreed by the s151 Officer or his/her nominated representative at the start of each financial year. The daily fee rate may be increased annually to reflect changes in the rate of inflation and/or the local government pay award.

In addition to the Core Services, the s151 Officer or his/her nominated representative may commission additional services from the company. The daily fee rate will apply to any additional services provided. The basis for calculating the charge will be agreed in advance (and may include a fixed fee or a variable charge based on the volume of work).

Part 2 – Payment

The annual fee for the Service will be invoiced in 4 equal instalments, quarterly in advance.

Additional fees will be invoiced separately once the work is completed.

The fees referred to in Part 1 are exclusive of VAT.

Key Performance Indicators

The following are indicative for year 1 (2020/21). Updated performance indicators will be agreed on an annual basis to ensure continued performance and to reflect any changes in Public Sector Audit Standards.

- Agreement of the Internal Audit Plan and work programme by 30th April each year prior to approval by Audit & Governance Committee
- To deliver 93% of the agreed Internal Audit Plan [increased from 90%]

- To achieve a positive customer satisfaction rating of 95%
- In the case of essential audit recommendations, support the Council to ensure that 95% are implemented [increased from 90%]
- Ensure any requests for advice receive an initial response within 5 working days
- Ensure that at least 30% of investigations completed result in a positive outcome (management action, benefit stopped or amended, sanction or prosecution)
- To identify actual fraud savings of £200k (quantifiable savings)
- Agreement of the Counter Fraud Plan and programme of work by 30th April each year, prior to approval by Audit & Governance Committee. The Counter Fraud Strategy must include a list of key policies and a schedule of their review dates.

Reporting requirements

Veritau will report to the Council Shareholder Committee at least twice a year to cover the approval of both the annual business plan and the year end outturn report.

The following reports will also be presented to Audit & Governance Committee on a regular basis:

- Consultation on annual audit work plan
- Regular progress reports
- Reports of progress made by the council in implementing action agreed to address control weaknesses
- Annual report of the Head of Internal Audit
- Annual updates of counter fraud policy framework and counter fraud risk assessment

Regular contract monitoring meetings will be held with the section 151 officer, or the deputy section 151 officer as appropriate.

Veritau will endeavour to meet any reasonable requests for further information or additional reporting requirements.

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Executive**18 March 2019**

Report of the Health, Housing and Adult and Social Care Policy and Scrutiny Committee

Substance Misuse Scrutiny Review Final Report – Cover report**Introduction**

1. This cover report presents the final report (Appendix 1) from the Substance Misuse Scrutiny Review and asks the Executive to consider the recommendations arising from the review.
2. In considering the recommendations the Executive are asked to take into account the response of the Director of Public Health set out at paragraph 7 and additional financial and equalities implications at paragraphs 9 and 10.

Recommendation

3. Having considered the final report at Appendix 1 the Executive is asked to consider the recommendations set it out in paragraph 6 below.

Reason: To conclude the Scrutiny Review in line with CYC Scrutiny procedures and protocols.

Background

4. In April 2018 the Health, Housing and Adult and Social Care Policy and Scrutiny Committee received a topic review request from Cllr Pavlovic to look at the potential impact and outcomes of the Substance Misuse (Drug and Alcohol) contract under a reduced budget and to consider the implications on service delivery.
5. In June 2018, after considering a scoping report presented by officers, the Committee agreed this was a topic worthy of review and that a Task Group consisting of Cllr Pavlovic, Cllr Cuthbertson and Cllr Richardson be appointed to carry out this work on the Committee's behalf. In October 2018 the Committee agreed the following revised remit for the review:

Remit

Aim

To identify the potential impact of planned budget reductions in alcohol services on current service users, future users and the public.

Objectives:

- i. To investigate the impact of the proposed changes to alcohol service provision.
- ii. To investigate the current use of the public health grant to support the required functions around alcohol services.
- iii. Investigate and analyse the whole system of treatment for alcohol service users beyond the contracted specialist service.

Consultation

6. Over a series of meetings the Task Group consulted with the University of York, Vale of York Clinical Commissioning Group (CCG), GPs, York Teaching Hospital NHS Foundation Trust, the police, probation services, a City of York Council (CYC) Public Health Practitioner, a CYC Finance Officer and Changing Lives. The information the Task Group gathered resulted in the review recommendations below.

Review Recommendations

7. The final report arising from their review was presented to the full Health, Housing and Adult and Social Care Policy and Scrutiny Committee in early February and the Committee agreed to endorse the Task Group's recommendations as listed below:
 - i. The financial cut to the substance misuse budget should be re-assessed with immediate effect, with the intention of returning funding to substance misuse provision, and that this include a review of the current budget for 2018-19, highlighting any changes for 2019-20 accompanied with a rationale and clear risk assessment.

- ii. Future proposals for changes to the funding available to provide Public Health services should be accompanied by a clear risk and impact assessment, which is also made available to Health Scrutiny. Scrutiny should receive regular detailed updates on changes to mandated and prescribed Public Health functions.
- iii. The needs assessment for the range of alcohol service provision should be reviewed, with the aim of providing a user-friendly and accessible document which can easily be understood by non-specialists. This assessment should enable the Council to make informed decisions around the needs of York residents and tailor future service provision to meet this need.
- iv. To meet the needs of residents with multiple complex needs, we recommend partners adopt a joint commissioning approach across a range of specialist areas so as to produce a joined-up wrap-around support network; such an approach should be led by the Director of Public Health. It should include the CCG, CYC, North Yorkshire Police, Office of the Police and Crime Commissioner (OPCC) and CYC Adult Social Care. The approach should also involve a range of commissioned delivery partners such as Mental Health (TEWV), primary care (GPs), secondary care (hospitals, liver unit, A&E, ambulance service), the Probation Service, specialist substance misuse services, housing, Making Every Adult Matter (MEAM), Pathways, Salvation Army and voluntary sector community groups.
- v. In order to implement such an approach, we recommend a senior commissioning level strategic group be convened, facilitated by the Director of Public Health, to provide a cohesive approach. This should include the pooling of budgets for joint commissioning. The aim should be to meet needs in one single joined-up service offer rather than a patchwork approach to provision. A proposed model for a *York Substance Misuse Commissioning Strategy Board* can be found in Annex I to the Final Report at Appendix 1.

Analysis

8. The Director of Public Health wishes to make the following comments in response to the recommendations:
 - i. The decision to reduce the public health budget allocation to substance misuse services was made taking into account the

priorities across all areas of public health. All public health services have had their budgets reduced since 2014/15 in response to the cuts in local authority public health grant allocations. There are significant risks to considering the investment in substance misuse services in isolation and it is strongly recommended that any additional investment should not be made at the expense of other areas of statutory public health service provision, for example sexual health, delivery of NHS Health Checks, 0 -5 child public health services. The Director of Public Health is, therefore, not in a position to support the recommendation that funding be returned to substance misuse provision on a recurring basis from the ring-fenced local authority public health grant allocation since this will have a potential financial impact on these services. It is important to note that despite the cuts in funding the Council is making progress on tackling substance misuse issues, working with our partners to improve treatment and recovery outcomes and putting in place measures to reduce the problem of discarded needles through improved distribution of needle bins and signposting to needle exchange schemes.

- ii. The scrutiny task group were led to believe that a risk assessment of the potential impact of the budget to substance misuse services was not undertaken. However I am pleased to report that this is not correct and the funding proposals for substance misuse services were based on a sound rationale, clear risk assessment and informed by a detailed Community Impact Assessment. The risks and mitigations were clearly set out in reports to Health and Adult Social Care Policy and Scrutiny Committee and Executive on 19 July 2016 and 25 August 2016 respectively. This showed that there is a potential negative impact of the reduction in the budget available for substance misuse services but this is mitigated by the approach being used for the re-procurement and proposals for development of a new service delivery model. The 'summary of risk assessment 2014/15' included as Annex F was an internal document submitted to the, then, Acting Director of Public Health which was never signed off. It is a draft document and therefore needs to be interpreted with caution.
- iii. The Director of Public Health is happy to support the recommendation that the needs assessment for the range of alcohol service provision be reviewed and published as an

accessible document that can be used to enable the Council to make informed decisions around the needs of York residents and future service provision.

- iv. There are already a number of multi-agency Strategic Partnerships across the City which include a focus on the needs of residents with multiple complex needs. Given the limited capacity in both statutory services and the voluntary sector it is proposed that further work be undertaken to establish whether there is an existing group that can take forward a more joined up approach across agencies. The Strategic Joint Commissioning Group is already established as part of the governance arrangements for the Health and Wellbeing Board. This group is comprised of senior membership from the Council and the CCG and is in the process of developing priorities for joint commissioning. It is proposed that an initial report is presented to the Health and Wellbeing Board before a decision is made to establish another strategic commissioning group with a single focus on substance misuse services.

Implications

9. In addition to the implications outlined in the final report at Appendix 1 other implications have now been identified, information on which was not available when the final report was published.

Financial :

10. On 14 February 2019, after the final report and its recommendations had been agreed by the Health, Housing and Adult Social Care Policy and Scrutiny Committee, Budget Council approved the use of £100k of funds previously set aside in a Public Health Grant Reserve, to fund one-off investment in substance misuse. This meant that agreed savings of £213k in public health expenditure, from £2,158k in 2018/19 to £1,945k in 2019/20, was reduced to £113k.
11. There are no agreed proposals for how to spend the £100k put back into the substance misuse budget for 2019/20. This decision will be made based on a business case in line with Council finance and contract procedure rules.

Equalities:

12. The Director of Public Health wishes it to be noted that a comprehensive Community Impact Assessment was completed to consider the potential

impact of the reduction in the budget for substance misuse services. This was published alongside the report to Executive on 25 August 2016 for a decision to re-procure alcohol and drug treatment and recovery services. Overall the new service was assessed as having a positive impact on equalities.

Risk Management

13. The risks associated with this review are outlined in the final report at paragraph 71. However any decision to put additional resources into substance misuse must take into account the potential negative impacts to other areas of statutory public health services provision and should not be made in isolation.

Council Plan

14. The Review directly relates to A Focus on Frontline Services priority in the Council Plan 2015-19 in that it will help ensure all residents, particularly the least advantaged, can access reliable services and community facilities.

Options

16. Having considered the final report at Appendix 1 and its associated annexes, the Executive may choose to amend and/or approve, or reject the recommendations arising from the scrutiny review.

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Report Approved **Date** 05/03/2019

Wards Affected:

All

For further information please contact the author of the report

Background Papers: None

Appendices:

Appendix 1 – Substance Misuse Review Final Report

Abbreviations

A&E- Accidents & Emergency

CYC- City of York Council

CCG – Clinical Commissioning Group

MEAM – Making Every Adult Matter

OPCC- Office of the Police and Crime Commissioner

TEWV- Tees, Esk, Wear and Valleys NHS Foundation Trust

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Health, Housing & Adult Social Care Policy & Scrutiny Committee**12 February 2019**

Report of the Substance Misuse Scrutiny Review Task Group

Substance Misuse Scrutiny Review Final Report**Summary**

1. This report presents the findings of the Task Group set up to undertake the Substance Misuse Scrutiny Review and provides information on the impact and potential outcomes of planned reductions, particularly in funding to alcohol services in York.

Background

2. At a meeting in December 2017, the Committee considered a report on the implementation of recommendations from the Public Health Grant Spending Scrutiny Review and the implications of a reduced budget in coming years were discussed by the Committee.
3. In April 2018 the Committee received a topic review request from Cllr Pavlovic (Annex A) to look at the potential impact and outcomes of the Substance Misuse (Drug and Alcohol) contract under a reduced budget and to consider the implications on service delivery. At the same meeting, the Director of Public Health gave a brief update on work already being undertaken in this area which could assist a review.
4. In June 2018 a scoping report was presented to this Committee, providing Members with data on drugs and alcohol and the current situation in York. The Committee agreed this was a topic worthy of review and that a cross party Task Group consisting of Cllr Pavlovic, Cllr Cuthbertson and Cllr Richardson be established to carry out this work on the Committee's behalf. In October 2018 this Committee agreed the following revised remit for the review:

Remit

Aim

To identify the potential impact of planned budget reductions in alcohol services on current service users, future users and the public.

Objectives:

- i. To investigate the impact of the proposed changes to alcohol service provision.
- ii. To investigate the current use of the public health grant to support the required functions around alcohol services.
- iii. Investigate and analyse the whole system of treatment for alcohol service users beyond the contracted specialist service.

Current Situation

5. The provision of alcohol and drug specialist treatment services is the legal responsibility of the Council. In York, drug and alcohol services are predominately funded from the public health grant. A small additional contribution from the Office of the Police Crime Commissioner (OPCC) covers the criminal justice element of the service.

	2017/18	2018/19	2019/20	2020/21	2021/22
	£000	£000	£000	£000	£000
Expected reduction in Grant	2.5%	2.6%	2.6%	0.0%	0.0%
Projected grant excluding 0-5 services	6,465	6,297	6,133	6,133	6,133
Proposed Substance Misuse Budget	2,310	2,210	1,998	1,860	1,835
Budget Savings	75	100	213	137	25

6. The table above shows the budget for the whole substance misuse service. The Public Health Directorate has undertaken rationalisation of fixed costs through reductions in staff, equipment, procurement and infrastructure spending. In July 2017 Changing Lives and Spectrum Community Health CIC took over the CYC contract for drug and alcohol services in York. The contract was awarded for 3 years with an option to extend by up to 4 years based on performance. The contract contained conditions that required savings of £550,000 over the first 5 years of the contract.

Consultation

7. To progress the review the Task Group has met with academics, GPs, Vale of York Clinical Commissioning Group (CCG), York Teaching Hospital NHS Foundation Trust, CYC Finance Officer, CYC Public Health Practitioner, the Police and Probation services. The Task Group also met with Changing Lives twice, once at the beginning of the process and again after meetings with all other partners had taken place.

Information gathered

8. The Task Group met with a University Research Fellow in Mental Health & Addiction and a CYC Public Health Specialist Practitioner on November 1st. The Task Group heard that Central Government support for alcohol prevention has declined in recent years due to austerity. Clinically, drinkers fall into three main groups: 'Hazardous', 'Harmful' and 'High Risk' drinkers. Harmful and High risk drinkers usually present multiple complex needs and are likely to be referred to Changing Lives.
9. Members heard that planned reductions are likely to affect access to services and key worker support for current and future users at a time of increased demand for substance misuse services. At the local level, barriers to early referrals for support services include multi-factored client issues and the Alcohol Use Disorder Identification Test (AUDIT) not being utilised consistently in GP and A&E services. In the wider context it is estimated that up to 7% of York residents (c15,000) are likely to be drinking hazardously. This

group comprises mainly high functioning individuals¹ who in time may need to access services of various kinds. A problem for York's medical and other services is that many people drinking at hazardous and harmful levels exhibit little or no motivation to seek help until they develop serious health or social problems.

10. On the 6th November the Task Group met the GP lead for Spectrum² and Changing Lives. Members were informed that referrals to services come mainly from self referrals, drop-ins or by phone; a small number of referrals come from GPs. A lot of patients find the environment and potential stigma associated with attending the service off-putting and do not attend; these are usually high functioning patients who are often still working. There is also a small pocket of high need drinkers who do not access alcohol treatment; they may slip through the net due to missed opportunities for co-ordination between services. The GP lead reported to Members a perceived rise in patients with alcohol related dementia, hypertension, stomach cancer and indigestion. It is expected that incidences of these illnesses will increase without proactive action.
11. The Task Group heard there is a general problem in society and even among medical professionals of not challenging alcohol misuse until it is too late. It was the opinion of the GP lead that harmful or hazardous drinkers may be prepared to access and respond better to an anonymous service in a GP surgery or community building separate from the formal commissioned service building. There is limited capacity for home visits to multiple complex needs patients; visits do occur but would be lessened by the planned reductions due to the impact of reduced staffing levels.
12. The GP Lead stated the impact to proposed changes will be negative for those already accessing services and access will become harder for those not accessing the service but may need it, such as high functioning drinkers who recognise they may have a problem. There is also no clear integrated service among health partners and community groups for patients with multiple complex needs.

¹ High Functioning drinkers often seem to have stable lives, they drink too much, but they may excel at work or have good relationships with family and friends.

² Spectrum Community Health CIC is a social enterprise that delivers a range of community and offender healthcare services. Spectrum works in partnership with Changing Lives to provide drug and alcohol services in York.

13. On November 7th, the Task Group met with the CYC Finance Manager and received a briefing on the Public Health Expenditure 2016-2020 (see Annex B for a breakdown of expenditure for this period).
14. Members heard that York has seen a reduction in the Public Health Grant in cash terms from last year of around 2.5%, from £8.7m to £8.5m. With inflation factored in it is more likely to be 4% or 5%. Members were told that decisions on how much is spent within the Public Health budget are primarily made by the Executive, based on officer assessments.
15. Any option to cut back Public Health services will have trade-offs. Nevertheless, opportunities can be found in joint ventures or by applying for funds for pilot projects. The wider financial issue is that there is little money in the Health Economy in York with Vale of York CCG managing a deficit, adding pressure to the Public Health budget and the overall impact of Government austerity.
16. In early November the Task Group met with the Head of Transformation and Delivery, Out of Hospital Care and the Head of Partnerships at the Vale of York CCG. The Task Group heard that alcohol has a significant impact on emergency services and unplanned care provision. They felt that there was a likelihood that pressure is likely to increase as a result of planned reductions to alcohol services in particular and substance misuse services generally.
17. Members heard that alcohol related cases centre around one-off cases (e.g. binge drinking related fighting/ accidents), violent crimes and frequent admissions. While such one-offs are a problem, repeat admissions or criminal cases are most likely to put a strain on services. The CCG would like to see interventions set up for those who present more than 4 times a month or 12 times a quarter. Such frequent users are time- and resource-consuming and there is currently limited provision to support these individuals in cutting down or ceasing to use alcohol. Other issues such as homelessness and/or mental health problems are factors in such cases. Successful interventions with these individuals would offer significant benefits to the local health and care economy.

18. It was suggested that a lack of joined up work between community groups and health partners make it difficult for the hospital in York to effectively signpost patients after treatment. Similar to what the Members heard from the GP, the Hospital is seeing significant problems with stomach and liver ailments from high functioning drinkers who are presenting very late in their illness. The CCG advised that early intervention through routine liver testing can detect early signs of problems. Gastro-intestinal and neurological diseases arising from dangerous alcohol consumption are increasing. Because better medical treatment options are available than in the past, such patients now remain a drain on medical resources for longer.
19. Members were told that alcohol related neurological conditions, such as dementia and brain damage, have social care implications and often lead to delayed transfers of care due to complexity of the care placements.
20. The CCG has been involved in interdisciplinary meetings among health professionals, but these are not formal structures and depend very much on individuals. It was suggested to members that formalising this process could figure in a long-term robust model of joined-up working.
21. There is a need for additional specialist services for high functioning drinkers; the CCG agreed with the estimate of 7% of residents likely to be drinking hazardously in York. The CCG suggested that there is a strong business case for more investment into alcohol services as it will save money in the long run.
22. On the 8th November the Task Group met with a Hepatology Consultant and a Substance Misuse Nurse both from York Teaching Hospital NHS Foundation Trust. Members were told that, due to a rise in hazardous drinkers, there is a current un-met need in alcohol treatment and support. Members again heard about the lack of both coordination and capacity among health and community partners in supporting such patients with multiple complex needs which include substance misuse.
23. Members were told of the lack of hospital staff capacity to implement preventative measures and that hospital services and partners are only able to prioritise limited resources toward people with multiple complex needs. Members heard of the significant gap

in service provision to address alcohol related harm in secondary care, resulting in increasing re-admission rates, increased length of stay and poorer outcomes for those with alcohol related problems. The witnesses' view was that the situation is likely to worsen as a result of the planned reductions - if less people can access the service until later or more progressed in their drinking patterns, the health implications are likely to be more advanced.

24. A comprehensive study on the burden of alcohol on York Emergency Department in 2013 (see Annex C), showed that some 10% (c7255) of hospital admissions from A&E were alcohol-related. Both specialists believed that these numbers are likely to be similar to the volume of alcohol related admissions seen by the hospital today.
25. Members learned that alcohol consumption is the leading cause of death among working men and has links to other health conditions, including breast cancer. Generally, the hospital is seeing more cases of ailments mentioned by the CCG, including cardiovascular diseases. Substance misuse nurses' view is that it would be helpful to provide a service of early prevention support in the community linked to hospital discharge.
26. The Task Group met a Drug Policy Specialist from the University of York on 12 November. Members heard that the greatest impact of planned reductions will likely be on alcohol services. The likelihood of some 7% of York residents drinking hazardously was acknowledged to be a fair assumption. Members were told that, if hazardous drinking is not quickly and effectively addressed, the cost and pressure on local health services in 10-15 years from now may be significant.
27. Members were informed that alcohol issues can be detected through 'Identification Brief Advice' (IBA) and 'short audits'. While research has shown varying positive results, trials showed that, on average, IBA was associated with a reduction equivalent to 5 units of alcohol per week (or 40g) in a patient's consumption.
28. The specialist warned that, without a responsive treatment regime, people who reach a stage where they are ready to change but won't be able to access support, will carry on drinking. When an individual is at 'rock bottom', there is a real opportunity to make positive changes through accessing treatment. However, if they cannot then

access a service, the negative impact on them and those around them can be profound and long lasting.

29. Members heard that there are no known academic studies on the impact of cutting alcohol services, however there are several studies quoted about the effectiveness of alcohol interventions. Members were told of research which suggests that public health spending on drug/alcohol education and media campaigns is less than effective; restrictions through licensing of alcohol premises and pricing have, however, been shown to reduce alcohol use.
30. On the same day, the Task Group met North Yorkshire Police's Area Commander for York and Selby who said that a recent study in Scarborough showed that two-thirds of those arrested had alcohol-related problems, either dependent or intoxicated. Members heard that the situation in York is likely to be similar.
31. During the period 1/11/17 – 31/10/18 there were 4520 crimes (35%) in which alcohol was flagged as an influencing factor out of a total of 13025 during an arrest or encounter with police officers in York. Further, 1077 of 4957 (or 22%) of people brought into the detention unit self-declared to be dependent on drugs or alcohol. The Commander believed this to be a significant under-representation of the true amount. A breakdown of these figures and several case studies are provided in Annex D.
32. It was suggested that to have substance misuse workers in custody suites offering early help and intervention can help engage offenders with support services. Members learned that some 75% of children who have parents in prison will go to prison themselves. The Task Group heard that there is a need for a service which takes a co-ordinated approach with agencies across a range of disciplines and that is person- centric and trauma-informed.
33. On the 4th December the Task Group met the Network Developer and Interchange Manager from the Probation Service's Community Rehabilitation Company³ (CRC). The CRC has seen a rise in people requiring alcohol treatment, which they found concerning at a point when the budget for alcohol services is to be reduced. They explained that, in the past, the threshold for accessing services

³ Community Rehabilitation Companies are private-sector suppliers of Probation and Prison-based rehabilitation services

required an AUDIT score of 16; now that score is likely to rise to 20, locking more people out of accessing the substance misuse service.

34. The CRC stated that they felt there was a lack of a shared vision of what a city-wide service for a client should be. This presents a significant coordination challenge for partners, as all are working to their own priorities, KPIs and resources.
35. It was suggested that having key workers based in custody suites would be helpful to ensure timely support. While a majority of hazardous drinkers do not offend, the CRC recognise a clear association between being under the influence of alcohol and criminal behaviour
36. Because services often share clients, the CRC would like to see more joined-up working among partners, particularly around information sharing. It was the CRC's view that a memorandum of understanding between partners would be helpful; to bring back Drug and Alcohol teams (DAATS). The CRC also felt Partners need to co-ordinate budgets to develop services for shared clients.
37. On 5th December the Task Group met the CCG Clinical Lead for Primary Care and Population Health. The Task Group learned that a study had found that some 33% of all hospital admissions in York present heavy drinking (ie drinking above Public Health recommended levels) as an indirect factor in their clinical profile. As patients are predominantly admitted for other reasons, the alcohol issue is usually not addressed with patients. Additionally, Members had heard that 10% of emergency admissions (see para. 24) were based on alcohol clearly being identified as a direct or major cause for a patient's admission.
38. The CCG Clinical Lead expressed concern that it appeared that there were no risk or impact assessments completed when decisions were made to cut Public Health services. This could result in unintended consequences that have serious implications for delivering quality care and support to residents.
39. It was also stated that the lack of key workers is a major problem. GPs and workers at Changing Lives do not have the capacity to make regular home visits; thus, the danger is that the planned reductions would see GPs and remaining key workers left to support harmful and hazardous drinkers with increasingly-stretched

resources and a limited offer of psycho-social support, exacerbating the current situation.

40. The CCG Clinical Lead added that integrated, co-located working of GPs with Alcohol Specialist Services with the lower risk groups, would have many benefits to support integration of care and progress of recovery. This is a cost-effective model of care, but needs careful commissioning to ensure it is outcome-focused. Asking recovering drinkers to attend clinics alongside chaotic drinkers is viewed to be counter-productive. Re-integration with mainstream primary care services after a period of specialist input is seen as key in establishing longer term support and preventing relapse
41. The CCG Clinical Lead linked what members had heard from the Police, that childhood trauma, eg a parent in prison, can be a factor for alcohol abuse in later life. Whilst improvements in safeguarding of vulnerable children and identifying problems within families at an earlier stage is having a positive impact, the health and other benefits of this will not be seen for many years.
42. It was suggested that good examples of joined-up working include the Personality Disorder Network and the current integration of Elderly services in York. Systematic multi-disciplinary coordination is, however, expensive to set up. York has to consider how partners can integrate their budget pools to meet demand, so that a return on investment comes back through reduced demand on the service in the long term. The Task Group heard that utilising community assets by encouraging problem drinkers to join social clubs and community networks can play a positive role in rehabilitation.
43. Finally, the Task Group met with Changing Lives' Area Manager for Yorkshire on 6th December. Changing Lives, who had 366 clients (see Annex E) in effective Alcohol treatment from August 17-July 18, are currently developing a new working model that will take effect on the 1st July 2019. The model will have an emphasis on co-production and co-design as per the requirement of the contract and will focus on ensuring the clinical element is protected as it is the starting point for creating stability for clients. However, early projections of the impact of the planned budget reductions are likely to be:

- Increased caseloads of between 20-35% (38- 50 clients)
 - Increased waiting times (currently two weeks) to access support from first referral of approx. 20-30%
 - Changed alcohol audit score to run in line with national standards, which would restrict access to service; this will emphasise what support is not available outside the specialist treatment offer
 - Negative impact on successful completions and non-representation data
 - Less frequent psycho-social appointments from 1 a week to potentially 1 a month, limiting impact of the treatment offer with an increased risk of becoming a crisis management service.
 - Higher caseloads in working with complex needs clients having an impact on staff wellbeing
 - Restricted staffing levels will impact on the capacity to work responsively and within the time when motivation is highest for people accessing the service
 - Increased drop out rates and levels of relapse
44. Members heard that Key Workers are likely to become stretched and will limit their appointments in an effort to cope with demand; in addition, if left unchecked, the 7% of residents likely to be drinking hazardously in York may then have a serious impact on the city. To mitigate the potential impact, Changing Lives are looking at how to reach people where they are best likely to respond, taking advantage of the well developed space and community groups that exist in York.

Analysis

Impact of proposed changes

45. The Task Group accepted that changes to the substance misuse contract are likely to have the most significant impact on alcohol treatment, in particular access to services and key workers provided by Changing Lives for current and future users. Full time workers currently have a workload of around 50 clients and part-time workers around 38 clients. Caseload numbers are likely to increase by 25-30%. There will be a similar percentage increase in the waiting time for initial assessments after referral, which currently averages two weeks. Members noted the widely-shared view that,

without a responsive treatment and recovery service, the planned reductions would have negative impacts and worse outcomes. Service users would either not be able to access a service when they are motivated to change, or would not have sufficient support to help them make long-term changes to their drinking patterns.

46. Members acknowledged that numerous issues can also affect the outcomes in relation to alcohol use and can form barriers to recovery. Those with least resources (eg insecure housing, no employment or family support) will also be the group most likely to be affected by changes or diminution in alcohol support services.
47. The Task Group noted that reducing access to key workers and commissioned support mechanisms is likely to result in a dilution of service, thereby reducing successful treatment completion rates and leading to higher drop-out and relapse rates in service users. However, Members acknowledged that other community assets such as voluntary organisations can also play a positive role in supporting people to strengthen “social capital” and can encourage a healthier lifestyle.
48. Members expressed concern at the potential number of people in York drinking at hazardous levels, and acknowledged a potential “ticking time-bomb” around this issue for health, criminal justice and social care.

Current use of the public health grant

49. Around 27% of the public health grant is allocated to substance misuse. Other areas in the Public Health Grant include Sexual Health, Wellness Service, Healthy Child Grant, an Adult Social Care element, Air Quality grant, core team and internal support costs. Members acknowledged that the variations in expenditure are essentially operational decisions based on varying priorities.
50. After concerns were expressed by external stakeholders (see para. 38) about the provision of risk assessments relating to the decision to reduce funding, it was asked if such risk assessment work had been undertaken in this case. It was found that a risk assessment (see Annex F) had been prepared by CYC officers in 2014/15 in line with CYC process, but it was not presented as part of the savings proposals by previous officers and was not made available to the

Executive Member when the savings approach was decided at that time.

51. Members noted that the Joint Strategic Needs Assessment (JSNA) describes the current and emerging health and wellbeing needs for people who live in York and that it is used by CYC Public Health to plan and budget its activities. It is used by the Health & Well Being Board as a planning and monitoring tool and is referred to by CQC.
52. The Commissioned Substance Misuse Service currently supports some 366 people accessing alcohol services in York through contracts with Changing Lives and Spectrum Community Health CIC. They specialise in offering recovery and treatment options with support underpinned by clinical and psycho-social interventions. The contract uses experienced professionals and practitioners from both organisations to provide holistic support to address the complex mix of physical, emotional, mental and social issues that can lead to addiction.

Beyond the contracted specialist service

53. The Task group acknowledged that GPs/doctors in primary and acute care have a key referral role in the whole system. However, due to a combination of workload, limited resources and (notably in emergency hospital visits) concentration on the immediate illness/injury, identification of underlying alcohol problems could be improved.
54. However even when an alcohol problem is identified and referred to the Substance Misuse service, a significant number of individuals do not access it. A range of cognitive and practical reasons were highlighted to the Task Group – these include denial of a problem, unwillingness to be perceived as an addict, embarrassment at being seen at the Changing Lives building, work commitments and a lack of time to attend daytime appointments. For those, however, who are prepared to access or are currently attending the service, the planned reductions would result in a reduced service offering a narrower range of interventions, more rigid thresholds for acceptance for treatment and longer waiting times.
55. Members were informed of an increased frequency of a range of alcohol related ailments in York (see paras. 10, 18 & 25). The Alcohol Charter of the Drugs, Alcohol & Justice Cross-Party

Parliamentary Group and APPG on Alcohol Harm (see Annex G) highlights the national context: every year there are over 1 million alcohol-related hospital admissions in England and 12,800 cancer cases linked to alcohol. Unless trends change, linked cases of cancer are expected to lead to 1.2 million hospital admissions and 135,000 deaths over the next 20 years. Since 1970, deaths from liver disease have increased by 400% and this is now the only rising major cause of death in the UK.

56. Members noted that there is already a significant gap (see para. 23) in secondary care services addressing alcohol-related harm. It is likely that this will be exacerbated in the future, to be characterised by higher readmission rates, increased lengths of stay and poorer outcomes for patients.
57. The Task Group heard that, in the Criminal Justice System, the planned cuts and changes to alcohol treatment may result in the threshold to access services increasing. This is likely to result in some people who would previously have been referred to the service being refused treatment. If such drink-related poor decision making by offenders continues, the potential for re-offending is increased. Members heard that the police are already dealing with many issues relating to complex needs such as mental illness and they fear the planned reductions would see their workload increase. Both Police and Probation Services felt an initial point of contact in custody suites with a specialist drug and alcohol worker would be beneficial in reducing time assessing and referring offenders.
58. Whilst it appears to be agreed that many entrenched and high risk alcohol users function well (i.e. they hold down jobs, have family lives and may only come to the attention of medical practitioners or have irregular police contacts), there are others who are more chaotic and have complex and multiple problems. The broad consensus among the specialists interviewed was that both groups, though particularly the latter group, are extremely resource-intensive across a range of disciplines. The specialists felt that more joined-up work is required to ensure an integrated care service and they suggested creating a Substance Misuse Commissioning Strategy Board. However Members acknowledged that simply working better together would not remedy the impact of planned reductions. In addition, there was a lack of clarity as to who would be best placed to lead an integrated approach. Members acknowledged that, while there are shared problems among

agencies, there seems to be no common agenda as how best to address them, due to the current “silo” approach under which budgets and working practices are organised.

59. Members noted whilst models of good practice exist, more work is needed to determine whether these would be relevant to York (see Annex H).
60. Members noted comments made by the academic drug specialist that licensing restrictions have been shown to reduce alcohol use. As of March 2015, York had some 799 premises licensed to sell or supply alcohol. With a population of approximately 160,000 adults aged 18 or over, this equates to one venue selling alcohol for every 200 adults.

Conclusions

61. In a financially-constrained local health economy, how York responds to changes in funding for alcohol services is one of the most important challenges our city faces.
62. Overall conclusions

From the evidence provided:

- Alcohol misuse has a direct and profound effect on users, their families and society as a whole. Reductions in budget for alcohol and drug treatment will not just impact those who need specialist intervention but will have wider socio-economic consequences and impacts. Without exception, all the specialists consulted anticipated that there will be a negative impact for all residents.
- Alcohol misuse places a considerable and increasing pressure on the workload of the NHS. A reduced budget for alcohol treatment suggests that these pressures are likely to increase as provision decreases and would exclude individuals who may have previously accessed the commissioned service.
- One area of concern which was a common thread is the support received by residents with multiple complex needs. There is a lack of effective joined-up mechanisms to address such residents' needs. Most of the specialists interviewed argued that providing a formal joint approach to working with substance misusers who have

additional and often complex needs would deliver positive and effective outcomes. However, there was no consensus on any one particular model.

- There is an impending gap in the service for harmful and hazardous drinkers, who may reach a stage where they are motivated to seek help. There could, however, be no service for them, as resources may be prioritised for the highest risk drinkers with multiple and complex needs.
- There appears to have been some past weakness in the process of assessing the impact and risk to residents' health when considering reductions to public health budgets. This has led to decisions being made without all the relevant evidence for a robust approach. There would therefore be a need for closer scrutiny on the part of Members, including those in specialist Scrutiny Committees to ensure they are aware of the implications of planned decisions.
- A needs assessment has been produced and published as part of the Health & Well Being Board's JSNA process. Whilst this gives a general understanding of the global burden of alcohol misuse, it was difficult to negotiate. The report is long and complicated.
- There appears to be a lack of impetus in society towards tackling alcohol abuse along with a culture which seems not to challenge harmful and hazardous drinking. The proposed budget reduction would impact York's ability to deliver clear prevention and early intervention initiatives or campaigns for our residents and children.
- Members are aware that the use of the Public Health Grant is a complicated equation, balancing the range of residents' health needs across a complex area of expertise. However this Task Review has identified clear evidence of the negative impact on some of the city's most vulnerable residents which would add to the burden of ill health and serve to widen the health inequality gap.
- Bearing in mind what has been heard, Members have concerns that the contracted outcomes may not be deliverable by the commissioned providers on a greatly-reduced budget. This may generate further costs elsewhere in the system in coming years.

Task Group Recommendations

63. The Task Group therefore proposes the following recommendations:
1. The financial cut to the substance misuse budget should be re-assessed with immediate effect, with the intention of returning funding to substance misuse provision, and that this include a review of the current budget for 2018-19, highlighting any changes for 2019-20 accompanied with a rationale and clear risk assessment.
 2. Future proposals for changes to the funding available to provide Public Health services should be accompanied by a clear risk and impact assessment, which is also made available to Health Scrutiny. Scrutiny should receive regular detailed updates on changes to mandated and prescribed Public Health functions.
 3. The needs assessment for the range of alcohol service provision should be reviewed, with the aim of providing a user-friendly and accessible document which can easily be understood by non-specialists. This assessment should enable the Council to make informed decisions around the needs of York residents and tailor future service provision to meet this need.
 4. To meet the needs of residents with multiple complex needs, we recommend partners adopt a joint commissioning approach across a range of specialist areas so as to produce a joined-up wrap-around support network; such an approach should be led by the Director of Public Health. It should include the CCG, CYC Public Health, North Yorkshire Police, OPCC and CYC. The approach should also involve a range of commissioned delivery partners such as Mental Health (TEWV), primary care (GP's), secondary care (hospitals, liver unit, A&E, ambulance service), the Probation Service, specialist substance misuse services, housing, MEAM, Pathways, Salvation Army and voluntary sector community groups.
 5. In order to implement such an approach, we recommend a senior commissioning level strategic group be convened, facilitated by the Director of Public Health, to provide a cohesive approach. This should include the pooling of budgets

for joint commissioning. The aim should be to meet needs in one single joined-up service offer rather than a patchwork approach to provision. A proposed model for a *York Substance Misuse Commissioning Strategy Board* can be found in Annex I.

Implications

64. **Financial** This report is scrutinising financial information. The Executive is considering the 2019/20 budget proposals at the Executive meeting on 14 February 2019 and its budget recommendations will be considered at Budget Council on 28 February 2019. Whilst that is the annual process for Members to agree their budget priorities for resourcing Council services in the year ahead, the Executive can approve additional sums for services outside of the budget process to commit funds to services by releasing contingency funds, subject to resources being available. Given that the recommendations of this report will be considered by the Executive too late for consideration as part of the current budget setting process, the Executive would need to consider how it might wish to address the request for review of funding for substance misuse;
65. **Human Resources (HR)** There are no HR implications associated with the recommendations in the report
66. **Equalities** – The Task Group acknowledged that some form of Health Equity Audit could be appropriate in the future.
67. **Legal** – There are no legal implications associated with the recommendations of this report.
68. **Crime and Disorder** – Whilst there are no direct crime and disorder implications associated with the recommendations in this report, the resource implications associated with substance misuse have been considered in preparing this report.
69. **Information Technology (IT)** There are no IT implications associated with the recommendations in the report.
70. **Property** – There are no property implications, associated with the recommendations in the report.

Risk Management

71. It is clear from findings that alcohol misuse is putting a considerable and increasing pressure on the workload of the NHS, the Police and emergency services in York. If there is no effective service supported by a cohesive approach to support substance misuse, there is a risk that the increased pressure within the system could have further negative effects on York services.'

Council Plan

72. The Review directly relates to A Focus on Frontline Services priority in the Council Plan 2015-19 in that it will help ensure all residents particularly the least advantaged, can access reliable services and community facilities.

Recommendations

73. Having considered the findings from this review, the Health Housing and Adult Social Care Policy and Scrutiny Committee are recommended to endorse the draft review recommendations shown at paragraph 63.
74. Reason: To conclude the review in line with scrutiny procedures and protocols and to enable the review final report to be presented to the Executive in March 2019.

For further information please contact the author of the report

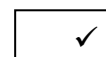
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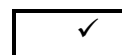
Report Approved



Date 5/02/19

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

All



Background Papers:

1. CYC JSNA process
2. Drug & Alcohol Findings www.findings.org.uk
3. Ministry of Justice: The impact of community- based drug and alcohol treatment on re-offending
4. A Rapid evidence Review of the Effectiveness and cost-effectiveness of alcohol control policies: an English Perspective
5. Adverse Childhood experiences: retrospective study to determine their impact on adult behaviours and health outcomes in a UK population
6. York Alcohol Needs Assessment 2016

Annex A: Topic Request Form

Annex B: Substance Public Health Expenditure 2016-2020

Annex C: Emergency Department statistics [**Online only**]

Annex D: Police Alcohol Drug Information

Annex E: Changing Lives Data

Annex F: Summary of Risk Assessment 2014/15

Annex G: Alcohol Charter: Drugs, Alcohol & Justice Cross-Party Parliamentary Group an APPG on Alcohol Harm.

Annex H Patient Safety Conference 2017

Annex I: Substance Misuse Commissioning Strategy Board

Abbreviations

A&E- Accidents and Emergency

AUDIT- Alcohol Use Disorder Identification Test

APPG – All party Parliamentary Group

CCG - Clinical Commissioning Group

CIC – Community Interest Company

CRC – Community Rehabilitation Company

CYC - City of York Council

DAATS – Drug and Alcohol Teams

GDPR – General Data Protection Regulations

GPs - General Practitioners

IBA- Identification and Brief Advice

JSNA-Joint Strategic Needs Assessment

KPI – Key Performance Indicator

MARB – Multi-Agency Review Board

MEAM- Making Every Adult Matter

NHS- National Health Service

NICE – National Institute for Health and Care Excellence

OPCC- Office of the Police Crime Commissioner

PCC – Police Crime Commissioner

UK- United Kingdom

TEWV- Tees Esk Wear Vale Foundation Trust

Glossary

Harmful drinking (High risk drinking) – A pattern of alcohol consumption that is causing mental or physical damage. Consumption (units p/w): 35 or more for women, 50 or more for men.

Hazardous drinking (Increasing risk drinking) – A pattern of alcohol consumption that increases someone’s risk of harm. This includes physical, mental and social consequences, the term is used by the World Health Organisation, it is not a diagnostic term. Consumption (units p/w): 14 unit or more for women but less than 35. 14 units for men but less than 50 units

High risk drinker Regularly consuming over 50 alcohol units per week (adult men) or over 35 units per week (adult women).

Social Capital –broadly refers bonds between individuals, both in intimate relationships and in voluntary groups that include such things as interpersonal relationships, a shared sense of identity, a shared understanding, such bonds are claimed to have health promoting effects.

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Annex A

SCRUTINY TOPIC REGISTRATION / ASSESSMENT FORM FOR COUNCILLORS

Submitted by Cllr Pavlovic

What is the broad topic area?

Commissioned Substance Misuse services in York

What is the specific topic area?

?

To look at the impact and outcomes of the Substance misuse contracts and to consider the implications on service delivery of efficiency savings on the contract

Ambitions for the review:

Performance implications and financial/ personal/societal cost benefits of reductions in scope of service delivery

-
1. Does it have a potential impact on one or more sections of the population? **Yes** **No**
 2. Is it a corporate priority or concern to the council's partners? **Yes** **No**
 3. Will the review add value? and lead to effective outcomes? **Yes** **No**
 4. Is it timely, and do we have the resources? **Yes** **No**
 5. Will the review duplicate other work? **Yes** **No**

If the answer is 'Yes' to questions 1 – 4 and 'No' to question 5, then the Committee may decide to proceed with the review. To decide how best to carry out the review, the Committee will need to agree the following:

1) Who and how shall we consult?

Commissioners
Service delivery partners
Health
Police
Probation services
Public Health

2) Do we need any experts/specialists? (internal/external)

Public Health commissioners
Health and Criminal Justice professionals to obtain and assess societal and public sector implications of reduction in Service delivery to either/or problematic drug and alcohol users

3) What other help do we need? E.g. training/development/resources

We will have to undertake planned interviews, see documentation regarding contracts and also outcomes

4) How long should it take?

3-4 months but before the impact of the major efficiency savings in years 3 and 4 take place

Public Health Expenditure

	2016/17	2017/18	2018/19	2019/20	
	Actual	Actual	Budget	Budget	
	£k	£k	£k	£k	
<u>Expenditure</u>					
Substance Misuse	2,281	2,395	2,158	1945	£213k contract saving (2019/20)
Sexual Health	1,768	1,793	1,745		
Wellness Service	376	487	510		
Healthy Child grant	2,406	2,250	2,250		
ASC/ Air Quality grants	517	391	391		
Misc	63	138	89		
Core Team	679	743	832		
Internal Support Costs	347	295	280		
	<u>8,437</u>	<u>8,492</u>	<u>8,255</u>		
<u>Income</u>					
Public Health Grant	8,433	8,225	8,013	7801	Indicative PH Grant (2019/20)
CYC Budget	247	274	184		
	<u>8,680</u>	<u>8,499</u>	<u>8,197</u>		
Transfer (to)/ from Reserve	-243	-7	58		

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Total Crimes in York City (1st November 2017 – 31st October 2018)

Crime	2017-11	2017-12	2018-01	2018-02	2018-03	2018-04	2018-05	2018-06	2018-07	2018-08	2018-09	2018-10	Total
Arson & Criminal Damage	165	106	106	126	146	126	152	131	137	151	130	132	1608
Burglary	73	92	73	62	79	60	81	86	79	71	89	85	930
Drug Offences	36	43	34	40	41	40	77	48	38	40	36	39	512
Fraud	12	5	18	17	21	19	14	10	17	24	17	14	188
Misc Crimes Against Society	13	11	20	24	25	8	18	31	18	16	18	13	215
Possession Of Weapons	3	10	6	7	5	5	9	6	8	8	7	7	81
Public Order Offences	37	28	40	34	42	53	70	75	64	77	52	46	618
Robbery	7	6	3	8	8	9	6	13	11	5	4	4	84
Sexual Offences	32	26	49	29	39	38	50	47	39	42	42	52	485
Theft	393	297	314	241	290	292	320	349	337	342	370	374	3919
Vehicle Offences	52	62	44	33	35	43	63	80	44	56	43	45	600
Violence Against The Person	270	273	306	225	266	299	392	337	407	370	300	340	3785
Total	1093	959	1013	846	997	992	1252	1213	1199	1202	1108	1151	13025

Occurrences where Alcohol was flagged as an influencing factor (1st November 2017 – 31st October 2018)

SNC	NSIR Theme	Total
York City	ASB	1396
	Crime	1336
	Other/Misc	3
	PSW	1472
	Road	313
	TOTAL	4520

Occurrences where Drugs were flagged as an influencing factor (1st November 2017 – 31st October 2018)

SNC	NSIR Theme1	Total
York City	ASB	159
	Crime	663
	PSW	584
	Road	55
	TOTAL	1461

Number of arrests where detained persons have self-declared a drug/alcohol dependency during the risk assessment process

Detention Unit	Drug or Alcohol Dependant	Total Custody numbers	Number of self-declarations
CUSTODY YORK	Yes	4957	1077 (22%)

(Unfortunately our custody data doesn't separate Alcohol and Drugs (it is written in free text but there is no consistent approach to how it is written – some had drugs written and some had the specific drug dependency so it is impossible to separate the two. It is believed that the above figures are a significant under representation of the true amount as some people refused to answer this question and others will not have been truthful. Unfortunately it is not possible to give figures of how many detained persons were affected by alcohol or drugs when they entered our custody suite as this information is not searchable.)

Number of Drug and Alcohol Referrals

Between 1st April 2017 – 31st March 2018, there were a total of **117 DARs** made from NYP across NY – broken down as:

- 33 – Harrogate
- 36 Scar
- 21 Northallerton
- 10 Skipton
- 17 Selby

Between the same time period, there a total of **90 DARs** made from NYP across the City of York.

Therefore, a total of 207 DARs across the year.

Via health care custody **April 18 – Sept 18:**

Month	Total No of detainees with identified substance misuse issue	No of detainees already working with a drug service	No of detainees referred to an alcohol service
April 18	84	25	3
May 18	74	22	8
June 18	69	22	3
July 18	83	34	1
Aug 18	72	28	0

Sept 18	75	23	2
---------	----	----	---

(Unfortunately we don't yet have the data for DAR's from April 18 – Sept 18)

Case Studies

In preparing this information, I have consulted with the local neighbourhood policing teams to see if there is any anecdotal information that can be given in relation to the value that local drug and alcohol services add to the communities of the City of York. There is an overwhelming feeling from the team that the contribution these services make are absolutely paramount to ensuring that the detrimental impact of the most chaotic and troublesome individuals are vastly reduced. This in turn reduces the demand across all services. Below are just a few examples of the difference the targeted alcohol and drug services make:-

DW is an individual who regularly engaged in anti-social behaviour, was regularly found drunk in the street, carrying around a "getto blaster", playing loud music, behaving aggressively whilst drunk, interfering with buskers and intimidating residents and visitors to the city. This particular individual was referred to MEAM (Making Every Adult Matter) and they worked with him on a one to one basis, ensuring that he successfully completed a detox programme. They found him accommodation in the Peasholme Centre where they did continued to work with him, not giving up even when there were set backs in his behaviour. He is now in a position where he is living independently and we are no longer encountering him in the City as we were doing previously. Without their intervention, there is little doubt that he would have continued to behave in this way and is likely to have ended up in prison, but not before he caused further harm to the community.

AT is an individual who used to sleep rough near to MacDonalds on Blake Street and was an unsightly and welcome presence for residents and visitors. She also used to frequent Duncombe Place and was a "draw" for lots of male street drinkers who would gather around her behaving antisocially. Again, she was housed within the Arc Light and lots of intensive intervention work was done with her and she is no longer causing an issue at these locations.

KB can still cause issues at times, her more serious behaviour has been vastly reduced since intervention work by drug and alcohol services and we are no longer receiving the calls that we were doing previously.

Please let me know if you require any further information.

T/Chief Inspector Rachel Wood

16/11/18

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Impact Report Detail - 2018

ALCOHOL AND ILLICIT DRUGS INTEGRATED TREATMENT AND RECOVERY SERVICES

Fixed cost – based on live account projections

Fixed costs based on year 2 projections	
Year 3 budget	1,605,000
Organisational costs	153,000
Costs for organisational support, HR, IT, Finance, learning and development , Training, Health and safety etc	
Building costs and operational costs	100,000
Cost of maintaining the two buildings the services are delivered from	
Detox budget allocation	20,000
Provision of detoxification where residential support is required due to implications of health risk in the process.	
Supervised consumption	90,000
Costs for the provision of supervision for the prescribed medication in accordance with national guidelines.	
Needle exchange equipment	35,000
Needles provided to pharmacies and service location to	
Needle exchange pharmacy charge	30,000
Charge from pharmacies for exchange of needles and brief advice intervention/ referrals to service	
Clinical supplies for clinic rooms	6000
Materials for clinical room to meet quality standards.	
Clinical testing	5000
Bloods, Urine , Breathalisers tests to assist the clinical team in prescribing and monitoring health needs.	
Clinical waste disposal	13,000
provision of clinical waste disposal for pharmacies and service locations to dispose of used materials	
Clinical team and prescribed medication	505,000
Staffing - GP, Lead Clinical Nurse, NMP, detox nurse, health improvement nurse	
Medication provision - methadone, bupronorphine, lofexodine, acamprosate, chlordiazproxide, naltraxone, dysulpharam,	
Total	957,000

Staff Numbers:

Detail	Number of Staff
Adult Team	23
YORC	2
Young Persons Team	3
Clinical (Spectrum)	6
Oaktrees	4
Total Number of Staff	38

Current fixed cost projections lead us to assuming that the staffing team will be reduced by between 7-9 people depending on the service model moving forward.

Number of adults worked with in the year – Figures from Theseus and for period of Aug 2017 to July 2018:

NO.	Measure	Target	July
3.2	Eff Tment	No. of adults in effective treatment YTD	1111
3.3	Eff Tment	No. of Alcohol Clients in effective treatment YTD	366
3.4	Eff Tment	No. of Opiate Clients in effective treatment YTD	492
3.5	Eff Tment	No. of Non-Opiate Clients in effective treatment YTD	113
3.6	Eff Tment	No. of Non-Opiate and Alcohol Clients in effective treatment	140

PHE Figures – Successful Completions - Aug 2017 to July 2018:

Opiate users (18 and over): York

Completion Period	Jan17 - Dec17
Reporting Period	Jun-18
All clients in treatment	525
Number of completions without re-presentation	29
% of all clients completing and not re-presenting	5.52%

Non-Opiate users (18 and over): York

Completion Period	Jan17 - Dec17
Reporting Period	Jun-18
All clients in treatment	211
Number of completions without re-presentation	64
% of all clients completing and not re-presenting	30.33%

CHANGING LIVES

Alcohol users (18 and over): York

Completion Period	Jan17 - Dec17
Reporting Period	Jun-18
All clients in treatment	392
Number of completions without re-presentation	118
% of all clients completing and not re-presenting	30.1%

Mental Health (Data for Aug 2017 to July 2018) – Taken from Theseus and the people who have replied yes to the question of 'Does The Client Have A Mental Health Treatment Need' and their corresponding response.

Detail	Number of active clients
[1] Already engaged with the community mental health team/Other mental health services	71
[2] Engaged with IAPT	5
[3] Receiving mental health treatment from GP	107
[4] Receiving any NICE-recommended psychosocial or pharmacological intervention for the treatment of a mental health problem in drug/alcohol services	1
[6] Treatment need identified but no treatment being received	64
[99] Client declined to commence treatment for their mental health need	2
Total Number of Clients	250

Alcohol Audit

Detail	Number
Total Number of clients having an audit between Aug 2017 to July 2018	228
Number scoring 19 or less on an audit	82
Percentage of Total	39.6

Unfortunately we do not have the figures as this would be a big piece of work but we think the savings in prevention for the 82 people accessing the service currently would be sizeable if support was not offered. We have inherited this audit process and looking at the implications of changing this as part of the reshaping of the service.

Risk Assessment to Substance Misuse

Summary of risk assessment in 2014/15 when the cuts were proposed originally.

The impact of budget cuts

1. A proposal of taking forward a budget cut of £357,440 has been identified with further savings in line with the reduction of the public health grant over the term of the contract.
2. The reduction is a 15% cut from the current budget portfolio with further cuts over 5 years this could rise to 25%.
3. This reduction carries significant clinical risk as well as direct impact on the expected crime rates, hospital admissions, demand on social care and potential rise in communicable disease in York.
4. The DTORS (Drug Treatment Outcomes Study)(Jones 2009)^[i] report, commissioned by the Home Office and published in 2009, implies a benefit-cost ratio of approximately 2.5:1 in net terms for every £1 spent a saving of £2.50 is made. Conversely if a saving is made against the direct service delivery for every £1 saved a cost of £2.50 should be expected in other front line services. On this accepted formula a reduction of £357,440 will net a cost of £893,600 within other public services.
5. The budget portfolio is based on the regional average spend from the public health grant, which is estimated at 30% of the full budget (excluding the new children's portfolio) national formula is set by Public health England at 34%.

Risk management

6. In compliance with the councils risk management strategy the following risks have been identified relating to the proposed budget cut, re procurement of the services brings minimal risk.

Impact scoring using CYC guidance

Risk	Likelihood	Impact	Score	Matrix risk score
Financial impact	5 Highly probable	Catastrophic	5	25
Compliance	4	Minor	2	10

and regulation impact	Probable			
Target customer base	5 Highly probable	Catastrophic	5	25
Authority reputation	5 Highly probable	Moderate	3	16
Health and safety	3 Possible	Catastrophic	5	23

7. The main risk associated with a budget reduction as proposed will be the capacity of the available service provision. It is clinically unsafe to reduce the medical offer so services which offer support to those who do not require medical intervention will need to be reduced. This means that some people requiring alcohol interventions will be unable to access services. In addition, interventions such as in patient detoxification, blood borne virus vaccinations (hep B), basic health care, any criminal justice related activity, support for families are likely to be effected by the cuts.
8. Local headlines such as “More York Drinkers ending up in hospital”^[1] indicate a real juxtaposition for our way forward, publicly stating our commitment to alcohol issues being a key public health issue and then proposing significant cuts to those services.

1. http://www.yorkpress.co.uk/news/14593899.More_York_drinkers_ending_up_in_hospital/

^[i] Jones A., Donmall M., Millar T. et al. (2009) [UK] Home Office. <http://www.dtors.org.uk/>

^[1] http://www.yorkpress.co.uk/news/14593899.More_York_drinkers_ending_up_in_hospital/

Drugs, Alcohol &
Justice Cross-Party
Parliamentary Group
and APPG on
Alcohol Harm

Alcohol Charter

A new national Alcohol Strategy must lead the way internationally in reducing the damage to society caused by alcohol misuse.

The Strategy must:

- **Be based on the evidence of what works to reduce alcohol harm as outlined in the PHE alcohol evidence review.**
- **Tackle the increased availability of excessively cheap alcohol.**
- **Empower the general public to make fully informed decisions about their drinking.**
- **Provide adequate support for both dependent and non-dependent drinkers.**
- **Set out the Government's intention to reduce harmful drinking, tackle health inequalities, improve family and community resilience and ensure the UK has a healthier, better informed relationship with alcohol. It will do this through evidence-based policy and targeted investment.**

We call on the Government to take tangible steps that can both reduce existing harm to individuals and communities, and prevent people drinking in ways likely to create harms in the future. We call for the Government to:

- **Improve support for those in need**
- **Protect public health**
- **Focus on alcohol related crime and disorder**

Every year, there are more than
1,000,000
alcohol-related hospital
admissions in England

Unless consumption changes,
alcohol is set to cost the NHS

£17 billion
in the next five years alone

In the UK, alcohol is linked to
12,800 cancer cases
every year, and unless
trends change, is
expected to lead to

1,200,000
cancer hospital
admissions and
135,000 cancer deaths
in the next 20 years

Liver disease deaths have increased by
400% since 1970
- now the only major cause of death in the UK which is rising



Improve Support for Those in Need

1. Introduce a 1% 'treatment levy' by increasing alcohol duties to generate additional funding for alcohol treatment services and to increase the proportion of dependent drinkers accessing treatment. Furthermore, set a target date for when treatment services will be available for all who need access.
2. Mandate local authorities to provide and promote a 'ring-fenced' resource for alcohol treatment, early alcohol intervention provision, and prevention services.
3. Develop a funded national programme of advice, guidance and support for those concerned about alcohol including families, carers, and children affected by parental alcohol use.
4. Address the needs of older alcohol drinkers by enforcing action against age inequalities in existing services and developing a range of specialist services to support older adults who drink.
5. Ensure local areas have adequate service provision for those with complex needs, especially those with both alcohol and mental health conditions. One way to achieve this is to ensure assertive outreach and multi-agency partnerships are in place.
6. Ensure that relevant health and social care professionals are trained to provide early identification and brief advice, in particular GPs, paramedics and A&E staff. Apprenticeships based on nationally recognised qualifications for the specialist alcohol and drugs treatment workforce should be created.

Alcohol-related crime costs up to £11 billion a year

There are almost
200,000
children
living with at least one
alcohol-dependent adult

Public Health England
estimates that there are
595,000
alcohol-dependent adults
in England

Effective treatment brings a substantial
return on investment -
for every £1 spent,
£3 of social return is generated

Protect Public Health

7. Launch a comprehensive review of alcohol duties in preparation for a post-Brexit taxation structure that better reflects alcohol strength across categories and addresses anomalies between categories.
8. Introduce Minimum Unit Pricing in England, following the lead of other home nations.
9. Develop a Government-funded programme of health campaigns, without industry involvement and in line with the Chief Medical Officer's guidelines, to increase public knowledge of alcohol and its links to a wide range of physical and mental health conditions.
10. Develop statutory minimum requirements for labelling alcohol products. This should include health warnings, ingredients and nutritional information alongside existing advice.
11. Introduce and enforce tighter restrictions on alcohol marketing via statutory regulation, independent of industry, with a particular emphasis on protecting young people from exposure to alcohol marketing.
12. Improve alcohol licencing by:
 - Introducing a licensing objective to protect public health.
 - Including a new mandatory licensing condition requiring alcohol retailers to have a written policy on how they will prevent illegal sales to intoxicated customers, along with a specific requirement for authorities to enforce the existing law that makes such sales illegal.
 - Carrying out a comprehensive review of online sales and home deliveries to prevent sales to underage, vulnerable or intoxicated customers.

Focus on Alcohol Related Harm

13. Expand the delivery of brief interventions in prisons, courts and custody suites ensuring support is provided post-release where required.
14. Reduce the drink-driving BAC limit to 50mg/100ml in line with Scotland and most of Europe.
15. Continue to invest in family drug and alcohol courts.
16. Increase access to Alcohol Diversion Schemes for those involved in alcohol related crime and disorder.

Drugs, Alcohol & Justice Cross-Party Parliamentary Group

The Drugs, Alcohol & Justice Cross-Party Parliamentary Group provides an interface for professional providers of drug and alcohol treatment with Parliamentarians who share an interest in these issues. It has established a considerable reputation in Parliament over a number of years, meeting with Government and frontbench representatives from all political parties and campaigning on numerous issues across the sector. Co-Chaired by Mary Glendon MP and Lord Ramsbotham, its programme of work is taken forward by Solidarity Consulting.

All Party Parliamentary Group on Alcohol Harm

The All-Party Parliamentary Group on Alcohol Harm exists to promote discussion of alcohol related issues and to raise issues of concern and make recommendations to government and other policy makers.



For further details please contact Richard Hanford at richardj.hanford@parliament.uk or on 0207 801 2730

This charter has been published by the Drugs, Alcohol & Justice Cross-Party Parliamentary Group and the All Party Parliamentary Group on Alcohol Harm and prepared in consultation with the AHA, Alcohol Concern, Alcohol Research UK, and the Institute for Alcohol Studies.

Supporting Organisations



Drinking irresponsibly: Who cares?

John Hutchinson & Charlie Millson

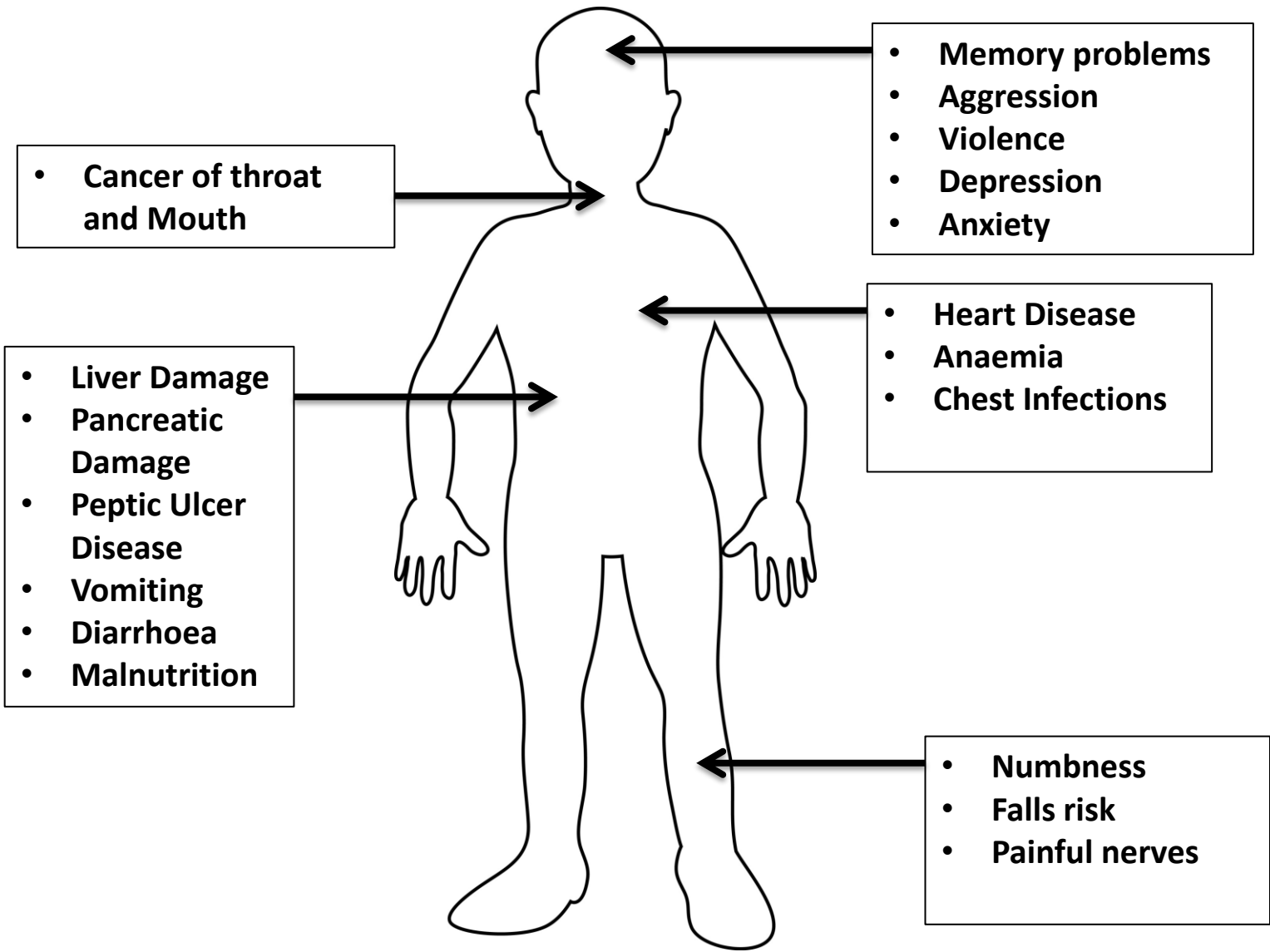
**Hepatology Service
York Teaching Hospitals NHS FT**

9th June 2017

Introduction: 1

- Deaths from liver disease have increased **10-fold** over last 30 years
- Annual cost to UK of alcohol-related harm is estimated to be **£21bn**
- The NHS incurs **£3.5bn a year** in costs related to alcohol (**~3% NHS expenditure**)

Effects of excessive drinking



How are we going to reduce liver mortality ?

- **Recognise the different forms of excessive alcohol drinking**
 - High level drinking each day
 - Repeated episodes of drinking to intoxication
 - Levels of drinking that are causing physical and or mental harm
 - Drinking behaviour that results in person becoming dependent/ addicted to alcohol
- **Illness and Distress:** to drinker/ family & friends/ employment/ NHS
- **Screening should allow identification and prevention of alcohol-use disorders**

Alcohol screening

The Alcohol-use disorders identification test (AUDIT)

- Developed by the World Health Organisation (WHO)
- Effective in the identification of hazardous and harmful and dependent drinking
- **Hazardous drinking:** results in harmful consequences to user or others
- **Harmful use:** impacts physical and or mental health
- **Alcohol dependence:** repeat alcohol use that results in behavioural/ cognitive and physiological phenomena

AUDIT

- Developed and evaluated over two decades
- Consists of 10 questions
- **NICE** acknowledges the time constraints on health care profession and completion of the **AUDIT**
- **AUDIT C** (abbreviated version of **AUDIT**): first three questions of AUDIT C score ≤ 4 lower risk ≥ 5 increased risk
- **AUDIT C** scores ≥ 11 indicate possible dependence

Introduction: AUDIT C

	Questions	Scoring system					Your score
		0	1	2	3	4	
Q.1	How often do you have a drink containing alcohol?	Never	Monthly or less	2 - 4 times per month	2 - 3 times per week	4+ times per week	
Q.2	How many units of alcohol do you drink on a typical day when you are drinking?	1 -2	3 - 4	5 - 6	7 - 9	10+	
Q.3	How often have you had 6 or more units if female, or 8 or more if male, on a single occasion in the last year?	Never	Less than monthly	Monthly	Weekly	Daily or almost daily	

Does York Teaching Hospitals NHS FT have a problem with alcohol ?

- AUDIT C
- Emergency Department
- Outpatient services
- Admissions & Mortality

York Hospital

AUDIT C

	AMU*	Endoscopy**
Patients screened (no)	39	203
Capture	39/60 (65%)	203/267 (76%)
AUDIT score ≥ 5	51%	37%
AUDIT score ≥ 11	10%	5%

Snap shot **AUDIT C** screen:

- *of inpatients Acute Medical Unit (60 beds): morning session in April 2017
- ** all patients attending for endoscopy over a 1 week period (April 2017)

York Emergency Department

Dr G Kelly's Audit data

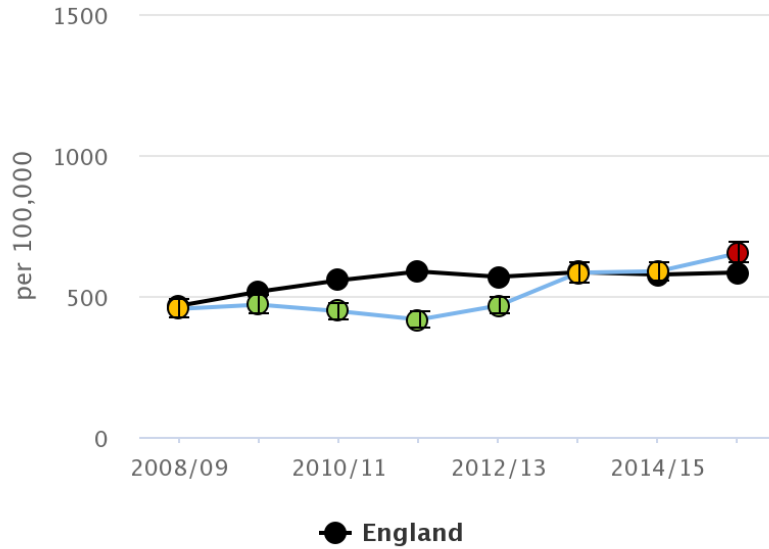
- **Audit of ED attendances in 2011**
 - 74,128 attendances over 12 months
 - 7265 (~10%) directly due to alcohol
 - Cost to Trust:
 - Trust paid £2,037,944 for these patients
 - However, the actual cost was £2,594,722
 - Acute trust lost £556,778 on attendees due to alcohol
 - 20% ambulance journeys due to alcohol
- 74 patients attended $\geq 10x$ in 12 months
 - 32/74 due to ETOH (+3 due to substance misuse)
 - 673 attendances + 434 ambulance journeys

OUTPATIENT SERVICES CURRENTLY PROVIDED BY LIVER SERVICE:

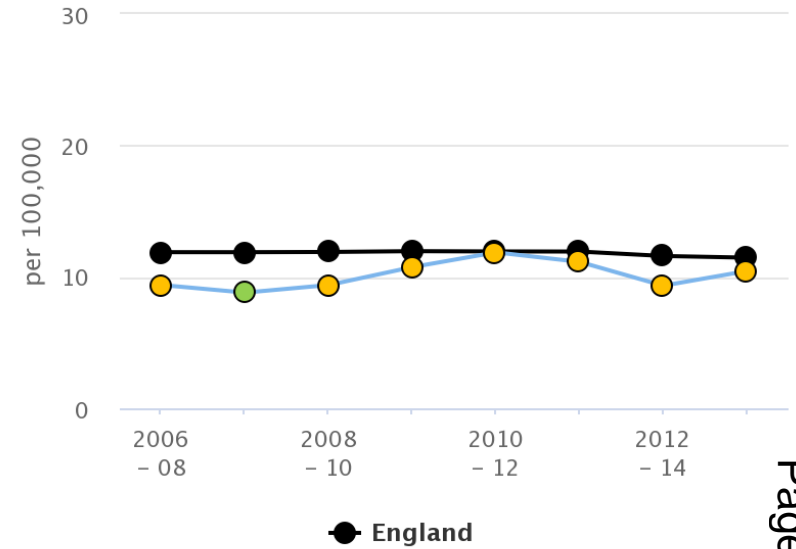
- Dedicated weekly cirrhosis clinics (York & Scarborough)
 - >50% causes of cirrhosis secondary or contributed to by excessive alcohol use
- Dedicated weekly elective endoscopic procedures (York & Scarborough) for variceal management
 - >50% secondary or contributed to by excessive alcohol use
- Nurse-led paracentesis service on the Medical Elective Suite (York)
 - **19 procedures** performed in 2015 due to alcohol
 - **34 procedures** performed in 2016 due to alcohol (1.8 fold increase to 2015)
 - **32 procedures** performed in 2017 (to date just over 5 months: due to alcohol; 2.3 fold increase to 2016)

Local Alcohol Profiles for England: fingertips.phe.org.uk

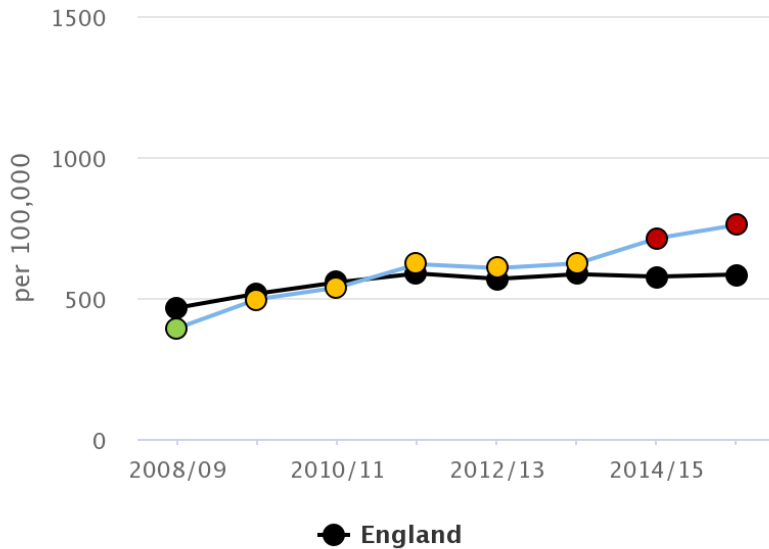
6.02 - Admission episodes for alcohol-specific conditions - York



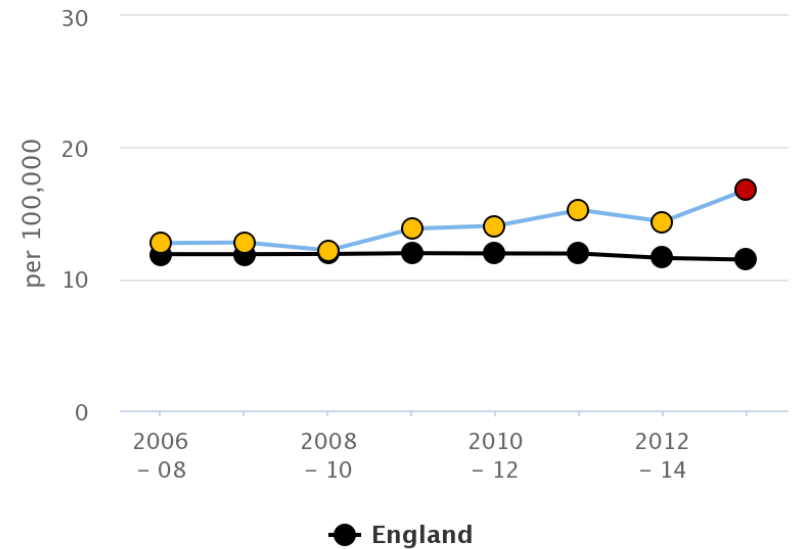
2.01 - Alcohol-specific mortality - York



6.02 - Admission episodes for alcohol-specific conditions - Scarborough



2.01 - Alcohol-specific mortality - Scarborough



The problem in summary

- It is likely that over 30% of patients (>16 years of age) passing through the services at York Hospital exhibit high risk alcohol drinking behaviour
- We have an increasing burden year on year alcohol related chronic liver disease
- At present we have a 0.6 WTE contracted alcohol and substance misuse nurse (at York Hospital)
 - guiding staff education
 - facilitating alcohol screening
 - providing brief inpatient alcohol intervention/ advice
 - and helping guide the management of patients with alcohol dependence

...we spend £26,000 combating an issue that costs £12 million

What can we do?
What can we afford *not* to do?

Royal Liverpool Hospital

- Alcohol Specialist Nurse in Inpatient Care
 - ↓ Average alcohol consumption in pts
 - Early discharge
 - Reduced re-admission
 - Improved staff attitudes

• ASN saved
• £175,000 in costs over 20 months (early discharge)
• >150 admissions/year (30 covered ASN salary)

Source: BSG Joint position paper 2010

Nottingham Alcohol Liaison Service

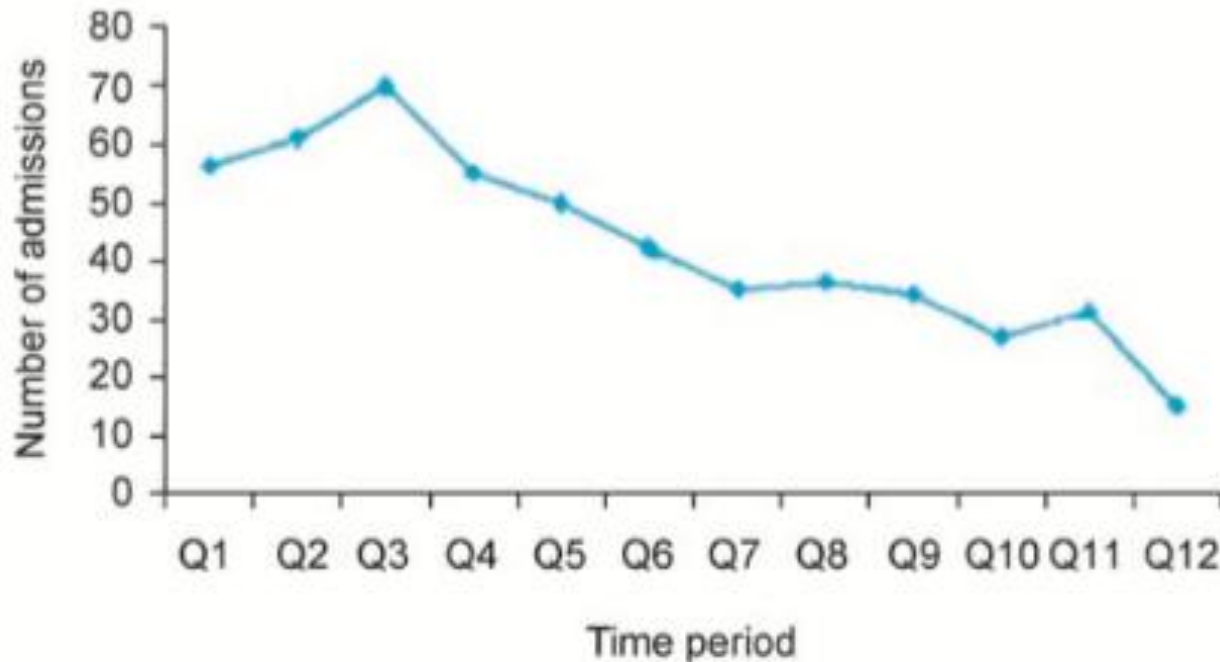


Fig 2. Reduction of admissions for alcohol withdrawal. Q1 etc refer to three-month periods from 2002. Q1 represents January to March 2002 with sequential three-month periods thereafter. The alcohol liaison nurse posts were initiated in April 2002 (in Q2).

Source: *Clin Medicine*: 2010, 10: 435-40

Portsmouth Alcohol Strategy

- 2010:
 - £200,000 from PCT for nurse-led ACT
 - Further £100,000 to extend service (City fund)
- 1x band 7, 3x band 6, 1x HCA + admin
- 2011: Bed-days saved & admissions avoided
 - Portsmouth: £396,728
 - Hampshire: £594,531

Salford Alcohol Assertive Outreach Team

- AAOT for top 30 'frequent flyers'

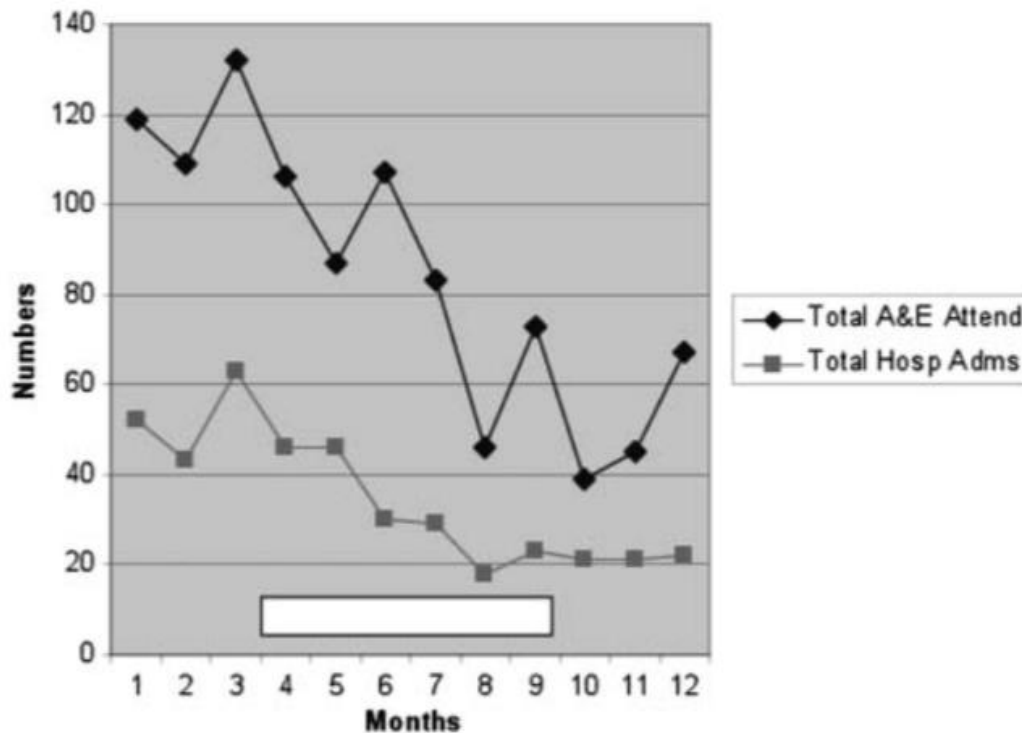


Figure 1 Monthly admissions and attendances. The white bar represents the 6-month period in which the team actively case managed 54 patients.

Source: Frontline Gastroenterology 2013:4; 130-134

York Hospital & Beyond

1. Alcohol Specialist Nurse Service:

- [3 x band 6] + [1 x band 3] + Admin **£131,315**
- Ambulatory detox programme (7-day/week)
- Brief interventions and anti-craving medication management
- Non Medical Prescribers
- Strong links with all community teams

2. Alcohol Link Workers' Network:

- Development and time for *all* clinical areas

3. Assertive Outreach Alcohol Service:

- Frequent attenders meeting monthly (top 10 patients for that month)
- Chaired by Clinical Lead for alcohol
- Attended by NWAS, community alcohol teams, community matrons, mental health team, domestic violence team, safeguarding, A&E staff etc any other teams that are involved.

Addressing Alcohol related Health issues

POLICIES

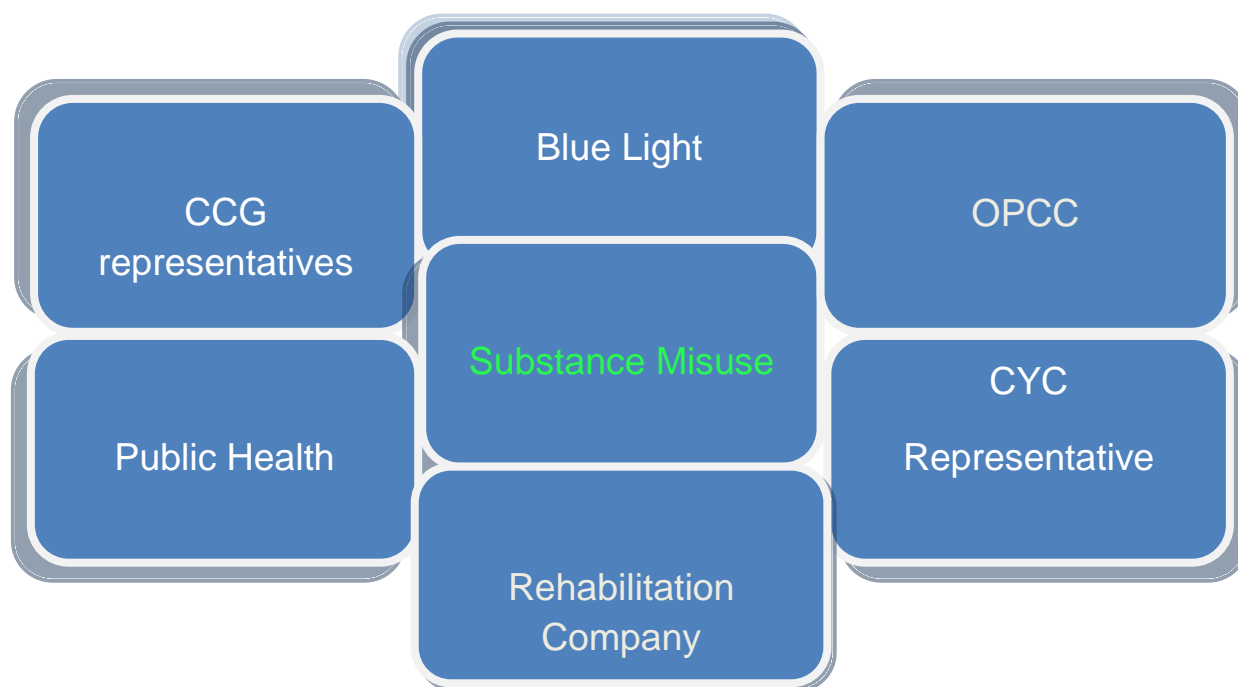
- Price
- All Primary care
- M • New Patient screen: **AUDIT-C, Units/week**
- Ec • Brief Secondary care
- Supl • 7-day ACT
- Furt • Assessment
- ?QO • IP D • Community Alcohol Services
- Seal • Brief interventions
- Planned detox
- 3rd Sector agencies

CONCLUSIONS

1. Rising burden of alcohol related disease on NHS nationally *and* locally
2. 'We' MUST get better at recognizing risky drinking (harmful, hazardous, dependent)
 - Primary Care
 - Secondary care: ASN + AOAS
3. Spend to save

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York Substance Misuse Commissioning Strategy Board



1. Its aim would be to make joint working much easier.
2. Public Health to coordinate meetings and drive decisions. The idea would be to work together on a clearly defined common agenda and client pathway, as well as respond to national policy initiatives.
3. It is vital that the group includes people who can make commissioning decisions in their respective organisations as well as recognise the changes needed, such as increasing provision in the primary and secondary care setting, so that hard to reach groups are targeted.

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Executive**18 March 2019**

Report from the Economy and Place Policy
Development Committee

**Residents' Priority Parking Scheme Scrutiny Review Final Report –
Cover Report****Summary**

1. This cover report presents the final report from the Residents' Priority Parking Scheme Scrutiny Review and asks the Executive to consider the recommendations arising from the review.

Recommendation

2. Having considered the final report at Appendix 1 the Executive is asked to approve the recommendations shown in paragraph 7, below.

Reason: To conclude the scrutiny review in line with City of York Council scrutiny procedures and protocols.

Background

3. At a meeting of the Economy and Place Policy Development Committee in June 2018 Members considered a proposal made by Cllr D'Agorne to review City of York's Residents' Parking Priority Scheme. After advice from Officers, Members agreed to undertake two policy development reviews, starting with an initial review to examine how best to mitigate measures for disabled access against vehicle scrutiny measures around the city centre.
4. This was to be followed by a review of residents' priority parking across the city and the Committee appointed an Task Group comprising Cllrs N Barnes, Cullwick (later replaced by Fenton), D'Agorne and Steward to carry out some initial research to inform a scoping report to be presented to the Committee's November 2018 meeting.

5. At the meeting in November 2018 the Committee agreed the following remit:

Aim:

To understand York's Residents' Parking Priority Scheme (ResPark) and identify efficiency savings that can be made, to both lower costs and make the scheme work better for residents.

Objectives:

- i. To examine different or simplified processes that can be used, e.g. the use of new technology;
- ii. To consider the size and extent of York's ResPark zones and whether there would be value in increasing the size of some zones;
- iii. To investigate best practice and different resident parking models in use elsewhere.

Consultation

6. Over a series of meetings the Task Group consulted with residents during an informal public meeting, canvassed other residents for their views and considered the findings of a residents' parking poll on the York Press website and best practices from elsewhere. They also met with the Assistant Director for Transport, Highways and Environment, the Head of Parking Services, Network Management and Parking and Customer Services.

Review Recommendations

7. At a meeting on 5 March 2019 the Economy and Place Policy Development Committee endorsed the following Review Recommendations:

That the Corporate Director of Economy and Place:

- i. Reviews the current pattern of ResPark zones with a view to rationalising them and identifying the most logical extensions into surrounding streets that suffer from non-resident parking;
- ii. Rationalises parking permits so there is more standardisation on permit length (i.e. replace the current 3, 6, 9 and 12 month permits

with one and 12 month permits);

- iii. Seeks to ensure residents' petitions for new zones are investigated and (if agreed) implemented as soon as possible, aiming for within a year.
- iv. Introduces an online self-service for customers to encourage online application and payment for parking permits and visitor vouchers, same day online payment for parking tickets, and to automate the requirement for evidence;
- v. Investigates the transition to a system of virtual permits, initially within a trial zone, to eliminate the need for paper permits through Automatic Number Plate Recognition and better links to DVLA to help enforcement;
- vi. Investigates digital options once virtual permits are in operation that will enable residents to check a registration number so if a vehicle is illegally parked the information is electronically passed to enforcement officers.
- vii. Examines the implications of allowing residents of new properties within existing ResPark zones to purchase a limited number of visitor vouchers.

Options

8. Having considered the final report at Appendix 1 the Executive may choose to approve and/or amend, or reject the recommendations arising from the review as set out in paragraph 7, above.

Council Plan

9. This review supports the Council's key priority to listen to residents, as listed in the Council Plan 2015-19. Within the Local Transport Plan sustainable forms of transport are prioritised above private car usage.

Implications and Risk Management

10. The implications and risks associated with the recommendations above are detailed in the review final report at Appendix 1

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Report Approved **Date** 28/02/2019

Wards Affected:

All

For further information please contact the author of the report

Annexes

Appendix 1 – Resident s’ Priority Parking Scheme Scrutiny Review
Final Report



Residents' Priority Parking Scrutiny Review Task Group

5 March 2019

Report of the ResPark Scrutiny Review Task Group

Residents' Priority Parking Scheme Scrutiny Review Final Report

Summary

1. This report provides the findings of the scrutiny review of the City of York Council's Residents' Priority Parking Scheme (ResPark) together with the Task Group's review conclusions and recommendations, for this Committee's consideration.

Background

2. At a meeting of the Economy and Place Policy Development Committee in June 2018 Members considered a proposal made by Cllr D'Agorne to review City of York's Residents' Parking Priority Scheme. After advice from Officers, Members agreed to undertake two policy development reviews, starting with an initial review to examine how best to mitigate measures for disabled access against vehicle scrutiny measures around the city centre.
3. This was to be followed by a review of residents' priority parking across the city and the Committee appointed an informal Task Group comprising Cllrs N Barnes, Cullwick, D'Agorne and Steward to carry out some initial research to inform a scoping report to be presented to the Committee's November 2018 meeting.
4. The initial remit for the informal Task Group was on the lines of:

A holistic review of residents' parking to include a review of the permit types available, the size and appropriateness of zones, and the current process of implementing a scheme. The review should also include examination of alternative models in place elsewhere.

5. At a meeting of this Committee in November 2018, Members considered a scoping report prepared by officers, along with information received from Cllr Fenton, who replaced Cllr Cullwick on the Task Group in July 2018.
6. At the meeting it was agreed that the Task Group needed to narrow its scope so the review could be completed within a realistic timeframe and the Committee agreed the following refined remit:

Aim:

To understand York's Residents' Parking Priority Scheme (ResPark) and identify efficiency savings that can be made, to both lower costs and make the scheme work better for residents.

Objectives:

- i. To examine different or simplified processes that can be used, e.g. the use of new technology;
- ii. To consider the size and extent of York's ResPark zones and whether there would be value in increasing the size of some zones;
- iii. To investigate best practice and different resident parking models in use elsewhere.

Background Information

7. The Residents' Priority Parking Scheme restricts parking within designated areas of York, known as 'ResPark zones', to those people who are eligible to apply for a permit. The scheme gives priority to park within a particular zone to all valid permit holders including residents and property owners.
8. Permits are available for residents within the ResPark zones and their visitors:
 - Household permits (and additional permits)
 - Visitor parking permits
 - Special control parking permits
 - House in multiple occupancy parking permits
 - Disabled parking permits
9. Permits are also available for people who may own properties within a zone, or have a commercial requirement for parking there:

- Guest house parking permits
- Property parking permits
- Landlord and management agents permits
- Business parking permits
- Commercial parking permits
- Community parking permits

10. Vehicles without a permit are only able to park or wait in a zone for the advised permitted waiting time (usually 10 minutes). The ResPark scheme does not guarantee a space, but gives priority over other vehicles who do not qualify to park within a ResPark zone. Most ResPark permits are only valid within one designated zone (usually the zone containing the applicant's home address or business), and a separate permit is required for each motor vehicle, with the exception of motorcycles and the first household permit.

Information Gathered

11. As part of the work of the informal Task Group, Cllr Fenton met staff from the Parking and Customer Services teams to gather information on the operation of the current ResPark scheme from a customer perspective. His findings include:
- There is comprehensive information available online about the Council's ResPark scheme, at <https://www.york.gov.uk/ResPark>
 - If you move into a property that is in a ResPark area, and would like to apply for a permit, you need to download a PDF form from the website and complete it by hand. You can send it to City of York Council by post with a cheque, or call into West Offices in person with your form and pay by cheque or card.
 - There are different forms for different permits. For example if you want a household permit and an additional permit, you have to complete multiple forms.
 - Household permits are not vehicle-specific (unless one of the discount categories applies), but additional permits are.
 - There are discounts for small cars (e.g. Smart cars) or low emission vehicles.
 - You can buy a permit for 3, 6, 9 or 12 months. CYC will send you a letter 6 weeks before your permit expires inviting to you renew by

post or by coming into West Offices.

- When you purchase a household permit, you will receive an authorisation card, which enables you to buy permits for visitors to use. Visitor permits come in books of 5 and each book currently costs £6.25. You can buy a maximum of 6 books per calendar month and 40 books in a year. To buy visitor permits you can either come to West Offices with your authorisation card and payment or apply by post enclosing your authorisation card, details of how many books you require, and your payment.
- If you don't have a car, but would like visitor permits, you need to obtain an authorisation card in order to apply for visitor permits.
- Large developments in ResPark areas (e.g. a large block of flats built on the site of a former pub) are not normally included in the ResPark scheme.
- In the Customer Contact Centre there are usually 2 or 3 members of staff dedicated to Parking Services.
- CYC currently has 17 licences for the parking software it uses, this limits the number of staff who can work on ResPark matters unless more licenses are purchased. The support for the current parking back office system expires in October 2019, so a replacement will need to be in place by then.

12. Cllr Barnes noted that during his investigations on behalf of the informal task group he found a certain amount of frustration among residents applying for residents' parking over the length of time that could be taken to implement schemes. He acquired the following information from Network Management:

Residents' Parking Schemes Waiting List

13. Residents parking schemes are dealt with in order of when they are received. Typically 2 schemes might be introduced per year but this depends on funding and staffing needed against other workload priorities.

Process	Approximate timescale
<p>Stage 1 – initiation</p> <p>The request (normally by petition) indicating significant support in an area or street is reported for either approval to take forward or refuse.</p>	8 weeks

14. When the potential scheme reaches the top of the list work begins. The time between Stage 1 and 2 varies significantly depending on the length of the waiting list.

<p>Stage 2 – start of project</p> <p>A draft scheme and questionnaire will be sent out to all properties within the proposed area. A proposal will normally be taken forward if there is at least a 50% response rate and the majority of returns are in favour. Depending on circumstances, there is potential for individual streets to go forward from an area if the streets return is very positive whilst the areas is either low or opposed.</p> <p>The consultation is then reported along with a proposed scheme for approval to advertise a Traffic Regulation Order (TRO).</p> <p>TRO preparation and advertising</p> <p>Any objections to the proposed TRO are then reported for consideration.</p> <p>If the objections are overturned by the Executive Member for Transport the scheme will then be implemented.</p>	<p>6-8 weeks</p> <p>8 weeks</p> <p>4-6 weeks</p> <p>8 weeks</p> <p>12-15 weeks</p>
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15. Once work on a scheme begins it will normally take 9 months to complete.

Waiting List

Area	Date received	Progress (NOTE: not all will get through to implementation)	
Rosedale Street Petition	April 2017	Reported Consultation carried out Consultation report TRO advertised Objections report Implemented/dropped	Yes Yes Yes DEC
Danesmead estate Petition (including Fulford Cross) SEE LINK BELOW (Fulford Cross undergoing a Second consultation, Danesmead to take forward)	April 2017	Reported Consultation carried out Consultation report TRO advertised Objections report Implemented/dropped	Yes Yes/ June/Oct Dec/Jan
Clifton Dale	June 2017	Reported Consultation carried out Consultation report TRO advertised Objections report Implemented/dropped	Yes
Broadway / Westfield Drive LINK with Danesmead estate above (Insufficient support from these streets)	Sept. 2017	Reported Consultation carried out Consultation report TRO advertised Objections report Implemented/dropped	Yes Yes/June Oct No Further Action

Pasture Farm Close	Sept. 2017	Reported Consultation carried out Consultation report TRO advertised Objections report Implemented/dropped	Yes
Albemarle Road (15- 37)	Jan 2018	Reported Consultation carried out Consultation report TRO advertised Objections report Implemented/dropped	Yes
Main Avenue, First Avenue and Second Avenue	May. 2018	Reported Consultation carried out Consultation report TRO advertised Objections report Implemented/dropped	Yes
Balmoral Terrace	June. 2018	Reported Consultation carried out Consultation report TRO advertised Objections report Implemented/dropped	Yes
Farrar Street	Oct 2018	Reported Consultation carried out Consultation report TRO advertised Objections report Implemented/dropped	Feb 2019

Area	Date received	Finished	
South Bank Avenue Petition	Summer 2016	Implemented	Yes
Butcher Terrace area Petition	Summer 2016	Implemented	Yes
Phoenix Boulevard Petition	Summer 2016	Implemented	Yes
Railway Terrace / St Paul's area Petition	Summer 2016	Implemented	Yes
St. Aubyn's Place	February 2017	Implemented	Yes
St. John's Place and Chestnut Court	August 2017	Reported	NO ACTION
Sussex Road Petition	May 2017	Reported, consulted, Insufficient support	NO ACTION

16. Since the way in which CYC monitors its petitions process was passed to the Customer and Corporate Services Scrutiny Committee at the end of 2014 there have been 18 petitions from resident groups asking for their area or street to be included in the Residents' Priority Parking Scheme, many citing commuter parking as the reason for their actions.
17. In early January 2019 the Task Group held an informal public meeting to help gauge public opinion around residents' parking schemes and to gather further views to inform their considerations.
18. At the same time there was a poll on the York Press website seeking public views on resident parking. More than 1,000 people took part in the York Press poll with 72% saying they were happy with the current scheme.
19. At the beginning of the public meeting it was explained that the Task Group was looking to identify efficiency savings to make ResPark work better for residents, but not at the price of resident parking permits. Even so, several residents raised the issue of permit pricing as being a bone of contention.

20. At the meeting residents who attended made a number of comments expressing both support and criticism of the current arrangements. These included:

- York's ResPark is very good and value for money;
- Allow payments to be made monthly by direct debit;
- Allow shops to sell visitor permits;
- Wardens and back office staff are very helpful;
- Parking permits should be vehicle registration specific;
- Technology is available to introduce virtual permits and apply for permits online.
- Small zones should be retained;
- Volunteer wardens could be enlisted to help enforcement;
- Permits should be displayed in vehicles so residents can easily identify who is eligible to park within the zone, and who is not;
- Allow visitor scratch cards to be transferable to enable them to be used by more than one visitor on the same day;
- Residents' parking should be considered as part of York parking strategy;
- Permitted waiting times within ResPark zones need to be looked at area by area as 10-minute parking allowance is widely abused;
- To prevent commuter parking consider one or two-hour restrictions;
- We are desperate for residents' parking;
- Consideration for Park and Ride buses to stop at every bus stop to more people would use them;
- People with ResPark permits who cannot find anywhere to park within their zones should be allowed to park in the nearest CYC car park for free;

21. Conversely:

- Don't want these schemes imposed on us;
- Don't want virtual permits;
- Virtual permits – not all residents have the technology to check the legitimacy of vehicles parking in their zone;
- Wrong that people with low emission vehicles don't get any benefits;
- Would prefer bigger ResPark zones. Nine zones within a five minute walk from my house;
- Never see any parking wardens;
- People don't get caught parking in ResPark areas or on double yellow lines near shops;
- Too many vehicles in the city. Where people have several vehicles or where they are Houses of Multiple Occupancy these schemes will not work;
- Up to resident to petition for a parking scheme but they are not agreed as part of a strategy;
- If residents cannot park near where they live, what is the point of ResPark?
- Cost of resident-only parking permits should be spread across all York Council Tax payers;
- ResPark schemes should not be used to generate income for the Council.

22. In addition to the comments above other residents made written submissions about ResPark and these included:

- If it is an environmental tax on car owners why is it not imposed on those with driveways as well? In my street we have a number of high value homes with driveways on which park large highly polluting cars, yet they will not be taxed according to their emissions or the number of cars at the household. Only those living in terrace houses without driveways will be taxed and by their nature will probably be lower income households i.e. it is a regressive tax.

- With the consultation, those with driveways have equal weight when it comes to voting on whether a scheme comes into force, yet because they have a driveway, will not suffer the additional tax which might easily be imposed upon a car owner who lives in a terraced house without a drive who voted against the scheme. This seems grossly unfair.
- I rarely use my car as I walk or cycle to work, yet with some ResPark areas there is a M-F 9am-5pm restriction. So if I drove my car to work everyday I could possibly avoid paying for a permit. As such, I could be penalised for being environmentally conscience and not using my car on a daily basis.
- I do not expect to be able to park outside of my house and will often find a parking space in adjoining streets. Because ResPark schemes are zoned, this could make it far more difficult for me to find a parking space and for the residential parking load to be distributed around a larger residential area. The scheme should cover much larger areas rather than small zones.
- I have a disabled father and often cannot park my car near my house when he comes to visit. He cannot walk far so often I have to drop him off at my house and go to look for somewhere to park, often streets away and then go to get my car to take him home
- Non residents park their cars all day. It seems these are people who work in town and park in our street to save on car park costs, so it could be beneficial to the Council to obtain more parking fees in the car parks and Park & Ride
- Non residents often park on double yellow lines. Quite often these are the same cars I have reported but nothing seems to be done. They park at the ends of the streets making it difficult to get round the corners with wheelchairs and prams.
- Some residents say friends and family often don't come to see them as they cannot park near their house. This is most distressing for them, especially an elderly lady who lives in my street
- Non residents park in the alley ways again blocking prams and wheelchairs, but more importantly emergency vehicles would have difficulty getting to the back of houses for fires and emergency ambulances

- A lot of residents who would be willing to pay for parking in our streets
 - It would also help with traffic in the area if it was residential parking only
23. Separately the Assistant Director for Transport, Highways and Environment has been in communication with a Heworth resident whose house is in a Residents' Parking Zone. The house was finished four years ago and has a garage, so has no resident parking permit. However, he has been told that he not eligible for visitor permits, which has caused problems when workmen have needed to visit the property.

Residents' Parking Models used elsewhere.

24. Sheffield City Council

Earlier this year Sheffield introduced a paperless system for Residents' Parking Schemes which was rolled out in two Phases. Phase 1 deals with residents, businesses permits and green permits while Phase 2 incorporates visitor, trade and utility permits.

The benefit for the customer is that evidence no longer has to be provided up front. Eligibility checks can be done after the paperless permit is issued, so the customer can now apply and pay in the same transaction.

In the paper system all evidence has to be supplied and thoroughly checked before a paper permit is issued. This often means customers have multiple contacts with the council to perform the one transaction. This all takes significant time and is inconvenient to the customer.

With paperless permits, once the customer has applied and paid in the same transaction, the permit is issued. There is nothing to print off or display.

Civil Enforcement Officers enter a vehicle's registration in their handheld device, which is updated overnight from the permit database. This will show whether the vehicle has a valid permit for that parking zone.

The difference with the phase 2 permit is they are a type of voucher that is not necessarily required every day. This means the customer needs to activate a voucher when they wish to use it. So instead of placing a physical voucher in a car's windscreen and validating it by marking the

date, they will go online on enter a pin number and registration.

25. Cambridge City Council

As of November 2018 there are 19 residents' parking zones in central Cambridge, with more being consulted on. These limit parking to residents between 9am and either 5pm or 8pm and either six or seven days a week.

As part of the expansion of residents' parking zones Cambridge is considering a city-wide approach. The Council considers the process of iterative expansion invariably pushes a problem onto a new set of residents and only marginally reduces congestion. It considers a city-wide approach to be more effective and less divisive. The feeling is that the problem of commuter parking is now acute in many parts of Cambridge, so a co-ordinated rather than piecemeal response is needed.

26. Watford Borough Council.

In April 2018 Watford introduced a new system to allow residents and business to apply for a permit 24/7 and receive their virtual permit instantly. They no longer need to wait for a paper permit to arrive in the post for them to display in their car. Council staff add permit details to the new system and vehicles are instantly covered with a virtual permit.

Civil Enforcement Officers scan car number plates using a handheld device with recognition software to link permit-holders to the number plate of their car to find out if a vehicle has a permit or not, saving them time as they will no longer have to add in the number plate manually.

Virtual visitor permits involve householders registering an account that will allow them to buy time for their visitors by telephone, online or a mobile phone app. Civil Enforcement Officers can then use a handheld device to confirm that the visiting vehicle is covered by a valid parking session.

27. Wokingham Borough Council

From October 2018 Wokingham Borough Council has been issuing virtual permits for all on and off-street parking. This applies to Resident Parking Permits and season tickets.

Virtual permits mean motorists no longer need to display a paper permit in their vehicles when parking in a Residents' Parking Zone. After residents have completed their online applications parking enforcement officers will instantly know if a vehicle has an active permit.

28. Oxfordshire County Council

Resident parking schemes in Oxford are undergoing a major programme of extensions ahead of the implementation of a city centre clean air zone in 2020. A report which ranks Oxford's areas from those which most need controlled parking zones to those which need them least has been approved by the county council. However, the cost of implementing all the controlled parking zones will top £3m and as there is only £861,000 in the current spending pot some prioritisation will be necessary.

In Oxford zones vary in their times of operation and restriction, which are detailed within the zones. These vary from strictly permit holders only, to 30 minute parking spaces through to three hour parking spaces in some areas and dependent on the time of day.

29. Brighton and Hove

In Brighton and Hove the hours of operation of Resident Parking Zones are 9am to 8pm or 'light touch schemes' for limited periods during the day, such as 10am to 11am and 7pm to 9pm or 11am to noon and 6pm to 7pm. The limited period zones have the advantage of focussing enforcement activity while precluding all day and evening parking but still allowing free visitor parking during early morning and afternoons.

30. Wandsworth Borough Council

In Wandsworth there are two main types of parking control: all-day restrictions and one-hour restrictions and a Controlled Parking Zone can be made up of a mixture of the two. The one hour zones operate for one hour per day – usually Monday to Friday, and are designed specifically to deter commuters. They allow others to park without restriction outside the specified hour.

Analysis

31. Parking in residential areas is a broad and high profile subject and all aspects of parking ranging from permits, the physical space to park, enforcement, maintenance and so on, are intrinsically linked.
32. Residents' Priority Parking Schemes allow businesses and residents in those areas relief from the detrimental effects of all-day commuter and shopper parking which can cause significant issues in those areas. They are designed to improve residents' ability to park near their properties.

33. The significant number and small size of the resident parking zones increases complexity. These have been implemented over many years since the early 1980s where between then and up to 2003 there were 29 zones across the city. Since then it has increased to 61 with more being implemented and more waiting to be reviewed, all of which are instigated by residents and/or Ward Councillors. This provides 5,220 parking spaces, including 380 which are also Pay and Display.
34. The cost of running the resident parking scheme is complex because York has chosen to implement very small, often single-street ResPark schemes which could mean some zones may be disproportionately expensive to implement and there is a piecemeal spread of these zones. York has 61 zones (increasing every year) compared to say Harrogate's number of zones, which are in single figures as an example.
35. The consequences of this argument is for bigger, broader resident parking zones which may reduce the costs but have other knock on effects, such as the potential increase in short car trips. For example where a resident knows they can drive to the shops within an extended zone. Reducing complexity could look at options such as:
 - Rationalising down the number of parking zones to larger zones.
 - Rationalising down the number and types of parking permits including simplifying to period of validity e.g. only offering annual or monthly payment options.
36. The piecemeal response to resident parking areas invariably pushes the problem of commuter / shopper parking onto a different set of neighbouring residents. A city-wide approach can be more effective and less divisive but would inevitably mean larger resident parking zones and the temptation for residents to drive within those zones for short journeys to shops etc.
37. No figures have been published for the numbers of commuter vehicles parking on residential streets across York, but anecdotal figures suggest it is likely to be in the low thousands and that 'cruising' in search of parking spaces adds to congestion, pollution and annoyance for residents.
38. Cost savings and customer service improvements are continually reviewed by Parking Services. One example includes the project to replace the IT systems which will improve the online self-service system for customers. Options for future development once the IT system is in place include digital/virtual parking permits.

39. The price of a permit is set by Full Council as part of the annual budget setting process. The cost of permit increases in recent years has been inflationary. Any surplus from parking can be used, as laid out by law, to subsidise other transport elements. Residents' parking is budgeted to achieve income of £858k. Any changes that would lead to a loss of income would require compensatory budget savings to be made.
40. One or two-hour resident only zones, as detailed in paragraphs 28 - 30 above, can offer two advantages for residents in that visitor and contractors do not need a permit if they can avoid parking during restricted hours and that enforcement activity can be focused while precluding all day parking.
41. The cost of enforcement is roughly proportional to the number of times a zone is patrolled. A one-hour restriction need only be patrolled once, which requires far fewer patrol hours than say, eight-hour restrictions which may need to be patrolled hourly. If contiguous one-hour zones have sequential hour restrictions (Zone a: 10-11am, Zone B: 11am-noon, Zone C: noon-1pm, etc) a single Civil Enforcement Officer can cover several zones in a day. It is therefore reasonable to believe that one-hour resident parking zones would be easier and cheaper to enforce. Hours chosen would need to take account of local circumstances e.g. workplace, school, nursery, business, church etc as the source of the problem.
42. Occupiers of new homes built within Residents' Parking Zones are not eligible for residents' permits so these new developments do not add to the parking pressure within these zones. However, under current arrangements they are also not eligible for visitor permits and this can cause problems when workmen need to visit the property, see paragraph 23. In such instances it may be possible to offer limited visitor parking vouchers, say six a year.

Consultation

43. To gather the information in this report, Members of the Task Group met residents during an informal public meeting, canvassed other residents for their views and considered the findings of a residents' parking poll on the York Press website. They have also met with the Assistant Director for Transport, Highways and Environment, the Head of Parking Services, Network Management and Parking and Customer Services.

Conclusions

44. The cost of running some Resident Parking Schemes in York is disproportionately expensive because of the piecemeal implementation of zones within the city. York currently has 61 zones, often single street zones, with more waiting to be reviewed. There is an argument for rationalising the number of zones to create larger zones as this would reduce complexity and potentially reduce costs. Creating larger zones would also encourage people to use park and ride, rather than trying to find on-street parking in the city, which would help reduce congestion in the central area.
45. The current approach ensures that residents in potential new areas are consulted fully but creates a creeping spread of zones with knock on effects in surrounding streets rather than a planned, more holistic approach across all streets affected by commuter parking.
46. Similarly there is an argument for rationalising parking permits themselves so there is more standardisation on permit length. This could be achieved by simplifying the period of validity from the current 3, 6, 9 or 12 month permits by offering annual or monthly permits.
47. Some residents have expressed frustration at the length of time taken for residents' parking zones to be investigated and implemented and it would be helpful, resources permitting, if a realistic timeframe could be agreed from CYC receiving the initial request to the process being completed.
48. Cost saving and customer service improvements can also be achieved by improved online services to residents. Options for future development once the new parking system is in place include the introduction of virtual permits and an online self-service for residents to allow online application and payment for parking permits and visitor vouchers,
49. Virtual permits and different patterns of operation have been shown to work effectively in other authorities and could be considered for implementation in York. A transition to a system of virtual permits would eliminate the need for paper permits to be displayed in a vehicle when it is parked in a ResPark zone. With virtual permits residents will no longer have to wait for a paper permit to arrive in the post as after they have completed their online application parking enforcement officers will instantly know if a vehicle has an active permit.

50. If and when virtual permits are introduced in York there could also be an opportunity for residents to use digital technology to enable them to check a registration number and if a vehicle is parked illegally the information is passed to enforcement officers.
51. Finally, while new developments within existing ResPark zones are usually agreed with a condition that they do not increase parking pressures within that area and therefore the new residents are not eligible for resident parking permits or visitor vouchers, there could be some leeway to give these residents the option to apply for a limited number of visitor vouchers, say six a year, should they have visitors such as workmen undertaking essential work on their properties.

Review Recommendations

52. Having considered the information provided in this report the Committee is asked to recommend to the Executive that the Corporate Director of Economy and Place:
 - i. Reviews the current pattern of ResPark zones with a view to rationalising them and identifying the most logical extensions into surrounding streets that suffer from non-resident parking;
 - ii. Rationalises parking permits so there is more standardisation on permit length (i.e. the current 3, 6 and 12 month permits) by offering annual or monthly permits.
 - iii. Seeks to ensure residents' petitions for new zones are investigated and (if agreed) implemented as soon as possible, aiming for within a year.
 - iv. Introduces an online self-service for customers to encourage online application and payment for parking permits and visitor vouchers, same day online payment for parking tickets, and to automate the requirement for evidence;
 - v. Investigates the transition to a system of virtual permits, initially within a trial zone, to eliminate the need for paper permits through Automatic Number Plate Recognition and better links to DVLA to help enforcement;
 - vi. Investigates digital options once virtual permits are in operation that will enable residents to check a registration number so if a vehicle

is illegally parked the information is electronically passed to enforcement officers.

- vii. Examines the implications of allowing residents of new properties within existing ResPark zones to purchase a limited number of visitor vouchers.

Council Plan

53. This supports the Council's key priority to listen to residents, as listed in the Council Plan 2015-19.
54. Within the Local Transport Plan sustainable forms of transport are prioritised above private car usage.

Implications

55. **Financial:** A review and rationalisation of ResPark zones would need to be completed within existing resources. If an agreed timescale for the introduction of new zones were agreed this would also need to be able to be met from within existing budgets. There is a current project and budget to replace the parking IT systems. Any IT improvements would need to be met from within this budget or additional growth would need to be agreed through the annual budget process.
 - **Human Resources (HR):** There are no HR implications
 - **Equalities:** There are no equalities implications
 - **Legal:** Enforcement of parking permits is covered in the body of this report.
 - **Crime and Disorder:** There are no crime and disorder implications
 - **Information Technology (IT):** There is a project underway to replace the parking back office system through replacement/enhancement of the Oracle Customer Relationship Management system which will present the opportunity to improve parking processes for the benefit of the customer and staff. Applying online and making the payment is a future development and relies on the technology being in place to do so.
 - **Property:** There are no property implications
 - **Other:** There are no other implications

Risk Management

56. There are no risks associated with the recommendations in this report. However, the risk of doing nothing is that the current concerns raised by Members and residents are not addressed.

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Report Approved **Date** 4/02/2019

Wards Affected:

All



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Executive**18 March 2019**

Report of the Customer and Corporate Services Scrutiny Management Committee

Financial Inclusion Scrutiny Review Final Report – Cover Report**Summary**

1. This cover report presents the final report from the Financial Inclusion Scrutiny Review and asks the Executive to approve the recommendations arising from the review.
2. The final report is subject to approval of the Customer and Corporate Services Scrutiny Management Committee (CSMC) at its meeting on 11 March and this paper has been published prior to that meeting in view of the statutory timescales for publication of reports. CSMC's decision and any changes to the report or the review recommendations arising from that meeting will be circulated to Executive.

Recommendation

3. Having considered the Financial Inclusion Scrutiny Review Final Report at Appendix 1 and its annexes the Executive is asked to approve the recommendations as shown in paragraph 8, below.

Reason: To conclude this scrutiny review in line with CYC scrutiny procedures and protocols.

Background

4. At a meeting of CSMC in June 2018 Cllr Neil Barnes proposed a scrutiny review into Financial Inclusion. This followed a decision session by the Executive Member for Adult Social Care and Health which considered Welfare Benefits Update and Financial Inclusion Outturn Report 2017/18.
5. In early September 2018 CSMC considered a scoping report on Financial Inclusion and agreed this was a topic worthy of review. The

Committee appointed a Task Group comprising Cllrs N Barnes, Brooks and Fenton to carry out this work on their behalf.

6. In November 2018 CSMC considered an update report on Financial Inclusion which requested that a 19 July Motion to Council on Food Poverty be added to the review remit. This was agreed so the remit became:

Aim:

To understand the impact of Universal Credit on the citizens of York and the activities being run to promote Financial Inclusion.

Objectives:

- i. To ensure processes are ready and resilient enough to deal with the growing impact of Universal Credit;
- ii. To examine the low take up of the Council Tax Discretionary Reduction Scheme and how this is being signposted to potential customers;
- iii. To determine the drivers behind the increased demand on Discretionary Housing Payments and look at whether Financial Inclusion activities and resources can mitigate any causes;
- iv. To understand how the various initiatives aimed at addressing the cause of financial exclusion funded by the Financial Inclusion Steering Group are awarded and measured.
- v. To look at the impact of Universal Credit on families with uncertain employment patterns within a volatile employment market.
- vi. To understand how the above issues are linked to apparently increasing levels of food poverty in York, including work on the following:
 - the background to food poverty in York including any available local statistics and how local measurement might be improved;
 - the current role of crisis support in York in mitigating food poverty;

- a range of options for the Council and its partners to improve the city wide response to food poverty in York.

Consultation

7. Over a series of meetings the Task Group consulted with Citizens Advice York, the Welfare Benefits Unit, York Food Poverty Alliance and City of York Council specialist officers.

Review Recommendations

8. The information gather as a result of the above consultations led to the following review recommendations:

That CSMC:

- i. Recommend to the new administration that a deeper scrutiny review into the causes of and responses to food poverty is considered, taking into account key elements of the York Food Poverty Alliance report at Annex E.

And request Council to:

- ii. Agree that a review and refresh of the 2012 Financial Inclusion Policy and associated Action Plan should be undertaken. This review should include, but not be limited to, consideration of the work of Advice York and the Financial Inclusion Steering Group, the impact of the roll-out of Universal Credit, measures to address food poverty and support for digital inclusion;
- iii. Consider broadening the membership of the Financial Inclusion Steering Group to include organisations such as the Welfare Benefits Unit;
- iv. Investigate options for securing long-term funding support for successful time-limited FISG grant funded schemes, such as the Citizens Advice York GP Surgeries Advice Scheme;
- v. Continue to monitor the impact of Universal Credit in York and agree that future six-monthly reports on Financial Inclusion are considered by the Executive rather than the Executive Member;

- vi. Commission the FISG to examine the current provision of digital and IT services available for benefit claimants at West Offices and other publicly-accessible buildings to ensure these facilities are accessible for all who need them;
- vii. Ensure the language and terminology on CYC forms used for requesting financial assistance is easily understood and adequately conveys the necessary information to people who may have difficulties filling in these forms;
- viii. Seek out and learn from best practice elsewhere on how best to engage with 'hard to reach' groups who may not necessarily be comfortable reaching out to statutory bodies when they need advice or support;
- ix. Raise awareness within Council directorates of the impact that their policies and actions can have on more vulnerable members of the community, and encourage more cross-council and cross-partner engagement;
- x. Ensure that after May 2019 all new and existing Members have comprehensive training around Financial Inclusion so they have a full understanding of the role of the council and its partners.

Options

- 9. Having considered the final report at Appendix 1 and its annexes the Executive may chose to approve and/or amend, or reject the recommendations arising from the review as set out in paragraph 8, above.

Council Plan

- 10. This review is linked to 'a prosperous city for all' and 'a Council that listens to residents' priorities in the Council Plan.

Implications and Risk Management

- 11. The risks and implications associated with the review recommendations above are included in the review final report at Appendix 1.

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Report Approved Date 28/02/2019

Wards Affected:

All

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Annexes

Appendix 1 – Financial Inclusion Scrutiny Review Final Report

Abbreviations

CSMC – Customer and Corporate Services Scrutiny Management Committee
CYC – City of York Council
FISG – Financial Inclusion Steering Group
GP – General Practitioner

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Customer and Corporate Services Scrutiny Management Committee

11 March 2019

Report of Financial Inclusion Scrutiny Review Task Group

Financial Inclusion Final Report

Summary

1. This final report presents the Customer and Corporate Services Scrutiny Management Committee (CSMC) with all the information gathered by the Task Group set up to review Financial Inclusion in York, together with the Task Group's conclusions and recommendations.

Review proposal

2. At a meeting of CSMC in June 2018 Cllr Neil Barnes proposed a scrutiny review into Financial Inclusion. This followed a decision session by the Executive Member for Adult Social Care and Health which considered Welfare Benefits Update and Financial Inclusion Outturn Report 2017/18.
3. The Executive Member resolved that the impact of Universal Credit (UC) to date, and the welfare support provided by the council to residents in 2017/18, be noted and that the council continue to work proactively with third sector partners on the wide range of support, early intervention and advice through the activity of the Financial Inclusion Steering Group.
4. Four strands within the Welfare Benefits Update and Financial Inclusion Outturn Report 2017/18 were identified as having the potential for further scrutiny:
 - i. The growing impact of Universal Credit is starting to be felt (and reported by Citizens Advice York). Are processes ready and resilient enough?
 - ii. The low take up of council tax discretionary reduction scheme is a concern. How is this being advertised / signposted to potential customers?
 - iii. There is an increased demand on discretionary housing payments.

- iv. The various activities initiatives aimed at addressing the cause of financial inclusion being funded by Financial Inclusion Steering Group. How are these awarded and how are we measuring the benefits?

Remit

5. The Corporate and Scrutiny Management Committee discussed the Financial Inclusion Scoping Report at their meeting in early September 2018 and agreed this was a topic worthy of review. The Committee appointed a Task Group comprising Cllrs N Barnes, Brooks and Fenton to carry out this work on the Committee's behalf.

6. The Committee also agreed the following remit for the review.

7. Aim:

To understand the impact of Universal Credit on the citizens of York and the activities being run to promote Financial Inclusion.

8. Objectives:

- i. To ensure processes are ready and resilient enough to deal with the growing impact of Universal Credit;
- ii. To examine the low take up of the Council Tax Discretionary Reduction Scheme and how this is being signposted to potential customers;
- iii. To determine the drivers behind the increased demand on Discretionary Housing Payments and look at whether Financial Inclusion activities and resources can mitigate any causes;
- iv. To understand how the various initiatives aimed at addressing the cause of financial exclusion funded by the Financial Inclusion Steering Group are awarded and measured.
- v. To look at the impact of Universal Credit on families with uncertain employment patterns within a volatile employment market.

9. The Task Group met for the first time in early October 2018 when a way forward was agreed. This included gathering detailed information on the current process, assessing what is available, analysing how various services are signposted and considering the customer journey from their arrival at CYC (Annex A).

10. In November 2018 CSMC considered an update report which requested that a 19 July Motion to Council on Food Poverty be added to the review remit. This was agreed by the Committee so the following objective was included in the review:
 - vi. To understand how the above issues are linked to apparently increasing levels of food poverty in York, including work on the following:
 - the background to food poverty in York including any available local statistics and how local measurement might be improved;
 - the current role of crisis support in York in mitigating food poverty;
 - a range of options for the Council and its partners to improve the city wide response to food poverty in York.

General background

Financial Inclusion

11. The council provides a broad range of support to welfare benefit customers through the York Financial Assistance Scheme (YFAS), Council Tax Support (CTS) and Discretionary Housing Payments (DHP). In addition the council provides digital support and personal budgetary advice in respect of Universal Credit (UC) claimants.
12. The council also has welfare benefit advisors at West Offices who provide support to all residents, in their homes, at York District Hospital and in the Budgeting Cafes at Sanderson Court & Foxwood Community centre. Welfare Benefit customers in receipt of CTS benefit from a lighter touch recovery process that does not include the use of Enforcement Agents (bailiffs) and minimum court costs to apply for liability orders.
13. All customers including welfare benefit customers have the opportunity to arrange their own payment arrangements digitally without having to talk to council officers.

Background to the specific areas of the review

Impact of Universal Credit

14. The initial rollout of 'live' UC services in York occurred in February 2015. This had little additional impact on the demand for welfare support provision as the initial 'live' service only affected single people.
15. The rollout of the UC 'Full Service' in York started in September 2017 affecting all working age customers with some exemptions (e.g. customers in 'exempt' accommodation, families with more than 3 children). Pension age residents are not affected by UC. At this time only new welfare benefit claimants and some existing Housing Benefit (HB) customers with certain prescribed change of circumstances are claiming Full Service UC.
16. The gradual transition of customers to UC along with buoyant employment levels in York has meant that any detrimental impact on residents has been slow in materialising in respect of our welfare benefit support. However, CAY and other agencies are reporting an increase in queries relating to UC.

Third Sector Partners

17. Citizens Advice York and other agencies are seeing an increase in queries relating to UC. From their experience there are many residents who need help navigating the system, for instance:
 - knowing who should claim UC, some people are incorrectly being told they should claim UC instead of other benefits such as contributory benefits e.g. job seekers (contribution based) or employment support allowance (contribution based);
 - knowing when to claim, if people claim UC before receiving their final pay from a previous employer this is taken as income during their assessment period and deducted from their UC payment;
 - knowing what's included in UC and what isn't, making sure people include their housing costs in their UC claim and making a separate application to the council for Council Tax Support;
 - knowing how much they should receive and when; there have been a number of errors where additional elements have not been included in UC awards.

18. Currently agencies are seeing people who are worried about changes in their circumstances and the impacts of UC on them and their families. Food bank statistics also show a 49.4% increase in demand from those customers moving to UC from April 2017 to March 2018.

Council Tax Support

19. The 'council tax discretionary reduction scheme' can provide financial help to any council tax payer who find themselves in difficulty with paying their council tax, subject to scheme criteria.
20. Reductions are made on hardship grounds with each application considered on its own individual merits and based on their net council tax liability after any discounts, exemptions, reductions for disabilities or CTS have been applied. The council have worked hard along with CAY to promote this support making it as accessible as possible. The awards for the last three years show that the value is continuing to fall despite this work:
- 2015/16 - £26,745
 - 2016/17 - £23,957
 - 2017/18 - £18,557

Discretionary Housing Payments (DHP)

21. Tenants on Housing Benefit (HB) or receiving the housing element of UC can claim DHP from the council if the amount they get is less than their rent and they are struggling to pay their landlord the difference. It is largely intended to be a short term award.
22. The council receives a direct grant from the Department for Works and Pensions (DWP) to fund DHP payments and this can be increased from local resources up to a maximum of 2.5 times the DWP grant. In 2017/18 the council made 543 awards totalling £206,798 which was within the DWP grant of £256,596. This was an increased spend compared to 2016/17 where a total of £180,842 was awarded to 512 residents.

Financial Inclusion Steering Group

23. York's Financial Inclusion Steering Group (FISG) comprising Council directorate representatives, Citizens Advice York (CAY), Advice York (AY), South Yorkshire Credit Union (SYCU) and the Executive Members for Adult Social Care and Health, and Finance & Performance, was set

up in January 2013 with the aim of addressing the root cause of financial inequality. The group's purpose is:

'To ensure that local people have the knowledge of and access to appropriate services, allowing them to make more informed choices to achieve and maintain financial stability'.

24. The FISG is responsible for overseeing the delivery of financial inclusion work including the allocation of funds to projects delivered by partners that meet the group's objectives (see paragraph 8). It has an agreed and ongoing base budget of £100k per year from 2017/18. In February 2017 Council agreed an additional £50k per year for 2017/18 & 2018/19 to be allocated to projects and a further £25k per year to fund specific debt advice related support work across the same two year period.
25. The group aims to:
 - Ensure that residents have the knowledge to manage their finances effectively
 - Better coordination of advice services across the city
 - Advice givers and those 'sign posting' better understand the welfare benefits system
 - Explore opportunities to reduce general living expenses.
26. To target resources effectively to those who most need support, bids are invited from partners for projects that promote financial inclusion. These are subject to panel selection at which bidders make a presentation on their proposals. Rigorous selection is made against a range of criteria.

Information gathered

27. In early December 2018 the Task Group met the Chief Executive of Citizens Advice York and the Chief Executive of York Welfare Benefits Unit.

Citizens Advice York

28. CAY told the Task Group that the impact of the migration to UC in York has already been great. York has been one of the first cities to experience a large roll out and figures provided by DWP show that by the end of September 2018, York had 4,454 claimants of UC (out of approx. 9,000 people claiming benefits). More than 900 client issues related to UC being presented to Citizens Advice from April to November 2018.

National Citizens Advice (using evidence from 150,000 CAB clients nationwide, including York) has lobbied to inform the DWP of the many and various problems associated with UC applications. These are detailed in the attached Citizens Advice report (Annex B).

29. The Task Group heard that in recognition of the problems, DWP has introduced a number of changes to the application and support process but many issues remain, particularly cash-flow problems presented to many claimants who are least likely to have savings to fall back on. The UC system changes benefits payments to be monthly in arrears and to include housing benefit payments previously paid directly to landlords. This has led to an increase in indebtedness amongst a group of people already struggling with debts issues and most unlikely to be able to secure reasonably priced credit.
30. CAY considered that a key factor in delayed payments to claimants is the application process itself which is complicated and made online (in most cases). It demands that claimants must set up online UC journals and provide evidence of ID, of changes in circumstances and of costs to be taken into account such as childcare or housing costs. Any mistake or failure to fill in the details correctly will result in the UC application being delayed – which leads to delays in commencing payments to the client – often of several weeks. During this period the client will often build up large debts – housing arrears or high cost credit.
31. One way of helping deal with this was the introduction by the DWP of Universal Support to claimants – a service offering ‘Assisted Digital Support’ (ADS), to help with the online application process and digital skills, and ‘Personal Budget Support’ (PBS) to help people manage the new payment patterns and cash flow issues and also to help people plan and manage their budgets. These two forms of support (ADS and PBS) were outsourced to local authorities and in York are currently offered in the customer centre at West Offices.
32. The Task Group learned that in October 2018 DWP and National Citizens Advice announced that they had reached agreement to transfer this contract to Citizens Advice and that from 1st April 2019 this service will be undertaken by local CA organisations, such as Citizens Advice York. CAY is engaged in a planning process for this transfer of support services.

33. Members heard that the new CAY Universal Support Service will aim to be as accessible as possible. The aim is to offer support in communities of greatest need – further utilising our Advice and Information Cafes currently funded by FISG in Sanderson Court, Bell Farm, Travellers Trust in Clifton and St Luke's.
34. To plan the new service CAY intends to establish a project group to include: CYC housing, public health, the main social housing providers, and DWP staff. If resources allow it will look at carrying out further outreach directly with housing associations and possibly also basing universal support staff directly in the DWP office at Monkgate.
35. CAY told the Task Group that projects funded by FISG carried out by CAY are monitored FISG through regular meetings with CYC officials and submission of quarterly project reports. This shows a high degree of effectiveness and value for money. In the last quarter for which reports were circulated, the cost of the 4 CAY projects funded by FISG – GP Surgeries Outreach; Advice & Information Cafes; CAY Debt. Service and the Advice York Co-ordination Project – totalled £24,201. The returns on this investment –income gain or debts managed – totalled £155,226 for 112 residents, mostly in the most deprived parts of the city. The cost per client is £216 but the financial gain is £63,274 in direct income and £80,067 in the management of debts.
36. However, CAY stressed that the development of an enhanced and more effective Universal Support service will require not only the specific Universal Support funding from DWP, but also continued resourcing and the financial stability of CAY's current funding streams. In particular, CAY will have to recruit and train more volunteers and it hopes that continued funding will be available for FISG-funded Advice & Information Cafes.

Welfare Benefits Unit

37. The Welfare Benefits Unit (WBU) provides a specialist welfare benefits advice service to advisers and others who work with members of the public. A team of experienced advisers provide independent support through an advice line, publications, training and consultancy.
38. Call levels to the WBU have risen by 50% over the past year and UC accounts for approximately a third of calls. Increasingly the WBU is getting asked for advice from people who don't understand the system. From April to September 2018 the WBU received 303 calls from the York area from:

Calls by organisation

	Number of calls	%
City of York Council	60	20
Carers	2	1
Citizens Advice Bureau	42	14
Housing	61	20
Other Organisations ¹	83	27
Health	24	8
Other (public, details not taken)	16	5
Education	15	5
Total	303	100

39. From July 2017 to July 2018 the WBU carried out a Universal Credit Survey (see Annex C) to highlight emerging trends and common experiences of UC claimants in the York area. The three main issues that emerged were difficulties due to the initial wait for the first payment of UC, administrative barriers to making and maintaining UC claims and problems identifying eligibility for Council Tax Support.
40. In a written submission, Annex D, the WBU states that UC has impacted on claimant's income in many ways, in general the main issues relate to:
- Lower amounts for disabled people, including disabled workers and families with a disabled child.
 - Deductions to third parties (e.g. for utility debts or rent arrears) are higher.
 - Payment patterns for earnings can skew UC payments, making it difficult to budget and, in some cases, reducing overall entitlement.
 - The Minimum Income Floor for self employed people means that some are treated as having income they 'should' have rather than actually have.
41. The WBU's main concern about the UC system is the support for the most vulnerable. UC Support through CYC appears effective but the

¹ Other Organisations: Age UK, North Yorkshire Aids Awareness, Citizens Advice, Carers Centre, Older Citizens Advocacy York (OCAY), Changing Lives, Community Links, Grocery Aid, IDAS, Joseph Rowntree Housing Trust, Peasholme Charity, Safe and Sound Homes – Preventing Youth Homelessness (SASH), St Leonard's Hospice, York Advocacy, York College, University of York.

government is only financing help with initial claims rather than ongoing maintenance of claims. Claimants are expected to check their online journals daily despite many not having access to computers or other gadgets. Many advisers are worried that the most vulnerable will not be able to maintain their claims due to complexity, frustration at continued administrative errors by the DWP and difficulties understanding Claimant Commitment responsibilities.

42. The WBU also expressed concern over funding streams. The WBU has a current 4 year Service Level Agreement with CYC and receives an annual payment in April each year with the current arrangement scheduled to run until the end of March 2022. In relation to other temporary annual grants awarded by FISG the WBU feels support could be strengthened by increasing the length of awards offered. Annual funding can be problematic as any project involves planning, implementation and then scaling back if funding may end. This can cause difficulties if expectations are raised and recruitment may be an issue for limited periods.

Financial Inclusion Steering Group

43. In late January 2019 the Task Group met CYC's Strategic Manager, Corporate Strategy and City Partnerships, and the Area-Based Financial Inclusion Project Manager to learn more about the effectiveness of initiatives funded by the Financial Inclusion Steering Group.
44. As stated in paragraph 22, the FISG is responsible for overseeing the delivery of financial inclusion work including the award of grants to partners to deliver projects that meet the group's objectives.
45. The FISG invites written bids for projects which are measured against the objectives of the group. Applicants are asked to provide evidence of need and they are scored on the basis of the evidence provided. Last year the group made awards to nine projects out of 15 bids with the grants to the successful applications totalling £166k.
46. One disadvantage is that the assistance is short-term and people have to come back 'cap in hand'. The FISG is restricted by annual budget constraints but if it had a multi-year budget it could fund multi-year projects.
47. The Task Group was told that successful efforts continue to actively encourage partners to become more visible in delivering services

although Officers accepted CYC could be more proactive and so could its partners. The group takes a coordinated approach to supporting residents but there needs to be a whole system to encourage connectivity within communities.

48. The Task Group noted that there has been increased demand for Discretionary Housing Payment as the gap between the help that people can get to pay their rent and the rent they have to pay has grown wider as a result of private rents rising.

Food Poverty

49. Members then questioned food poverty in the city and learned that much of the work in this area in York was co-ordinated through York Food Poverty Alliance (Annex E), which works with groups, organisations and individuals in the city to strengthen the ability to reduce food poverty and tackle its causes.
50. The alliance recognises that food poverty is the result of a complex set of structural issues relating but not restricted to problems of insecure, inadequate and expensive housing, insecure and low paid employment, insufficient social welfare provision, poor health, and an environmentally unsustainable food production and distribution system. Its aims include identifying and raising awareness about the systemic drivers of food poverty, improving access to advice services and ensuring those eligible for financial support are in receipt of it.
51. Both Foodbank use and informal community food aid usage are rising in York and there are more than 30 organisations providing variations of food aid across the city.
52. These cross-sector organisations deliver a range of different versions of community food aid provision from traditional soup kitchens to food and advice projects and the rise in volunteer-led community cafes. Of these:
- 13 said food poverty was part of their rationale for setting up;
 - 17 are open regularly (more than once a week);
 - 12 are open one day per week;
 - 25 have an open-access policy
 - 7 serve targeted populations only (gender, age, area/based, disability, income.)

53. Initiatives such as the Holiday Hunger project have worked well and served 2,500 meals during the June to October half-term period. The Tang Hall Big Picnic served 1,027 people with freshly cooked food over 12 one-day-a-week sessions.
54. York food and activity clubs served 2,930 meals and gave out 285 food bags during the period 13 July 2018 and 7 January 2019 and nine Holiday Hunger projects totalled 67 food club sessions.
55. The Task Group noted that while both formal and informal initiatives are available for those who need support there were no robust measures for gathering information. It is difficult to measure unique users of food aid by those who are experiencing food poverty at projects which are open on a continuous, all-inclusive basis or where food is embedded alongside other services.
56. Available data from the weekly community cafes/informal food banks, such as Red Tower, Planet Food, YourCafe / Luke's Larder, Bell Farm Community Assoc, Chapelfields and Foxwood Community Hubs and Lidgett Grove, shows that the weekly customers to each of these projects range from 35-70 meaning around 360 people each week use open-access cafe provisions across the city. This does not capture the full level of usage when you consider Chill in the Community CIC's informal food bank in Acomb, is also open 7 days per week.
57. York Foodbank, which has locations in Acomb, Huntington Road, Tang Hall and Gillygate, is part of a nationwide network of foodbanks, supported by the Trussell Trust. In 2017 York Foodbank provided 3,379 three-day emergency food supplies to people in crisis.
58. According to the Trussell Trust the primary referral causes to foodbanks for the period April to September 2017 were:
 - Low income – 26.52%
 - Benefit delays – 24.71%
 - Benefit changes – 17.90%
 - Debt – 8.29%
 - Other – 7.82%
 - Homeless – 5.41%
 - Sickness – 2.81%
 - No recourse to public funds – 2.74%
 - Domestic violence – 1.50%

- Child holiday meals – 1.04%
- Delayed wages – 0.83%
- Refused Short-Term Benefit Advance – 0.40%

59. The Task Group had its final meeting on 13 February 2019 when it was agreed that issues around increasing food poverty in the city were complex and this should be the subject of a separate piece of work which could be picked up by the new administration after May's elections.
60. It was also noted that the Council's Financial Inclusion Policy and Action Plan was adopted in November 2012 and was in need of a refresh. In the current policy the work of Advice York, the Financial Inclusion Steering Group, the impact of the roll-out of Universal Credit, and measures to address food poverty are not included. A lot of the data from 2012 paints a different picture of York as many of the issues which exist today including access to digital support and resources were not around seven years ago.
61. Similarly key partners such as the Welfare Benefits Unit are not members of the Financial Inclusion Steering Group yet they are in positions to make valuable contributions.

Analysis

62. Citizens Advice York sees many clients with debt problems caused by or exacerbated by UC. There is a particular impact on housing arrears due to the new housing benefit system in UC and clients are often forced into arrears due to no fault of their own, but simply by the new payment system of monthly in arrears and payment of the housing element, especially if UC claimants have to wait several weeks for a first payment.
63. Many people struggle to fill in forms online and some people have poor digital skills. These are the groups most likely to suffer from the workings of UC.
64. A key to helping minimise any adverse impact of UC on the citizens of York during the continued natural migration of benefits claimants to UC is in getting the support service in place that is of high quality and easily accessible to all who need it.
65. Rent arrears, for example, rapidly build up and if these are deducted in one go once the first UC payment is made then the individual is left with nothing to live on for another month. An alternative offered by DWP is in the form of an advance – but this means a claimant is pushed into debt

that is repaid out of subsequent UC payments – taking priority over any other payments.

66. So, there is a clear pattern of increased debts and arrears. A way to avoid further undue delays in receiving a first payment is by working to provide support for claimants to make accurate applications. The new Universal Support Service of Citizens Advice (and also up to this year from CYC) is a solution, as is effective personal budgeting support to plan how individuals can budget for UC.
67. The WBU is concerned that the most vulnerable claimants will drop out of the UC system because of Claimant Commitment responsibilities and the impact this will have on their health and housing status.
68. It is important to note that some people are better off on UC and it is important that these people are identified and reassured about transitioning across given the negative aspects of UC that are highlighted in the media.

Consultation

69. To gather the information in this report the Task Group has consulted with Citizens Advice York, the Welfare Benefits Unit, York Food Poverty Alliance and CYC specialist officers.

Conclusions

70. York may appear to be a rich city with a booming tourist industry, but poverty is real – and growing – in a climate where food prices continue to rise and incomes remain stagnant.
71. An increase in food poverty, the use of Food Banks and an increase in discretionary housing payments have direct links with the process described in this report.
72. The UC payments are paid one month in arrears and in practical terms that means five weeks after the UC claim is made. But if there are any inaccuracies or mistakes in completing the online application process this can add further delays.
73. This is a group of people who are living in poverty and have had little or no chance to build up a financial buffer of savings. If they receive no money for two months then they must fall back on the support of families, friends, food banks and other charities. To help offset any delays claim forms need to be clear and easily understood by people who may have

difficulty filling in these forms. And it is important that suitable digital and IT services are available in West Offices and other publicly-accessible building to ensure they can be used by benefit claimants who need them

74. The Council's Financial Inclusion Policy and Action Plan was drawn up in 2012 and would benefit from a review and refresh to reflect the work of the FISG the impact of Universal Credit, food poverty and the need to incorporate digital inclusion, and membership of the FISG could be widened to include other city organisations involved in the welfare of citizens.
75. Organisations such as the WBU and CAY can sometimes struggle to make long-term plans as annual funding is problematic and any project involves planning, implementation and then scaling back if funding comes to an end. This causes difficulties if expectations are raised and recruitment may be an issue if contracts are for limited periods.
76. Finally it is important that both Members and Council officers are more aware of how decisions can impact on vulnerable residents in the community so more cross-council and cross-partner engagement should be encouraged, while after the local government elections in May new and existing Members would benefit from comprehensive training around Financial inclusion so they better understand the issues and what the Council is doing.

Review Recommendations

77. After considering the information provided in this report the Committee is asked to:
 - i. Recommend to the new administration that a deeper scrutiny review into the causes of and responses to food poverty is considered, taking into account key elements of the York Food Poverty Alliance report at Annex E.

And request Council to:

- ii. Agree that a review and refresh of the 2012 Financial Inclusion Policy and associated Action Plan should be undertaken. This review should include, but not be limited to, consideration of the work of Advice York and the Financial Inclusion Steering Group, the impact of the roll-out of Universal Credit, measures to address food poverty and support for digital inclusion;

- iii. Consider broadening the membership of the Financial Inclusion Steering Group to include organisations such as the Welfare Benefits Unit;
- iv. Investigate options for securing long-term funding support for successful time-limited FISG grant funded schemes, such as the Citizens Advice York GP Surgeries Advice Scheme;
- v. Continue to monitor the impact of Universal Credit in York and agree that future six-monthly reports on Financial Inclusion are considered by the Executive rather than the Executive Member;
- vi. Commission the FISG to examine the current provision of digital and IT services available for benefit claimants at West Offices and other publicly-accessible buildings to ensure these facilities are accessible for all who need them;
- vii. Ensure the language and terminology on CYC forms used for requesting financial assistance is easily understood and adequately conveys the necessary information to people who may have difficulties filling in these forms;
- viii. Seek out and learn from best practice elsewhere on how best to engage with 'hard to reach' groups who may not necessarily be comfortable reaching out to statutory bodies when they need advice or support;
- ix. Raise awareness within Council directorates of the impact that their policies and actions can have on more vulnerable members of the community, and encourage more cross-council and cross-partner engagement;
- x. Ensure that after May 2019 all new and existing Members have comprehensive training around Financial Inclusion so they have a full understanding of the role of the council and its partners.

Council Plan

78. This report is linked to 'a prosperous city for all' and 'a Council that listens to residents' priorities in the Council Plan.

Implications

79. **Financial:** While this report is about financial issues which affect many people in York, no specific implications have been identified associated with the review recommendations.
- **Human Resources (HR) :** There are no HR implications arising from the recommendations in this report.
 - **Equalities:** There are no equalities implications arising from the recommendations in this report.
 - **Legal:** There are no legal implications
 - **Crime and Disorder:** There are no crime and disorder implications
 - **Information Technology (IT):** No IT implications have been identified.
 - **Property:** There are no property implications
 - **Other:** There are no other implications

Risk Management

80. There are no risks associated with the recommendations in this report. However, doing nothing may mean that we will fail to keep up with the changing welfare benefit landscape and we know that substantially more people will transfer over to UC in the coming years.

Unless we take a strategic, cross-city and multi-agency approach we may not co-ordinate to best effect help for people who are in poverty or could fall into poverty.

Short-term funding schemes mean uncertainty for providers and could affect sustainability of successful schemes.

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Report Approved

Date 20/02/2019

Wards Affected:

All

For further information please contact the author of the report

Background Papers:

City of York Council Financial Inclusion Policy and Action Plan 6/11/1012

<http://modgov.york.gov.uk/ieListDocuments.aspx?CId=733&MIId=6878&Ver=4>

Decision Session – Executive Member for Adult Social Care and Health
Welfare Benefit Update and Financial Inclusion Out-turn Report 2017/18

<http://modgov.york.gov.uk/ieListDocuments.aspx?CId=740&MIId=10806&Ver=4>

National Audit Office Report – Rolling out Universal Credit

<https://www.nao.org.uk/report/rolling-out-universal-credit/>

Annexes

Annex A – Financial Inclusion Briefing paper

Annex B – Citizens Advice Universal Credit Report

Annex C – Universal Credit Survey

Annex D – Welfare Benefits Unit Submission

Annex E – York Food Poverty Alliance Report

Abbreviations

ADS – Assisted Digital Support

AY – Advice York

CAY –Citizens Advice York

CIC – Community Interest Company

CSMC – Customer and Corporate Services Scrutiny Management Committee

CTS – Council Tax Support

CYC – City of York Council

DHP – Discretionary Housing Payment

DWP – Department for Works and Pensions

FISG – Financial Inclusion Steering Group

GP – General Practitioner

HRA – Housing Revenue Account

PBS – Personal Budget Support

SYCU – South Yorkshire Credit Union

UC – Universal Credit

WBU – Welfare Benefits Unit

YFAS – York Financial Assistance Scheme

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Briefing Note

31st October 2018

Scrutiny review of Financial Inclusion and Universal Credit

Summary

1. It was decided at the scoping meeting of 3rd October that the scrutiny review of Financial Inclusion and Universal Credit (UC) would have four meetings and these would consist of:
 - i. background information for the last three full years and to date on the key welfare support funding provided by the council;
 - ii. a meeting with key third sector partners supporting customers claiming UC to understand the effect it is having on the families;
 - iii. a meeting to review the effectiveness of the initiatives funded by the Financial Inclusion Steering Group (FISG);
 - iv. a final meeting to sum up the information provided in the first three sessions to form a view on the current position and draft any recommendations.
2. This briefing note provides background information on the welfare support statistics to meet point (i), above.

Background

2. UC replaces six¹ national working age benefits & those of pension age are not affected. UC Full service was introduced in the City of York Council between the 12th July and September 2017. The effects on some customers claiming UC are well publicised nationally and continue to be in the national headlines.

¹

The six benefits that will be replaced by UC for working age people are

- Income-based Jobseeker's Allowance (JSA) - not Contribution-based (CB)
- Income-related Employment and Support Allowance (ESA) - not Contribution based.
- Income Support
- Working Tax Credit
- Child Tax Credit
- Housing Benefit (HB)– this will be replaced by a Housing Credit within UC

3. This briefing note provides the most up to date UC information we have from the DWP. It also looks at the claims history of the key welfare benefit support provided by City of York Council to see if the rollout of UC has impacted in any way to date on the number and costs of claims. This includes:

- Discretionary Housing Payments (DHP)
- York Financial Assistance Scheme (YFAS) – Including Emergency Payments, Community Payments & Discretionary support for Council Tax.
- Council Tax Support (CTS)
- Housing Benefit (HB)

Universal Credit

4. The tables below provide detailed information on the customers claiming UC from April 2018 to September 2018:

Employment indicator			
Month 2018/19	Not in employment	In employment	Total
Apr-18	1917	1569	3486
May-18	2057	1698	3758
Jun-18	2170	1774	3943
Jul-18	2188	1893	4086
Aug-18	2333	1838	4173
Sep-18	2548	1906	4454

Gender				
Month 2018/19	Male	Female	Unknown/ Missing	Total
Apr-18	1647	1832	5	3486
May-18	1762	1988	8	3758
Jun-18	1811	2126	8	3943
Jul-18	1869	2206	5	4086
Aug-18	1907	2261	5	4173
Sep-18	2016	2427	5	4454

Age											
Month 2018/19	16-19	20-24	25-29	30-34	35-39	40-44	45-49	50-54	55-59	60-65	Total
Apr-18	167	586	517	461	405	314	313	312	254	165	3486
May-18	183	604	558	512	447	329	338	336	269	185	3758
Jun-18	176	627	603	547	488	341	353	340	271	196	3943
Jul-18	184	667	640	562	497	359	347	355	273	192	4086
Aug-18	201	681	674	568	508	362	335	356	286	196	4173
Sep-18	215	709	732	608	540	391	373	377	292	219	4454

5. In terms of household information the DWP data is only currently available for the period April to June 2018:

By household type					
	Single, no child	Single, with child	Couple, no child	Couple, with child	
Month 2018/19	dependant	dependant(s)	dependant	dependant(s)	Total
Apr-18	1827	752	133	343	3052
May-18	1904	807	141	355	3212
Jun-18	1991	895	137	375	3408

With element entitlements					
	Carer	Child	Child Care	Disabled Child	Limited Capability for Work
Month 2018/19	Entitlement	Entitlement	Entitlement	Entitlement	Entitlement
Apr-18	130	1089	98	40	285
May-18	144	1161	103	49	313
Jun-18	157	1274	115	56	332

Housing cost entitlements					
	No Housing	Social	Private	Unknown or missing	Total
Month 2018/19	Entitlement				
Apr-18	1223	1120	696	16	3052
May-18	1278	1183	743	10	3212
Jun-18	1322	1268	800	15	3408

UC payment amounts							
	No payment	£0.01 to £100.00	£100.01 to £500.00	£500.01 to £1000.00	£1000.01 to £1500.00	£1500.01 or over	Total
Month 2018/19							
Apr-18	503	119	1038	731	283	48	3052
May-18	545	110	1089	761	298	48	3212
Jun-18	540	136	1150	833	325	60	3408

6. The household information is more informative in providing a profile of the customers currently claiming UC across the city. In terms of HB customers migrating Para 17 below shows that we have lost 700 customers from our existing caseload since full service in July 17. The above data shows over 2000 customers with housing costs which indicates that a majority of these are not our migrating customers but new claimants.

Discretionary Housing Payments

7. DHP provides the council with the authority to award discretionary housing payments to help residents with their housing costs (rent). Changes to welfare benefits e.g. the introduction of UC & Removal of spare room subsidy has seen the value of the DWP grant paid to the council increase in recent years as set out below:

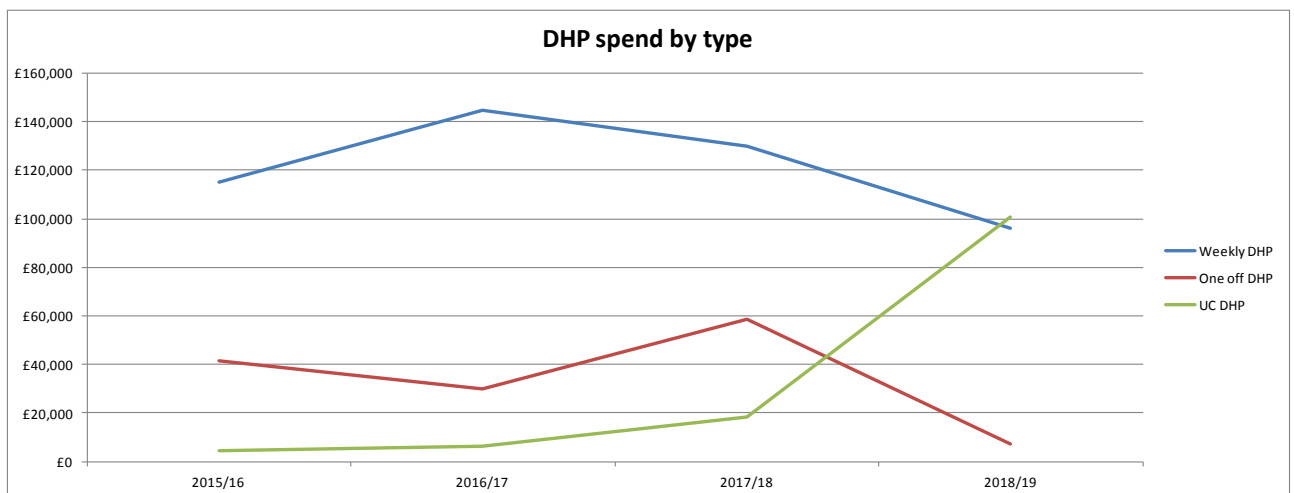
DHP Grant & Spend by Year

Year	Grant	Spend
2015/16	£177,562	£160,895
2016/17	£205,155	£180,842
2017/18	£226,402	£206,798
2018/19	£256,596	£204,028*

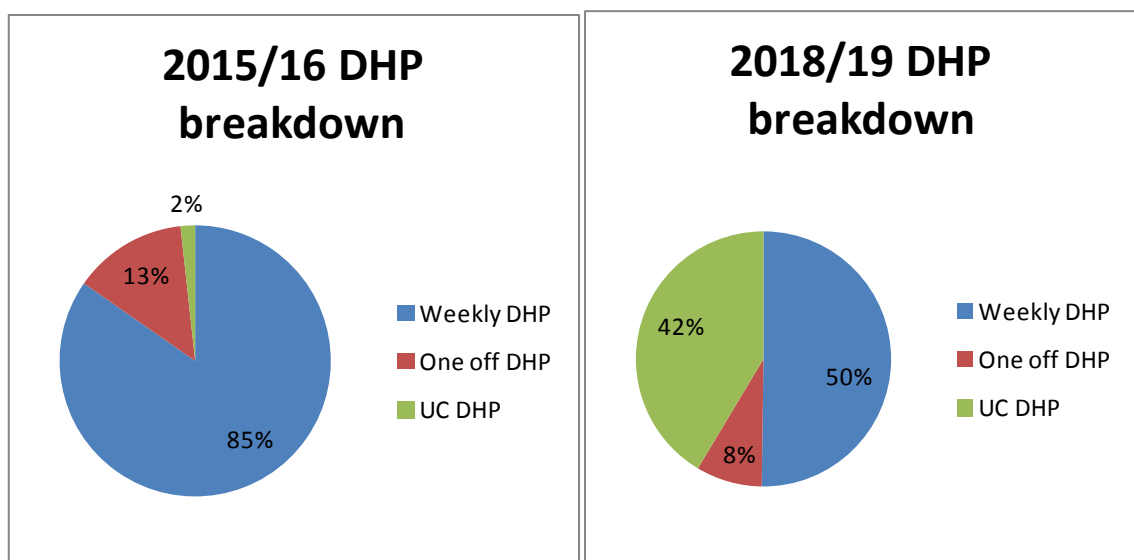
* Extrapolated from current figures

8. The award of DHP is not linear so whilst the council always intends to spend the full grant across the year this is not always achieved as is shown in Table 1 above. York is not unique in not spending its full allocation of DHP grant. How we compare to other local authorities in terms of the percentage of the grant spent in the last full year (2017/18) is set out at Annex A of this briefing paper. The graph below shows how much UC is starting to affect the way the DHP funding is been distributed in recent years and especially since UC Full Service was rolled out in July 2017:

Graph of DHP spend

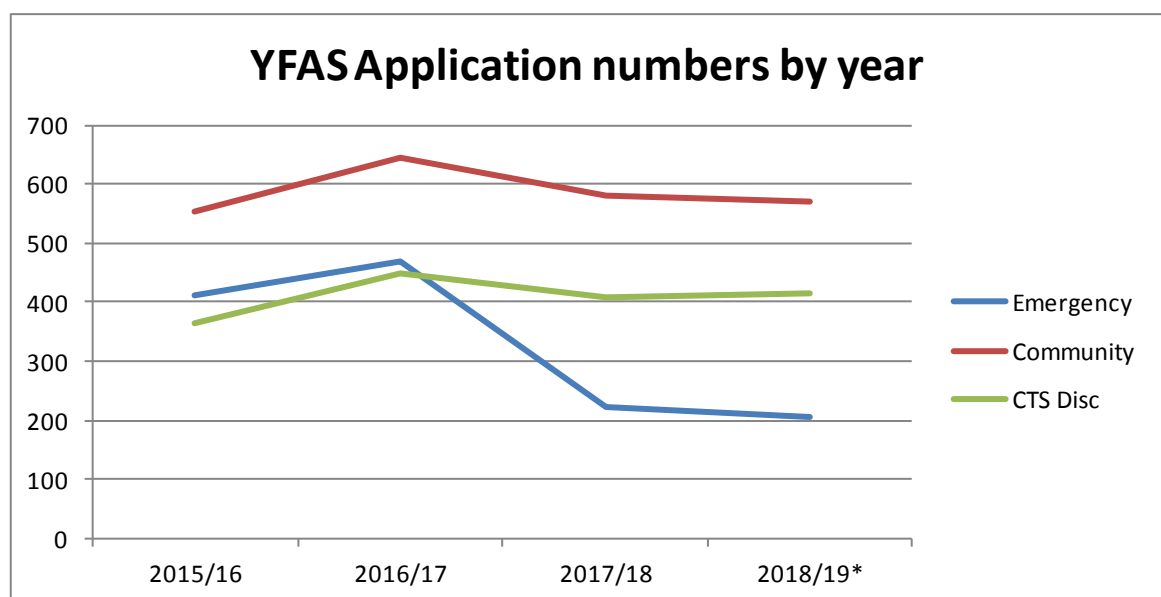


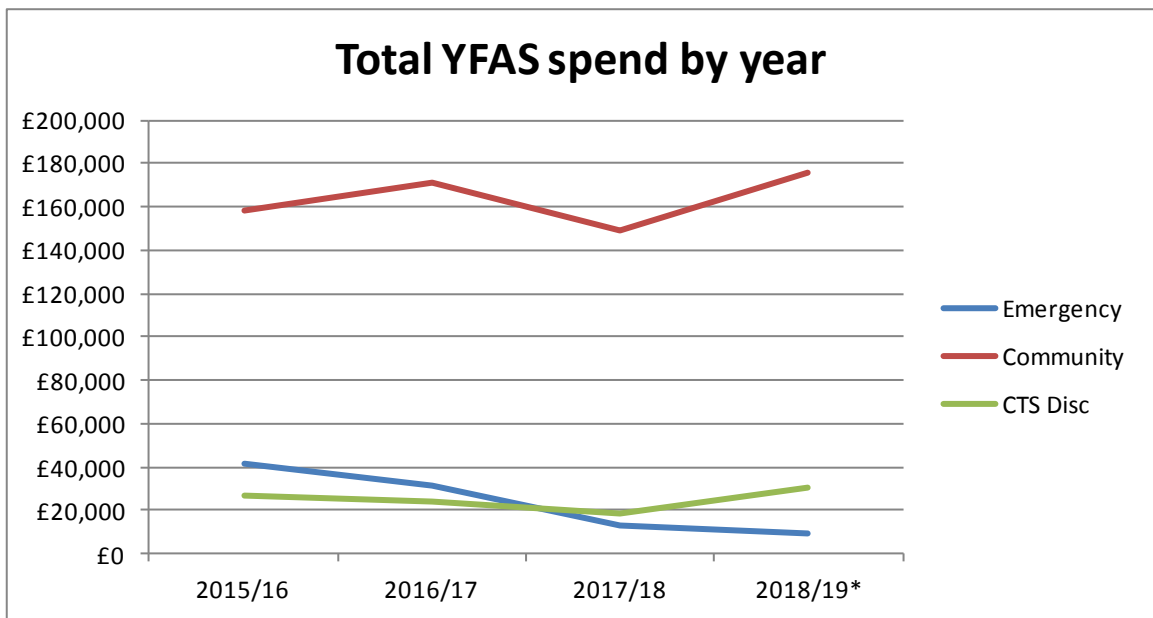
9. The projected growth in UC demand for DHP in 2018/19 compared to 2015/16 is shown very clearly in the charts below:



York Financial Assistance Scheme

10. York's financial assistance scheme (YFAS) is provided by City of York Council to support people who require urgent assistance, following an emergency or unforeseen event, and supports vulnerable adults to move into or remain in the community. It is means tested and the customer must have no other form of help.
11. The scheme is discretionary but will not provide emergency assistance to people who are eligible for a budgeting loan or a benefits advance from the Department for Work and Pensions (DWP) or provide help where other agencies have a statutory responsibility to do so.
12. The YFAS scheme splits down into three component parts:
 - I. Emergency Payments – Immediate short term needs
 - II. Community Payments – Provides support to vulnerable adults to move into or remain in the community
 - III. Council Tax Discretionary Payment – Provides help for council tax payers who are having financial difficulty paying their Council Tax
13. The scheme is fully funded by the council with a budget for 2018/19 of £209K. The two graphs below show both the numbers claiming and spend by category for the past three full years and the year to date (2018/19) spend extrapolated to year end.

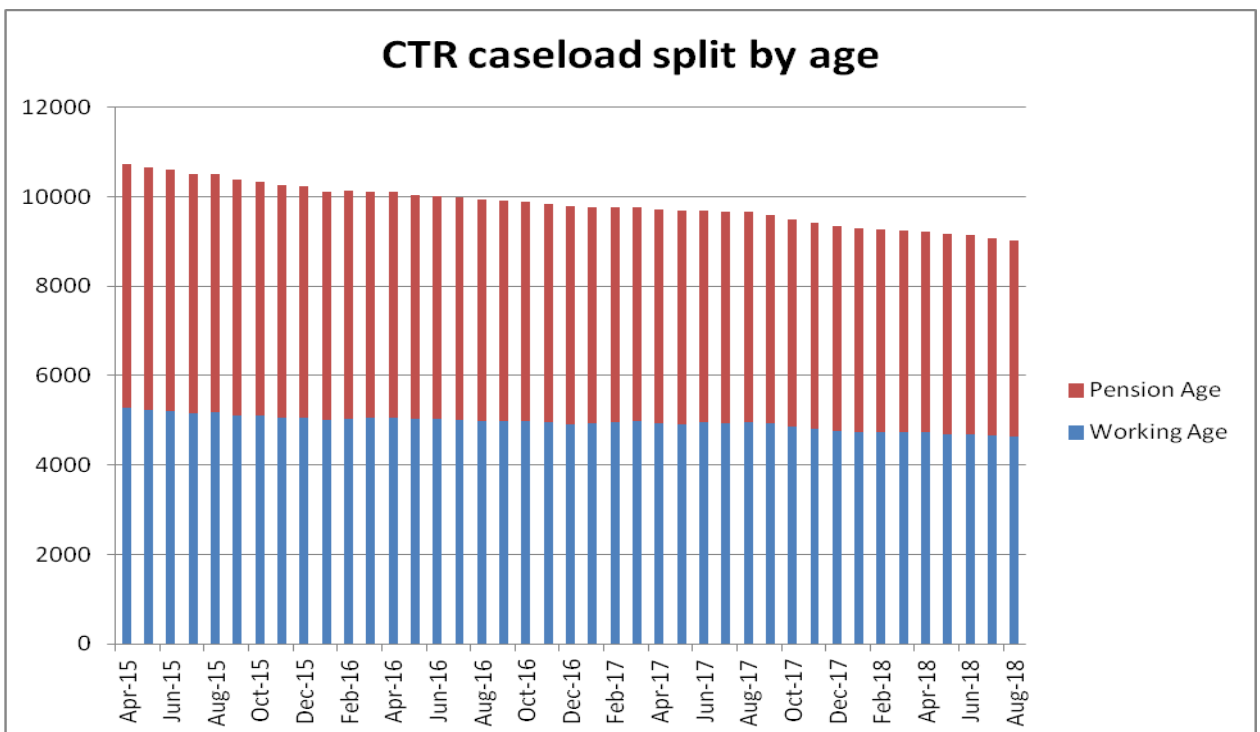




14. The two most noticeable changes in the profile of the graphs is the fall in the number of customers claiming after cash was taken out of the system in April 2016 and the increase in spend on Community & Discretionary Council Tax payments over the last year.

Council Tax Support

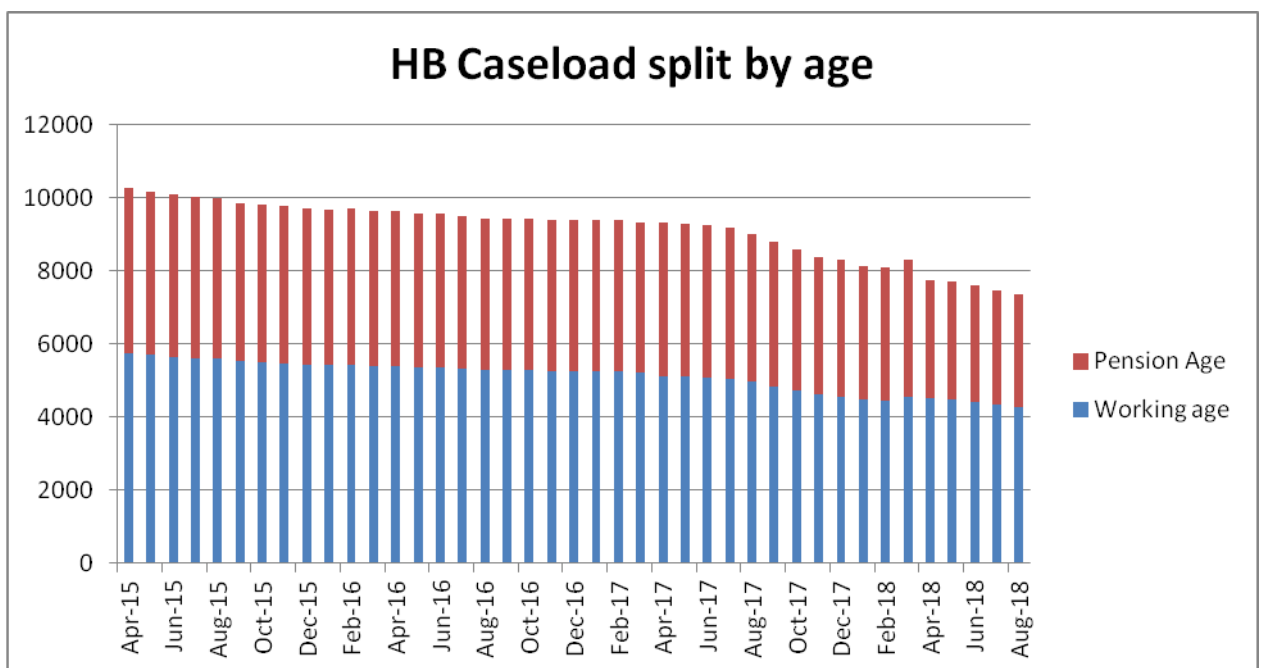
15. Local council tax support known as CTS provides assistance to council tax payers on low income or claiming benefits with their council tax. The maximum amount of support is 77.5% of the council tax bill.
16. The graph below shows the trend for both working age and pension age claimants since April 2015:



17. The most noticeable trend is in the greater fall off of pensioner as opposed to working age claimants. There has been a fall in working age claimants (700 since July 2017) which may be attributable to the implementation of UC and is an issue that is been addressed through a more proactive approach to ensuring UC customers with CT liability make a claim.
18. The trend that may be of more concern is that of falling pensioner numbers whilst the overall number of pensioners in the city is growing. The most likely cause is that since the implementation of CTS in April 2013 there has been no CTS take up campaign aimed at pensioners. Whilst pensioners benefits have not been affected in the same way as working age many still live in poverty and see benefit support as asking for charity. They have become slightly forgotten with the headline welfare benefit changes all aimed at working age residents.

Housing Benefit

19. A final area of welfare benefit support that continues to be delivered by the council and will continue beyond 2023 for pensioners and some working age customers is HB. The graph below shows the trend in customer numbers since April 2015:



20. The trend follows that of CTS with a large fall in pensioner numbers as opposed to working age. This reflects the theme set out in the CTS paragraphs above that pensioners are not taking up welfare support even though there are a growing number in the city.
21. The actual decrease in working age caseload since Full Service in July 2017 is 714 approximately 14% of the full working age case load. In the

same period pension age claims fell by 991 or approximately 24% of the full pension age caseload.

Advice & Support

22. Customers in receipt of UC or any other welfare benefit who require financial advice and support outside of the council can be supported through the Advice York Partnership which includes:

Age UK York,
Christians Against Poverty,
Citizens Advice York,
City of York Council,
Foundation UK (formally Keyhouse),
IDAS,
Joseph Rowntree Housing Trust,
OCAY,
Peasholme Charity,
Welfare Benefits Unit,
York Advocacy,
York Carers Centre,
York Foodbank,
York Housing Association,
York Independent Living Network,
York Racial Equality Network,
York Travellers Trust, Yorkshire Housing Association.

Summary

23. The statistics contained within this briefing note are providing some indication that UC is having a growing effect on residents across the city. Perhaps as importantly they also show that potentially vulnerable older residents are also missing out on welfare benefit support.

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Abbreviations:

CAB - Citizens Advice Bureau
CTS - Council Tax Support
DHP - Discretionary Housing Payment
DWP - Department for Work and Pensions
HB - Housing Benefit
UC - Universal Credit
YFAS - York Financial Assistance Scheme

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Universal Credit Survey

Universal Credit Full Service in York: July 2017 to July 2018



The Universal Credit Focus Project survey has come to an end and we are now able to collate our data to highlight the emerging trends and common experiences of Universal Credit (UC) claimants in the York area.

Over the full year we received 69 responses (40 between July 2017 – January 2018 and 29 between February 2018 – July 2018). Not all the respondents answered every question; the percentages given relate to the number of respondents who answered each particular question.

Summary: February 2018 – July 2018

The three main issues that emerged in our July 2017 to January 2018 interim report were difficulties due to the initial wait for the first payment of UC, administrative barriers to making and maintaining UC claims and problems identifying eligibility for Council Tax Support. These concerns continued to be reflected in the responses received between February and July 2018.

Initial delay in waiting for payment

In early 2018, a series of measures were introduced by the government to try and alleviate the hardship that the initial wait for payment was causing. In January 2018, the amount of the advance payment available to claimants increased to 100% of their likely award and the repayment period was extended from 6 to 12 months. In February 2018, the 7-day waiting period was removed. As these dates correspond with the second half of our survey period, the responses from February 2018 - July 2018 may indicate whether the government's action has had any meaningful impact on claimant's experiences.

Between February 2018 – July 2018, 96% of respondents found it fairly difficult (32%) or very difficult (64%) to pay for their essential living costs while they waited for their first payment of UC. This is an increase from our interim report, where 85% of respondents reported finding it fairly or very difficult to manage. Of those that found it fairly or very difficult, paying for food (80%), rent/mortgage (70%) and gas and electricity (64%) were the payments that respondents struggled with the most. 48% of respondents used a foodbank while they waited for their first payment, 64% of respondents borrowed money and 44% had help from family and friends. Comparing these figures to our interim period, the percentage of respondents borrowing money and getting help from family and friends remained similar (1% higher for both during the interim period) but the percentage of respondents accessing a foodbank was lower at 35%.

Advance payments

In our interim report in March, we stated that in the first 6 months of the UC focus project, 41% of respondents had claimed a UC advance, and out of the 11 people who were repaying the advance, 9 of them were finding it very difficult to meet essential living costs. During the period February 2018 - July 2018, 84% of respondents claimed a UC Advance, with nearly 60% of respondents stating that they found it fairly (18%) or very (41%) difficult to manage ongoing expenses while the advance was being repaid. This is despite the extension of the repayment period that was introduced in January 2018.

Administrative problems

A major concern that was apparent in our interim report were the problems that claimants had with finalising their claims and providing appropriate and sufficient evidence. Between February 2018 – July 2018:

- 69% of respondents found it fairly difficult (42%) or very difficult (27%) to provide the information required, compared to 44% in our interim survey
- Rental agreements (67%) and proof of identity (78%) were the most difficult evidence to obtain
- 68% of respondents reported having to provide the same proof more than once, compared to 52% in our interim survey

It would appear from this data that administrative problems are an ongoing problem that is yet to be resolved in any meaningful way.

Council Tax

For the period February 2018 – July 2018, nearly 40% of respondents were already claiming Council Tax Support at the time of their UC claim, or made a claim at the same time. Nearly 22% of respondents were not aware that they might be eligible for Council Tax Support (21% in the interim report). The link between Universal Credit and Council Tax Support needs to be further strengthened to ensure that those who are entitled do not miss out.

Further findings

Alongside the issues that emerged in our interim report, the second half of our survey also highlighted the impact that making a claim had on claimants' mental and physical wellbeing.

One respondent commented that Universal Credit made him feel *"like a product with a barcode"* and another stated that she had lost half a stone on what she now calls the *"Universal Credit Diet"*. Several respondents reported that the claims process had triggered mental health problems or made existing conditions worse. One respondent stated that the process had made him feel suicidal. When asked to provide feedback to the DWP about Universal Credit, 100% of the claimants who responded made negative comments.



More detail, February to July 2018 ...

Who responded

- 29 responses – 85% were already receiving Universal Credit and 15% had claimed and were awaiting payment
- 89% (24) paid rent
- 41% (11) had children, and 11% of them had childcare costs (i.e. in work)
- 37% (10) had a disability or health problem.

The claims process

The respondents all reported that they made claims online. Of these claims:

- 38% of people used their own computer
- 13% of people borrowed a friend or family computer
- 50% reported having to use a public computer (e.g. in the Jobcentre)
- 80% needed help to make the claim (although we do recognise that respondents directed to the survey are more likely to have been supported)
 - Help was received from varying sources – Jobcentre Plus, the council, library services and Citizens Advice. This is a significant increase from the percentage of people (50%) needing help during the period July – January

Respondents were given the opportunity to provide more information about making their claim, with 14 people (48%) responding.

Two people responded that the Jobcentre had been very helpful in assisting them to make their claims.

One respondent commented that the whole process was “*lengthy and frightening*”, and another stated that having to ask family for help while he waited for his first payment made him feel “*very ashamed*”.

Getting paid

- 18 respondents were already receiving Universal Credit
- The average waiting time was 6.2 weeks (although this may also include receipt of advance payments)
- 6 respondents had to wait 7 weeks or more

Claimant Commitment

Of the 23 people who responded to this question, 87% said that they understood their claimant commitment. Respondents were asked to give further feedback about their commitment and of the 12 people who responded to the question, 3 people made very negative comments:

“I really feel like [the claimant commitment] gives civil servants more weapons against me under the name of commitment”

“It's discrimination it does not take into account real life like child care travel etc”

“The rules, or the government like to call it a “commitment”, is a constant reminder of the trap the system sets for you. To be honest I think looking for paid employment for 30+ hours is a big ask. I realise as do most people that it's important to get into employment quickly

and most of us want that. But the system is unforgiving, it has a "one shoe fits all" policy and that's not helpful when all individuals have different needs. It bulldozers over vulnerable and desperately worried people."

Further comments

18 respondents chose to make further comments about Universal Credit in general. The main themes were

- Issues with accessing the internet
- Hardship while waiting for the first payment
- Accruing debts

Feedback to the DWP

19 respondents chose to provide comment, with all 19 making negative comments. The specific feedback given was very similar to the feedback given between July 2017 – January 2018 and included:

- The impact of UC on the mental health of claimants
- Ongoing problems with private landlords
- Recognising the difficulties faced by those with no internet access
- Claimants feeling that they do not have enough money to survive.



July 2017 – July 2018: Full Year Findings

The survey covered the first year of the Universal Credit full service roll-out in York. Over the full year that the Universal Credit Focus survey has been taking place, there have been many amendments to the UC regulations, as well as developing case law, updated guidance and improved understanding. It is difficult to compare the figures across the year due to this as respondents in July 2017 were faced with a different system to those in July 2018. Despite this, the results highlight two main areas of UC implementation which continue to raise concern.

Making and maintaining a claim: one size fits all

Universal Credit full service is digital by default. In practice, what this means is that people claim online, manage their claim online and communicate with the DWP online on a long-term basis. Although the DWP accept that this approach will not work for everyone, they believe that only a minority of people will not be able to use the system in this way. Our survey indicates that it is not the minority but the majority that are not using the system as intended. Problems making and managing a digital claim have also been highlighted in specific cases supported by our Universal Credit Focus project.

Across the year, 56% of respondents made their claim using a family, friends or public computer. If a claimant does not have internet access at home, as well as causing issues with the initial claim, it also indicates that the ongoing management of their claim and communication with the DWP will be problematic. This problem is further highlighted by the fact that 63% of respondents needed help to make their claim. If those 63% also need help with the ongoing administration of their claims there will be unsustainable pressure on advice agencies and statutory services. Claimants frequently receive text messages or emails

telling them to log on to their journal. It is unsustainable for people without internet access at home to be able to visit family/friends or public computers every time this happens. In some cases, the message on the journal may be general and insignificant, in other cases missing an 'action' could mean the risk of a sanction. There is also the consideration of the cost of transport to get to a location where a computer is accessible.

DWP statistics and the recent Citizens Advice report, 'Making a Universal Credit claim'¹ confirm that these figures are not a localised problem but a national trend; the DWP reported that 44% of claimants made multiple attempts to make a UC claim², and Citizens Advice highlighted that 28% of claimants took longer than a week to successfully make a claim.

To address this problem, the government has given funding to local authorities to provide a Universal Support package. The actual support offered is decided and delivered locally, either by the local authority themselves or a partner organisation. As part of their research, Citizen's Advice contacted the national network of bureaux and concluded that 'limited availability or coverage of this support can add additional delays as people wait for help with their claim and that the support provided 'can be patchy and can lack a coherent local strategy'. Moving forward, it is imperative that the Universal Support package in each local area is publicised, clear and meets the needs of claimants, providing not just access to computers, but help making and maintaining claims.

The one size fits all approach is also apparent in the issues that have been highlighted regarding evidence and proof. It appears that non-standard documents lead to delays with processing and can mean that claimants wait even longer for their claims to be finalised.

Proof of housing costs is a particular problem area; across the year 52% of respondents who found it fairly or very difficult to provide all the evidence required of them found it particularly difficult to provide proof of rent. This is confirmed by the Citizen's Advice report¹, where 40% of their respondents found providing evidence of housing costs difficult. The government has responded in part to this issue by introducing a Landlord Portal, where registered social landlords can verify and confirm residents rent figures easily, however the portal has not yet been rolled out fully across the county and will still only provide help to the social rented sector once complete. Alongside problems with non-formalised rental agreements (such as a letter from a landlord not being accepted as proof), we have also seen several cases on our advice line of the DWP refusing to pay full rent figures to claimants who have an 'untidy tenancy' (e.g. where an ex-partner has left but is still named on the agreement). With managed migration in mind (see below), it is vital that the DWP resolve these issues to prevent real financial hardship and considerable distress to those affected.

Transition to Universal Credit

We are currently in a period where claimants in full service areas are migrating to Universal Credit either because they are choosing to claim or because they have a relevant change in circumstances. The nationally managed process by which existing legacy benefit claimants will be moved across to Universal Credit is due to begin in early 2019. Throughout the rollout of Universal Credit, the government have been committed to a test and learn approach; it is

1

<https://www.citizensadvice.org.uk/Global/CitizensAdvice/welfare%20publications/Making%20a%20Universal%20Credit%20claim%202018%20-%20final.pdf>

2

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/714842/universal-credit-full-service-claimant-survey.pdf

essential that they listen to claimants' voices regarding the transition process and make changes before managed migration begins.


Across the whole year, 89% of respondents reported that it was fairly difficult (22%) or very difficult (67%) to pay essential living costs while waiting for their first UC payment. Of those people, 86% struggled to pay for food, 70% found it hard to keep up with rental or mortgage payments and 64% struggled to pay for gas and electricity. When asked how they covered costs during this period, 63% reported borrowing money, 43% said that they turned to family and friends and 37% accessed a foodbank for support. These figures are mirrored in the Citizens Advice report which found that 31% of respondents who had been paid UC on time had accessed a foodbank, and 44% of those who received their first payment late used a foodbank.

The government's answer to this issue has been centred on Universal Credit Advance payments, but it does not appear that these provisions go far enough. 52% of our respondents received an advance payment, with 63% stating that it was very or fairly difficult to cover essential costs while the advance was being repaid (10% of those who had received an advance had not started repayments). 24% of our respondents were not made aware that they could apply for a UC advance.

In a recent guardian article³, Abby Jitendra, policy and research manager at the Trussell Trust, Britain's largest food bank provider, said "repaying an advance payment, for example, can be an unaffordable expense when taken from a payment that wasn't enough to start with, pushing people further into debt at the time when support is most needed".



³ <https://www.theguardian.com/society/2018/aug/11/third-of-universal-credit-claimants-face-payment-deductions>



**Welfare
Benefits
Unit** **Scrutiny Review of Financial Inclusion and
Universal Credit – WBU response**

City of York Council clearly share the concerns of many in their consideration of the impact of UC on York residents. I have prepared a response based on the issues raised in the remit.

Universal Credit impact

Universal Credit has impacted on claimant's income in many ways, in general the main issues relate to:

- Lower amounts for disabled people, including disabled workers and families with a disabled child.
- Deductions to third parties (eg for utility debts or rent arrears) are higher.
- Payment patterns for earnings can skew UC payments, making it difficult to budget and, in some cases, reducing overall entitlement.
- The Minimum Income Floor for self employed people means that some are treated as having income they 'should' have rather than actually have.

Along with the continued freeze to the benefit rates and alterations to work allowances (not available unless a claimant has children or limited capability for work) many York residents will find the UC system does not adequately cover living costs. National research has repeatedly highlighted increases in the number of people in poverty.

Issues about the wait for payments were addressed by the government but our UC survey found that many found that accessing Advance Payments, and coping with repayments, were still causing problems.

A main concern about the UC system is the support for the most vulnerable. UC Support through CYC appears effective but the government is only financing help with initial claims rather than ongoing maintenance of claims (and I expect this is similar when this support transfers to Citizens Advice in April 2019). Claimants are expected to check their online journals daily despite many not having access to computers or other gadgets. Many advisers are worried that the most vulnerable will not be able to maintain their claims due to complexity, frustration at continued admin errors by the DWP and difficulties understanding Claimant Commitment responsibilities. It is a concern that these vulnerable claimants will drop out of the UC system and the impact this will have on their health and housing status.

Problems arise when UC are making payments direct to landlords as they are paid four-weekly rather than aligning to the claimant's monthly payment pattern. Payment in arrears and delays are leading to landlords taking court action threatening eviction. We are aware of one housing association requesting that claimants do not request direct payments due to delays; this puts further budgeting pressure on UC claimants. Direct payment to landlords is supposed to support the most vulnerable but appears to be creating extra stress and problems.

Queries to our advice line and feedback from the DWP show that claimants who are unable to work due to health conditions are not being referred for assessment and are expected to meet high job-seeking demands. Sanctions are higher amongst UC claimants with a suggestion that Work Coaches are not using their discretion to understand why some claimants are not able to meet their responsibilities (eg. not assessed or their health problems are not severe enough to class as 'limited capability for work').

We are increasingly seeing queries from EU nationals, both on UC and legacy benefits. This situation is clearly likely to become more complex.

It is important to note that some people are better off on UC; it is essential that these people are identified and reassured about transitioning across given the negative aspects of UC that are highlighted in the media.

Council Tax Discretionary Support

Demand on advice and support providers has increased due to the introduction of UC. This could suggest that they deal with the most pertinent issues facing a client and have less opportunity to advise on other issues. This may impact on take up of the Council Tax Discretionary Scheme. Further, our UC survey suggested that UC claimants were still not being made aware of the Council Tax Reduction Scheme itself by the DWP therefore access to information about discretionary support may be limited if the claimant is not being directed to the council.

Discretionary Housing Payments

The above overview provides an indicator of drivers affecting take-up. The benefit freeze and an increase in sanctioning also applies to people on 'legacy' benefits (ie benefits people could claim before Universal Credit such as Income Support, tax credits).

FISG initiatives

The variety of initiatives provides a broad range of support, particularly for claimants who may struggle maintaining a UC claim. Meetings between recipients of the funding and Advice York meetings support partnership understanding. Advice York provides both a forum for partnership working and communication with CYC; it also helps ensure that DWP communication with the council is shared.

There is a lot of pressure on advisers and on front line staff/volunteers who are finding themselves in an advice-giving role as a peripheral part of the job.

The Welfare Benefits Unit provides specialist benefits advice to anyone who works with claimants. We receive FISG funding for our Universal Credit Focus project. This allows us to provide more in-depth support (ie follow up and case work) and we provide briefings on UC to organisations. We have received positive feedback about the service and how this enables greater support for clients.

Overall contacts to our advice line (phone and email) increased by 50% last year. For both our main service and the UCF project we have found a number of factors are increasing demand:

- Complexity of the advice system. Consideration needs to be given to both legacy benefits and UC when claimants have a change of circumstances.
- UC regulations are open to interpretation and cases have not progressed through the Tribunal/court system to clarify understanding. DWP administration processes also cause concern with our follow-ups repeatedly identifying misinformation provided by the DWP or errors on processing of claims (nationally recognized eg. missing elements in the calculation).
- Traditional advice services such as Citizens Advice do not usually follow up with clients and more queries are one-touch compared to other community services. This is very effective for a majority of clients who are able to take queries forward on the advice given. Other services provide ongoing support with benefit issues and tend to work with more vulnerable clients on a number of issues (eg. Peasholme Charity) or provide a specific service in which benefit issues may be in the background and can at time act as a barrier to accessing support (eg. working with Blueberry Academy but concerned about the impact on finances if moving into work). These services often have very experienced advisers who use our service for more complex queries only. However, with cuts across benefit services nationally there are fewer benefit specialists working directly with clients, particularly on an ongoing basis. As a result we are having to provide a more detailed response – providing basic information before building up directive step by step advice. This can lead to repeated queries for a client that a more experienced adviser would have been able to take forward. This has increased demand and there are times when a worker/volunteer is struggling to grasp the

advice we're offering. The UCF project offers us the opportunity to step in and become more involved in the advice we offer (eg providing a written submission or detailed written advice). This could be taken further by offering direct client contact more frequently but we would not currently be able to offer this regularly due to likely high demand.

- Incorrect decisions need to be challenged and there are few services offering tribunal representation. This is an area of concern and we have limited funding currently to help with representation.

In 2017/18 WBU worked with: Age UK, Blueberry Academy, Brain Injury Rehabilitation Trust, Changing Lives, Citizens Advice, Community Links, Family Mediation Service, IDAS, Lidgett Methodist Church, Lifeline, Mainstay, Masonic Charitable Foundation, NY Aids Action, OCAI, P3, Peasholme Charity, Refugee Action York, Royal British Legion, SASH, York Advocacy. See also our 2018/19 6-month monitoring report.

The FISG initiatives appear to provide effective support, through our project and others. Research into advice work demonstrates the positive impact. FISG support could be strengthened by increasing the length of awards offered. Annual funding can be problematic as any project involves planning, implementation and then scaling back if funding may end. This causes difficulties if expectations are raised and recruitment may be an issue for limited periods. At the WBU, Trustees agreed to offer a permanent position and rely on reserves if funding finished but this is not possible for many organisations. The WBU is working to a deficit budget; we match fund our CYC SLA contract funding through our sales of publications and training.

Supporting advice through a variety of organisations can help people get the support needed when deciding life changes including moving into work or coping with uncertain employment. The FISG initiatives can help mitigate against the effects of the current benefit system. Coping with the effects of the current benefit system remains a challenge within the YFAS, CTR and DHP schemes, particularly as there is more likelihood that they are needed to address long-term situations caused by the levels of financial support and structure of the benefit system; arguably, previously, support was needed to help in exceptional circumstances and easier to define.

Continued joint working between CYC and voluntary organisations can effectively help to challenge the negative impact of Universal Credit implementation. It also strengthens the knowledge gained about claimants' experiences which can help when communication with the DWP and other partners.

Liz Wilson
Chief Executive, Welfare Benefits Unit
20 December 2018



Report to: City of York Council Scrutiny Committee

Review: financial inclusion in the city

Objective: to understand the increasing levels of food poverty in York.

February 2019

Co-Authors: Maddy Power and Rosie Baker



Q1 BACKGROUND TO FOOD POVERTY IN YORK & CURRENT STATISTICS

SUMMARY

- **Around 1/5 (22%) of respondents to the YFPA Primary school parents' survey in York, have reported experiencing food poverty in the past 12 months.**
- **Both Food Bank use and informal community food aid usage are rising.**
- **There are over 30 organisations providing variations of food aid across York.**

1.1 The background to food poverty in York

York may appear to be a rich city with a booming tourist industry, but poverty is real – and growing - in the 9th most unequal city in the UK, in a climate where food prices continue to rise and incomes remain stagnant.

Over 17 times the numbers of people who access formal food banks, are estimated to be using some kind of independent / community food aid and one of the key indicators of food poverty is low intake of fresh fruit and vegetables (Independent Food Aid Network)

The York Food Poverty Alliance, a cross-sector group under the network of Good Food York, includes community organisations and cafes, the University of York, JRHT, York City Football Club Foundation and the City of York Council. It has been meeting quarterly since April 2018 and is determined to tackle the root causes of growing food poverty in York.

1.2 Mapping Community Food Aid

One of the preliminary pieces of work the YFPA completed was to map the existing community food aid on offer on York. This is also known as 'independent food aid' and typically projects require no formal referral processes. Some serve specific geographical communities only and others target particular demographics of people e.g. young children and families or people with mental health problems.

Since our database of organisations was drawn up in April 2018, contact has been made intermittently with managers of the organisations to review and probe further. Questions were asked about approximate usage of the service and to establish some further background e.g. "Did your organisation start-up with tackling food poverty as one of the main drivers?"

This will help us understand and report on some of the factors surrounding the emergence of food poverty as an issue in York.

Results

There are approximately 32 cross-sector organisations delivering a range of different versions of community food aid provision from traditional soup kitchens and the Edible York beds to the statutory food & advice projects and the ever-popular rise in volunteer/peer led Community Café model. Of these,

- 13 said food poverty was part of their rationale for setting up;

- 17 are open regularly (more than once a week);
- 12 are open one day per week;
- 25 have an open-access policy
- 7 serve targeted populations only (gender, age, area/based, disability, income.)

It is extremely difficult to measure unique users of food-aid by those who are experiencing food poverty at projects which are open on a continuous, all-inclusive basis or where food is embedded alongside other services.

The data we have available is from the weekly community cafes/informal food banks such as Red Tower, Planet Food, YourCafe / Luke's Larder, Bell Farm Community Assoc, Chapelfields and Foxwood Community Hubs and Lidgett Grove (n=7).

The numbers of weekly customers to each of these projects range from 35-70 meaning around 360 people each week use open-access café provisions across the city. This does not capture the full level of usage when you consider Chill in the Community CIC's informal food bank in Acomb, is also open 7 days per week.

Further work

This review of organisations is yet to be completed but thereafter our database will be adapted into a pocket-sized paper map to be distributed to people city-wide.

1.3 Available local statistics

1.3.1 York Food Bank, between April 1 – November 30, 2018, York Food Bank served 2623 people, 1008 were children. The previous full 12 months, April 1, 2017, to March 31, 2018, 4,262 people received food assistance from York Foodbank; of this, 1,647 were children.

1.3.2 York Financial Assistance Scheme - Food vouchers: contact Susan Wood, CYC

1.3.3 Food and Affordability Survey in Primary schools, York Food Poverty Alliance, Oct 2018-Feb 2019:

- The percentage of respondents that had ever used a food bank is 10.9%
- Over 1/5 (22%) said that “within the past 12 months, we worried whether our food would run out before we got money to buy more”
- 17% that said either fresh fruit or vegetables were the most unaffordable and over 1/5 (24%) reported that they only eat fresh fruit or vegetables either less than once a week or only 1-3 times a week.
- More than ¾ (76%) consider the most unaffordable foods to be protein products, either meat or fish.
- 21% Have a total household income in the lower two income groups: either £1769/mth or less or £409/mth or less.

Q2: How local measurement might be improved - Recommendations

SUMMARY

- **The hidden levels of food aid usage are difficult to measure.**
- **Nationally, organisations such as the Food Foundation and End Hunger UK are lobbying the government to measure food insecurity.**
- **Locally, the York Human Rights City Network is working with YFPA to advocate the need for measurement to be improved.**

2.1 Quantitative measurement

All food aid providers would benefit from numerical measurement. York Food Bank (Trussell Trust) has an easier task of counting referrals hence they get included in headline reports and statistics gathering.

The two main barriers YFPA partners have identified that hinder the useful collection of numerical data from less formal provisions are: -

- a) Difficulty in finding a mechanism to count people / unique users of food aid at projects which provide a 'hub' of services
- b) Difficulty in identifying users who have/are or are at risk of experiencing food poverty first-hand at projects which are open-to-all and actively encourage universal access.

Recommendation 1: Questions to measure food insecurity and food bank use to be input into an appropriate statutory survey.

2.2. SOCIAL IMPACT

Chill in the Community CIC and Red Tower CIC have outlined many options in their reports, which demonstrate a social impact model of evaluation and useful tools for monitoring service usage. (See Appendix 1.)

Recommendation 2: A database to be created to distribute to all community food providers to be able to input their data under categorical headings, quarterly perhaps.

Recommendation 2.1: For an additional layer of measurement to capture the targeted population of those experiencing food poverty, an assessment of demographics needs to be developed such as that used by Fareshare (See Appendix 2.)

2.3 SOCIAL VALUE

Social Value Engine model: 4Community Growth are using this and have assessed Bell Farm Community Association's services (and their own projects to the best of our knowledge).

Recommendation 3: Roll-out Social Value Engine assessment to cross-sector projects city-wide.

2.4 QUALITATIVE MEASUREMENT

Recommendation 4: This method would be improved by identifying a baseline for qualitative data.

Many projects already collect qualitative data by way of professional observations, collection of personal narratives and quotations from service users / 'Experts by Experience' and ethnographic-style observations. The End Hunger UK campaign encourages the collection of personal narratives around food poverty and produced an exhibition which toured various places last Summer. Work was attempted to include York in the tour, but this didn't come to fruition.

YFPA is currently asking its members to contribute more to this data source by nominating a person to be interviewed e.g. a staff member/volunteer to get a narrative of anecdotal evidence/ observations /their perspectives as service providers.

Secondly, we are applying for funding to run a project which involves, from the outset, Experts by Experience in the strategy-formation and appropriate delivery of community food interventions.

Recommendation 5: Focus on the collection of evidence from 'Experts by Experience' in a range of different media, as suggested by, and in co-production with them.

Q3: The current role of crisis supports in York in mitigating food poverty

SUMMARY

- **Formal, referral-based crisis support is inadequate and inconsistent.**
- **A shift towards more inclusive, universal models of food aid within wider support services and inline with good practice on delivering a sustainable food economy, would be welcomed.**

3.1 York Food Bank

This is run by Trussell Trust, a national Christian organisation. The local branch is currently recruiting for a new manager and management has lacked continuity for the past 6 months. They operate through their four distribution centres across the city in Acomb, Tang Hall, Clifton, Huntington on a referral-only basis.

Whilst this service helps some people it does not help everyone. The York Food Poverty Alliance would advocate moving away from this model of food aid. It has been critiqued for its limitations on healthy, fresh foods and the fact many people it could help choose not to access a referral-only service which is stigmatised.

3.2 York Financial Assistance Service

This council service plays a similar but different role to the Food Bank and people can apply to one or both at the same time. You can be awarded a supermarket voucher but there is no restriction on what you buy with it. People are limited to a total of 2 awards per 12-month period, for food and/or other items, except if claiming after a disaster or benefit sanction which would not count towards the total.

In September, YFPA's partners gave feedback to a council representative from YFAS who was conducting a review. The feedback was that it is inadequate and underfunded. Whilst we welcome the review which has now been completed, we would like to see evidence that the new application process has a positive effect and whether this service has the capacity to really make a difference to people's lives.

3.3 Community Food Aid projects and York Food Poverty Alliance (established April 2018)

York Food Poverty Alliance works with groups, organisations and individuals in York to provide, monitor and support food aid provision and to strengthen their ability to reduce food poverty and tackle its root causes.

- **'Holiday Hunger' since July 2018**

Background:

School holidays can be particular pressure points for some families because of increased costs (such as food and childcare) and reduced incomes (such as loss of a free school meal, reduced working hours etc.). There is a growing body of evidence of a holiday experience gap - with children from disadvantaged families less likely to access organised out-of-school activities; more likely to experience 'unhealthy holidays' in terms of nutrition and physical health; and more likely to experience social isolation.

Free holiday clubs are a response to this issue and evidence suggests that they can have a positive impact on children and young people and that they work best when they provide consistent and easily accessible enrichment activities, for more than just breakfast or lunch, and when they involve children (and parents) in food preparation. (Source: DfE.)

York food and activity clubs summary - July 2018 to January 2019:

- **2930 meals served & over 285 food bags given out** between 13th July and 7th January 2019.
- 9 'Holiday Hunger' projects totalling **67 food club sessions**.
- **29 out of 45** respondents (64%) agreed or strongly agreed that it was **harder to make ends meet during the school holidays** than during the school year.
- **82%** respondents agreed or strongly agreed that they **spend more on food during the school holiday** than during the school year.
- **Almost half**, (47%) agreed or strongly agreed that they **sometimes find themselves without enough money for food** during the school holiday.
- **One third of people (31%)** responded that within the past 12 months, **the food they bought just didn't last** and they didn't have money to get more.
- **48%** of families with school-age children were in **receipt of Free School Meals**.
- For a **Case study** of good practice (See Appendix 3)

3.4 Soup kitchens / homelessness projects

There are at least 7 soup kitchen projects operating in York aimed at the homeless population. These are not suitable for families, so we do not have data on their potential to mitigate child and family food poverty.

Q4: A range of options for the Council and its partners to improve the city-wide response to food poverty in York.

SUMMARY

- **YFPA is developing a Food Poverty Action plan to be launched by the end of April 2019.**
- **YFPA held focus groups to gather ideas for change from ‘experts by experience’ and members of the public.**
- **The key areas of work needed to tackle the root causes surround low incomes and benefits support.**

4.1 York Food Poverty Action plan – **DRAFT proposals**

- Real Living Wage: CYC to lead the way in paying all its outsourced supply employees the Real Living Wage and to promote the uptake of this wage to other sectors city-wide.
- Financial Assistance: a better and larger package of services to be developed to include increased promotion of Free School Meals and Healthy Start vouchers.
- Food Aid: continue to support and monitor informal food aid provisions, especially those that offer successful models of advice + food provision schemes *whilst* developing a Food Bank exit strategy at the same time.
- Government action on welfare reform i.e. ‘Fix Universal Credit’

4.2 Focus Group summary findings, January 2019

4.2.1 Themes

- i. Management strategies on a low income: *Shopping, budgeting and cooking; use of Social Security*
- ii. Macroeconomic and policy context: The lived experience of changing circumstances

4.2.3 Participant recommendations:

i. **Universal credit reform**

The need for (urgent and meaningful) reform to Universal Credit was discussed emphatically and at length by participants in the Acomb focus group. There was a need for greater claimant dignity and autonomy within the system; for more consistent and accurate interaction with staff processing claims and payments; and for the reassertion of a claimant's right to receive Universal Credit/welfare benefits.

ii. **Improved access to healthy, cheap and seasonal food**

Among participants, there was a widely held desire for improved access to seasonal, cheap fruit and vegetables – for instance, from a new large and affordable indoor market or independent retailers. According to more than one participant, such improved access was contingent upon a better and cheaper public transport system or the improved availability of affordable parking in York. Cheaper prices for healthy items was also thought important within the 'big supermarkets'.

iii. **Expansion/development of and improved access to sociable, inclusive, open-access food aid**

A significant minority of participants recommended the further development of open-access food aid, such as community cafes and informal Pay-As-You-Feel food stores.

"We need more community cafes. Ones that are large and welcoming enough for families."

Female, Tang Hall

However, according to one participant, the further continuation of community cafes was contingent on financial support from the Local Authority (rate relief). One participant recommended improved food provision for children during the school holidays.

iv. **Other recommendations cited by a minority included:**

- a. Housing: Implementation of rent controls to reduce housing costs.
- b. Provision of education about cooking on a budget.
- c. Awareness-raising about the reality of food poverty in the UK:

"I honestly despair at the fact that we have food poverty in such a rich country – it's obscene." (Female, online)

- d. Re-orientate Local Authority priorities in York away from tourists towards residents, including a reconsideration of parking costs and re-evaluation of food prices in restaurants.

APPENDIX 1

Chill in the Community CIC's monitoring activities:

Play & picnic scheme

Numbers attended

Volunteer hours

Meals served

Kg food consumed

Number of food collections / Kg of food can be translated into meals

Qualitative / observations / personal narratives

Package: food + support (coaching, budgeting, cooking advocacy)

Families helped per week compared to over the holidays

Individuals supported with benefits advice

Sessions delivered

Pay as you feel café, informal food bank & 'Pay it Forward'

Meals/drinks paid for

Food parcels distributed

Numbers of individuals accessing

APPENDIX 2

Extract From:
Fareshare's COMMUNITY FOOD MEMBER APPLICATION FORM

[Please give details of the group(s) targeted by the project:

Who are your main client group(s): Tick all that apply

- | | | | |
|------------------------|--------------------------|-----------------------------------|--------------------------|
| Homeless men | <input type="checkbox"/> | Client with drug and | |
| Homeless women | <input type="checkbox"/> | alcohol problems | <input type="checkbox"/> |
| Rough sleepers | <input type="checkbox"/> | Mental Health | <input type="checkbox"/> |
| Homeless 16-25 yrs old | <input type="checkbox"/> | Physical health problems | <input type="checkbox"/> |
| Single homeless people | <input type="checkbox"/> | Schoolchildren - primary school | <input type="checkbox"/> |
| People at risk of | | Schoolchildren - secondary school | <input type="checkbox"/> |
| Homelessness | <input type="checkbox"/> | Young people (16-25) | <input type="checkbox"/> |
| Women | <input type="checkbox"/> | Adults (26-64) | <input type="checkbox"/> |
| Ex-offenders | <input type="checkbox"/> | Older people (64+) | <input type="checkbox"/> |
| Asylum seekers | <input type="checkbox"/> | other | <input type="checkbox"/> |
| Families | <input type="checkbox"/> | if other, please specify: | |

People on low-incomes/Benefits_____

Client Group Details

What proportion of your client group falls into each of the following living situations? Please give a percentage estimate.	Sleeping rough	
	Hostel	
	Housed (vulnerable)	
	Other	
Which age range does your client group belong to? Please tick appropriate box.	Children (under 16)	
	Young adults (16-25)	
	Adults (26-64)	
	Older people (65+)	

	No specific age range	
How many clients on average do you serve-deal with on a daily basis? Please tick appropriate box.	0 - 25	
	25 - 50	
	50 - 75	
	75 - 100	
	100 - 125	
	125 - 150	
	150+	
Is this a regular client group?	Yes	
	No	
Please estimate the percentage of male:female clients you serve on a daily basis.		

APPENDIX 3

PART 1: HOLIDAY HUNGER PROJECT CASE STUDY – SUMMER 2018

PARTICIPANT: RED TOWER CIC

1. HOW / WHO BY?

Managed by: Red Tower CIC and Rosie Baker (local volunteer.)

Partners: City of York Council, York Food Poverty Alliance/Good Food York, Walmgate Community Association.

Food provision: Donations collected from Morrison's, Coop, Olivia's Bakery, Bettys & Taylors and Edible York.

Finances: £429 received from a CYC Ward Budget grant, of which approx. £102 was used on this particular project. An additional £70, initially included in this budget was spent instead by the York Food Poverty Alliance to advertise the full Holiday Hunger programme being carried out across all venues.

2. WHY / WHO FOR?

One of the ward councillors where the Red Tower is situated, Guildhall Ward, brought the issue of food poverty to the table at the July 2018 council meeting. Her motion sought to get food poverty monitored, taken seriously and for measures for its reduction to be worked towards and it was passed unanimously. Guildhall ward is rated low, 3/21 of the city wards on the Indices of Multiple Deprivation; 16.8% of children are in child poverty. The nearby residents and some social housing communities surround the Red Tower and its lush gardens. Following its recent renovations after serious flooding, the Red Tower's revived mission is to open its doors more regularly as a community hub and "bring this historic building to life by offering an inclusive, welcoming space for creative, learning and social activities, run by local people, encouraging local and wider community participation."

3. WHAT HAPPENED / WHAT WAS ON OFFER?

A volunteer project coordinator, Rosie Baker, was recruited by the Red Tower to run the project. Other volunteers were sourced through the Red Tower's existing group, through Rosie's contacts and organically via people offering their time. The cafe opened every Monday for 7 weeks. It filled a gap in the Holiday Hunger programme as there was no other food aid provision scheduled for Mondays. On offer were fresh, healthy lunches of salads, sandwiches, pastries and fruit and a pack-up lunch for every child. Additionally, home-made or donated cakes and biscuits were served, and people were advised on healthy amounts. Also served teas, coffees and juices. There were Pay-As-You-Feel signs up and volunteers gestured to the donations box when people wanted to contribute. All the takings were used by the Red Tower CIC for its overheads and own project aims.

Every week a 'Food 4U Shop' operated upstairs in the tower displaying the produce that couldn't be made into lunches for people to take a bag of groceries home; the suggested donation per bag of food was £1. Volunteers talked to people about the value of the otherwise 'free' food and encouraged people to share what was there/think about how to use it best to limit the journey towards waste. Craft activities for children and advice-giving were provided by the council staff if people needed it on at least 2 of the weeks. Toys and games were provided every week by the venue.

4. WHAT WENT WELL?

Outdoor well-being: The garden was enjoyed by customers young and old every week; in the beautiful sunshine mainly and even in the downpours (children literally dancing in the rain.)

Inclusion: Elder neighbours enjoyed a sit-down, a hearty lunch and others to chat to; Some neighbours who had not been keen on the project to begin with, came to eat at the cafe by the end of the holiday period; People of minority ethnic origin came to the cafe.

Alleviating hunger: There was enough tasty, varied food for everyone – volunteers included – every week. Left-over food was taken away by volunteers to feed people at home.

0-Waste: In total approx. 785kg of food was intercepted before being sent to landfill. All recyclable products and waste food were collected for proper disposal by a local compost expert.

Volunteer experience: 1 intern, 1 coordinator (Rosie piloted her own cafe-concept), 2 staff from the CIC and 13 other volunteers repeatedly contributed their time, resources and enthusiasm. They appeared to benefit, get along well and enjoy it.

5. WHAT COULD BE IMPROVED / ANY CHALLENGES TO OVERCOME?

- More planned activities for children to have a go at: although free play and running was very much valued & enjoyed, this would be especially necessary in times of less clement weather.
- Seek donations of protein-based foods from the supermarkets as all protein on this project was purchased using the ward money budget.
- More engagement from the volunteers towards the customers would be beneficial: to talk to them about any food insecurities to educate about using food that's still edible; to befriend as appropriate and for research purposes, to collect narratives from 'experts by experience.'

6. FEEDBACK FROM CUSTOMERS

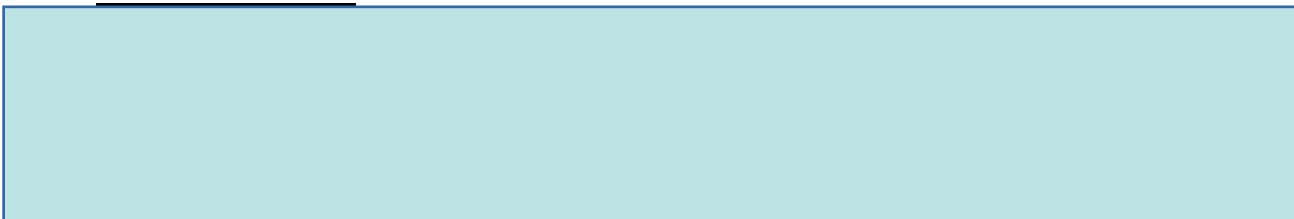
a) What kind of feedback was collected?

YFPA evaluation forms (x20) and verbal feedback from customers.

.....
.....

b) Evidence of feedback:

Personal narrative



"I volunteered at the Red Tower because I wanted to gain experience & contribute to a project that reduces food waste & provides low-cost healthy food. My son has been eligible for FSM since I left my ex over a year ago and having only managed to get minimum wage / 0-hours / term-time only or P/T self-employed work since then, I claim universal credit, which just about makes ends meet! I had much less income during the summer holidays and my main concern was buying decent, healthy portions of protein for my son and myself (I'd rather not feed him re-formed chicken or low meat-content sausages just because they're cheap!) Being part of Red Tower meant I knew he'd have access to ample cheese/egg/tuna sandwiches & loads of fresh fruit 'n' veg. He had so much fun playing outdoors there each week & regularly asks when the next community café is on. I was able to take surplus food home to store, use economically & share with neighbours who I knew needed it too. There were of course cafe-goers seeming much more in need than we were. But the inclusivity & non-judgemental atmosphere for everyone is something you don't get out in society much elsewhere."

..... .. *"Fantastic idea. We are on holiday in York with our 4 children. We stopped in for a cup of tea and a juice for the children. It was a welcome break. We struggle to afford a mainstream cafe, so this was a real treat."*

-
- Feedback from a member of the visiting community / venue management / resident's association:

"Many thanks for everything you have done to make the pay-as-fee cafe a success / Following the resounding success of the pay-as-fee cafe it would be good to promote the York Food Poverty Alliance and hopefully organise similar projects in the future." (Walmgate Community Association.)

PART 2: ONGOING CASE STUDY

With the support of 4CommunityGrowth and a team of volunteers, Red Tower's journey is being tracked and celebrated from its origins as a pilot school holiday-only PAYF cafe, to a full food + advice Community Hub for local residents.

Holiday Hunger 29th October 2018 (part of week-long half term provision)

Numbers: 17

Feedback: Ruth Potter from OCAV was there and got more potential users of her services than she did when she ran some stand-alone events at the Red Tower. It shows the basic idea of a PAYF meal and shop with advice available, if people want it, will work better together than splitting it into two events.

Autumn Monday Events – hot lunches, shop, crafts & advice

Dates: 5/11/18 – 17/12/18

Numbers: 32 average

Open every Monday until 17 December, Community First Credit Union came every week and some free craft workshops.

January 2019 onwards – supported by 4Community Growth

This is the advice and support programme in addition to the PAYF cafe and shop:

Weekly

The Credit Union and the Guildhall Local Area Co-ordinator

Fortnightly

Craft workshops run by community artist Kat Wood.

Monthly

Healthwatch, Older Citizens Advocacy York, North Yorkshire Police Service with the York BID Rangers. To add: a benefits advice session.

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Executive

18 March 2019

Report of the Customer and Corporate Services Scrutiny Management Committee

Single Use Plastics Scrutiny Review Final Report – Cover Report

Summary

1. This cover report presents the final report from the Ad-Hoc Sub-Committee established to carry out a scrutiny review into single-use plastics and asks the Executive to approve the recommendations arising from the review.
2. The final report is subject to approval of the Customer and Corporate Services Scrutiny Management Committee (CSMC) at its meeting on 11 March and this paper has been published prior to that meeting in view of the statutory timescales for publication of reports. CSMC's decision and any changes to the report or the review recommendations arising from that meeting will be circulated to Executive.

Recommendation

3. Having considered the Single-Use Plastics Scrutiny Review Final Report at Appendix 1 the Executive is asked to approve the recommendations as shown in paragraph 10, below.

Reason: To conclude this scrutiny review in line with CYC scrutiny procedures and protocols.

Background

4. In December 2017 Full Council considered a Motion around single-use plastics and resolved that:
5. Council notes:

- There are significant environmental problems with disposing of single use plastics, which release toxic chemicals when they break down, are a non-recyclable material and therefore a waste of energy and economic value, and also contribute significantly to waterway litter in York, which can then contribute to long lasting plastic pollution on beaches and in the marine environment.
- The harmful effects this has on marine life and the increased amount of plastic entering the food chain.
- Existing initiatives aimed at reducing the numbers of single use disposable coffee cups being used for take-away drinks, such as the 'Freiburg cup' and the York manufactured 'iamreusable' cup.

6. Council therefore:

- Requests the appropriate Scrutiny Committee to consider the merits of undertaking a scrutiny review in order to investigate the council's use of single use plastics in its buildings etc. and through its procurement arrangements, and how the behaviour of others may be influenced in relation to this particular form of pollution in support of the coalition's broader environmental policies. Options to reduce the use of single-use disposable cups in York should include working with Make it York (possibly via its new service level agreement with the Council) and the York BID to reduce waste and tackle litter and rubbish collection challenges within the city centre."

7. The resolution was originally considered by the Economy and Place Policy Development Committee which agreed to undertake a review, but before membership of a Task Group was finalised it became clear that this item should be considered by CSMC as part of the Motion is around developing the Council's procurement policy on plastic goods.

8. In early November 2018 CSMC agreed to a joint review and that Cllrs Looker and Fenton joint Cllrs Kramm and Richardson from the Economy and Place Policy Development Committee to form the Ad-Hoc Sub-Committee, which met for the first time in late November and agreed the following remit:

Aim:

To investigate to use and disposal of single use plastics in York, what measures can be taken to reduce the use of single use plastics in

Council buildings and how these measures can influence city partners and businesses in helping reduce plastic pollution.

Objectives:

- i. Examine the current Council policy in relation to single use plastics in its buildings;
- ii. Understand the current arrangements for recycling or reusing plastics for York residents;
- iii. Better understand what levers the Council has to reduce the use of single use plastics in food and drink outlets;
- iv. Liaise with York BID to understand what actions can be taken to reduce and better manage coffee cup disposal in York city centre;
- v. Engage with One Planet York to communicate to partners measures to reduce the use of single use plastics;
- vi. Look at best practices in other towns and cities.

Consultation

9. Over a series of meetings the Sub-Committee consulted with CYC Waste Management and Yorwaste, CYC Facilities Management and Procurement, One Planet York and York Business Improvement District. It too into account best practices adopted by other local authorities and considered Government measures to reduce the use of single-use plastics.

Review Recommendations

10. The information gathered as a result of these consultations and considerations led to the following recommendations:
 - i. That CYC Facilities Management:
 - a) continue to work with United Response to explore options to replace disposable plastic food containers (such as those used for sandwiches and salads) with more environmentally friendly alternatives
 - b) undertakes a trial whereby metal cutlery is made available in the West Office hubs and the cafe as an alternative to disposable plastic cutlery

- c) works with Communications colleagues to prepare and distribute publicity materials encouraging CYC staff to reduce their use of single-use plastics
 - d) considers options for expanding the range of recyclable materials collected at West Offices, for example through dedicated bins for biodegradable / compostable coffee cups and crisp packets
- ii. That CYC Procurement, through the implementation of the Council's Social Values Policy, strives to minimise the procurement of single-use plastics
 - iii. That the Council:
 - a) Works with partners such as Make It York to explore options for reducing the use of single-use plastic cups and food trays at events held on Council land
 - b) Continues to liaise with York BID to explore opportunities to reduce the use of disposable coffee cups in the city centre and provide better disposal facilities, noting that the BID are currently looking at options on these issues
 - c) Through its role as a participant in the One Planet York initiative:
 - Learns from and shares information and best practice on reduction of single-use plastics with partners in the city such as educational establishments and businesses;
 - Makes use of available communication channels to share information with residents on ways in which they can reduce single-use plastics and make full use of recycling opportunities.
 - iv. That CYC Waste Services to continue to work with Yorwaste and St Nicks to explore options for increasing the number and types of single-use plastics that can be collected for which there are practicable recycling opportunities.

Options

11. Having considered the final report at Appendix 1 the Executive can approve and/or amend, or reject the recommendations arising from the review, as detailed in paragraph 10 above.

Council Plan

12. This report is linked to A Prosperous City for All priority in the Council Plan which highlights that environmental stability underpins everything we do, seeks to increase the percentage of waste recycled and works towards plans for One Planet living.

Implications and Risk Management

13. The risks and implications associated with the review recommendations above are included in the review final report at Appendix 1.

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Report Approved Date 28/02/2019

Wards Affected:

All

For further information please contact the author of the report

Annexes

Appendix 1 – Single Use Plastics Scrutiny Review Final Report

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**Customer and Corporate Services Scrutiny
Management Committee**

11 March 2019

Report of the Single-use Plastics Scrutiny Review Ad-Hoc Sub-Committee

Single Use Plastics Scrutiny Review Final Report

Summary

1. This report presents the Customer and Corporate Services Scrutiny Management Committee (CSMC) with all the information gathered by the Ad-Hoc Sub-Committee appointed to investigate the use and disposal of single use plastics in York, together with the Sub-Committee's conclusions and recommendations.

Background

2. In December 2017 Full Council considered a Motion around single use plastics and resolved that:
3. Council notes:
 - There are significant environmental problems with disposing of single use plastics, which release toxic chemicals when they break down, are a non-recyclable material and therefore a waste of energy and economic value, and also contribute significantly to waterway litter in York, which can then contribute to long lasting plastic pollution on beaches and in the marine environment.
 - The harmful effects this has on marine life and the increased amount of plastic entering the food chain.
 - Existing initiatives aimed at reducing the numbers of single use disposable coffee cups being used for take-away drinks, such as the 'Freiburg cup' and the York manufactured 'iamreusable' cup.
4. Council therefore:

- Requests the appropriate Scrutiny Committee to consider the merits of undertaking a scrutiny review in order to investigate the council's use of single use plastics in its buildings etc. and through its procurement arrangements, and how the behaviour of others may be influenced in relation to this particular form of pollution in support of the coalition's broader environmental policies. Options to reduce the use of single-use disposable cups in York should include working with Make it York (possibly via its new service level agreement with the Council) and the York Business Improvement District (BID) to reduce waste and tackle litter and rubbish collection challenges within the city centre.”
5. The resolution was originally considered by the Economy and Place Policy Development Committee which agreed to undertake a review, but before membership of a Task Group was finalised it became clear that this item should be considered by CSMC as part of the Motion is around developing the Council's procurement policy on plastic goods.
 6. At the June meeting of E&P Policy Development, Members agreed they wanted to pursue a joint Task Group approach to carrying out this review with CSMC and further agreed Cllrs Kramm and Richardson be on any joint Sub-Committee.
 7. This issue was first discussed by CSMC in June 2018 when it was agreed to convene a Joint Ad-Hoc Sub-Committee with E&P Policy Development Committee. However, the Committee also agreed to delegate authority to the Head of Civic and Democratic Services, in conjunction with the Chair and Vice-Chair, to prioritise the order and timing of review work given the shortages within the scrutiny team at the time and the fact that the Committee was already committed to two other scrutiny reviews.
 8. It was next considered at a meeting of this Committee in November 2018 when Cllrs Looker and Fenton were appointed to the Joint Ad Hoc Sub-Committee.
 9. The Sub-Committee met for the first time in late November when Cllr Fenton was appointed Chair. Members broadly discussed the information they would need to progress the review, who they wanted to consult with and agreed the following remit:

Remit

Aim:

To investigate the use and disposal of single use plastics in York, what measures can be taken to reduce the use of single use plastics in Council buildings and how these measures can influence city partners and businesses in helping reduce plastic pollution.

Objectives:

- i. Examine the current Council policy in relation to single use plastics in its buildings;
- ii. Understand the current arrangements for recycling or reusing plastics for York residents;
- iii. Better understand what levers the Council has to reduce the use of single use plastics in food and drink outlets;
- iv. Liaise with York BID to understand what actions can be taken to reduce and better manage coffee cup disposal in York city centre;
- v. Engage with One Planet York to communicate to partners measures to reduce the use of single use plastics;
- vi. Look at best practices in other towns and cities.

Information Gathered

10. In January the Sub-Committee met with officers from CYC Waste Management and Yorwaste to learn about the current arrangements for recycling or reusing plastics in York. Sub-Committee members noted that all households are provided with a fortnightly kerbside recycling collection. Within the city centre St Nicks operates smaller collection vehicles to negotiate narrower streets. This is a weekly recycling collection to c.2,420 households (2.76% of households) as part of a five-year contract.
11. Plastic recycling is complicated as while all plastic bottles are recyclable they have different polymers. Kerbside recycling should only involve plastic bottles; drinks and milk bottles; household cleaning, detergent and fabric conditioner bottles; toiletry bottles including make-up/cleanser, shampoo, conditioner and bubble bath bottles.

12. Other plastics, including plastic food wrapping; food trays and margarine tubs are mixed plastics and should not be put into kerbside recycling containers. Mixed plastics can be recycled in the public recycling banks which are provided and paid for by Sainsbury's, at their Monks Cross or Foss Island sites. Alternately, mixed plastics can be placed in a general household waste bin.
13. York uses the Allerton Waste Recovery Park (AWRP) to process its waste. AWRP is designed so domestic refuse goes through a mechanical treatment process to further separate recyclable material, such as metals and plastics. However, the sub-committee noted that Allerton Park is struggling to sell contaminated plastics.
14. The sub-committee agreed that for CYC to benefit it needed to encourage residents to recycle more plastic, but strategically the focus should be on banning certain types of plastics.
15. It was also noted that some other authorities ask their residents to put their refuse in one collection bin but this causes problems because it causes materials to become contaminated, it costs to separate the recyclable materials and ultimately it generates less revenue.
16. In early February 2019 the Sub-Committee met a representative of One Planet York to understand how OPY can help communicate to partners measures to reduce the use of single-use plastics.
17. One Planet York is a network of 65 organisations in the city which have pledged, among other things, to support an overarching framework of reducing waste, reusing where possible and ultimately sending zero waste to landfill. It was established as a light influencing body to communicate, inspire and encourage positive practices for a more sustainable and resilient city.
18. OPY organisations have already taken steps to eliminate disposal cups. University of York, for example, has introduced a reusable Yorcup scheme as an alternative to disposable cups. It has also replaced single-use plastic straws with paper straws, replaced black plastic coffee cup lids with white lids which can be recycled and encouraged students wanting takeaways from the dining hall to bring their own reusable food container to reduce the use of polystyrene boxes.
19. One Planet York is able to showcase what York organisations are doing to help promote a behaviour change through a peer influencing approach.

20. To satisfy Objective (iv) of the remit, to liaise with York BID to understand what actions can be taken to reduce and better manage coffee cup disposal in York city centre, the Sub-Committee was pleased to note that the BID is currently looking at solutions regarding this issue. The findings from their investigations will be reported to the BID Board in due course and shared with CYC scrutiny once all the relevant information has been collated.
21. On 15 February the Sub-Committee met CYC's Facilities Manager and the Category Manager Procurement to discuss the use of single-use plastics in Council buildings.
22. Members were pleased to note that lamreusable cups are now on sale at Cafe West at West Offices and people who used these, and other reusable drinks containers, are given a 10p discount on hot drinks bought at the cafe. The cafe had already introduced biodegradable takeaway cups which are fully compostable, including the lids, and is looking to provide a separate recycling bin for biodegradable and compostable products.
23. A bigger issue with the cafe is plastic cutlery. FM has looked at wooden cutlery as an alternative but this is about three times more expensive to buy and many people did not like the texture. Metal cutlery is available for people eating in the cafe, but not for those people buying takeaway food. When the cafe first opened metal cutlery was available for all customers, but stock disappeared. FM is now looking at the possibility of reintroducing metal cutlery at all West Office hubs which could be washed and replaced after use. There would be an initial increased cost of providing metal cutlery but if items are replaced after use this would be a one-off expense and would lead to a better outcome.
24. The Sub-Committee noted that much of the takeaway food at Cafe West, such as salads and some sandwiches, is sold in clear plastic containers, but further noted that the cafe is run by the charity United Response and a switch to suitable non-plastic containers might create a financial burden which would be difficult to manage.
25. FM is also looking at a 'nudge' campaign to raise awareness of the damage caused by single-use plastics with visuals around the building highlighting the impact single-use plastics are having on the environment.
26. The Sub-Committee learned that CYC procurement works within the Council's Social Values Policy which aims to increase sustainability. The

policy provides the Council with significant leverage to incentivise suppliers to be more sustainable in their practices and to encourage the organisations the Council buys from to be more environmentally aware.

27. If the Council was looking to buy something that is made of plastic and there were alternatives that fell within the Social Values Policy then procurement would stop and think about these alternatives. This could apply, for example, in catering contracts for schools and old people's homes. Some of this work is already being done with Council suppliers and through its wider supply chain.
28. In early 2018 the government ran a call for evidence, *Tackling the Plastic Problem*¹, on how the tax system or charges could be used to reduce single-use plastic waste. This received 162,000 responses, demonstrating the strong public interest in tackling this issue.
29. This led to a Budget announcement published in October 2018² that the government will introduce a new tax on produced or imported plastic packaging. Subject to consultation, this will apply to all plastic packaging that doesn't include at least 30% recycled content.
30. Alongside already planned reforms to the Packaging Producer Responsibility System, this will encourage businesses to ensure that far more packaging can be recycled and to use more recycled plastic in their packaging. The government will consult on both reforms shortly.
31. Future revenues from the packaging tax and Packaging Producer Responsibility reforms will enable investment to address single-use plastics, waste and litter.
32. The Budget also announced £20 million to tackle plastics and boost recycling: £10 million more for plastics research and development and £10 million to pioneer innovative approaches to boosting recycling and reducing litter, such as smart bins.

Best Practice

Brighton and Hove City Council Single-Use Plastics Policy

33. To support Brighton and Hove becoming a single-use plastics free city, the council commits to:

¹ <https://www.gov.uk/government/consultations/tackling-the-plastic-problem>

² <https://www.gov.uk/government/publications/single-use-plastics-budget-2018-brief>

- Work with staff to ensure that single-use plastics are eliminated across our offices
 - Support our schools and communities in their efforts to make their buildings plastic-free zones
 - Through The Living Coast Biosphere programme, communicate the importance of protecting our urban, rural and marine environments, and support and promote positive initiatives, city campaigns and actions for reducing plastic waste
 - Work with our event organisers to eliminate single-use plastics across all city events held on council land and share guidance for this more widely
 - Support communities and litter-pick initiatives to ensure our parks, beaches and open spaces are free from plastic litter
 - Use government legislation that regulates against the use of single-use plastics to support our efforts where we can
 - Require all our suppliers to minimise the use of single-use plastics in their service provision and find sustainable alternatives (where appropriate)
 - Where the use of plastics is unavoidable, the council will encourage the use of recycled plastics, where practicable, and support manufacturers that make products from locally sourced waste plastics
 - Work with partners in joint ventures and innovative projects for reducing single-use plastic waste
 - Share best practice and information about plastic free initiatives, to residents, businesses, visitors and beyond through the council's social media and communication channels
34. Brighton and Hove City Council will work to embed these commitments into the sustainable events guidance, sustainable procurement policy, and into other key council strategies, policies and plans.

Plymouth

35. In June 2018 it was announced that Plymouth was the first UK city to be accredited by the global charity Surfers Against Sewage with Plastic Free Communities status for its waterfront district.
36. More than 70 business pioneers and 50 community ambassadors in Plymouth including local businesses, schools and community groups,

supported the city's bid by pledging to reduce the amount of single use plastics they consume.

37. Plymouth City Council has reacted to the recent European Parliament vote to ban single-use plastics by 2021 by saying that the city will not be waiting that long to make further efforts to stop polluting the oceans with items such as tea stirrers, straws, plastic bags and water bottles.
38. The Council is working with partners on the Plymouth, Britain's Ocean City Plastics Taskforce to implement a ban in the city by 2020, starting with a voluntary code of conduct.
39. In addition, all the Council's buildings will go single-use plastic free by September 2019 and all events on Plymouth City Council land will be required to complete an Environmental Assessment to show how single-use plastic will be eliminated, replaced by alternatives, or at the very least, reduced to an absolute minimum.

Surrey County Council Single-Use Plastics (SUP) Policy

40. SCC is strongly committed to take responsibility for tackling the plastic waste problem both within its local area and across the UK. With this in mind, SCC has urged the Government to bring forward the 2014 date in their target of "achieving zero avoidable plastic waste".
41. SCC is initially focusing on eliminating the use of plastic drinks bottles, plastic food takeaway boxes, plastic cutlery, disposable coffee cups, plastic drinks bottle caps, straws, stirrers and plastic lids. Its commitment for supporting Surrey to become SUP free includes:
 - End the sale and provision of SUP products in order to phase out SUP use across SCC estate and operations wherever possible.
 - Ensure the procurement policy and procedures require all suppliers to reduce and work towards zero avoidable SUP use (wherever possible) including jointly with partners through ORBIS and at SCC run events.
 - Support greater awareness and action from our suppliers and contractors in finding sustainable SUP replacements wherever appropriate and encourage higher recycling rates across SCC estates.
 - Share best practice, raise awareness, and support SCC staff, partners, communities, schools, district and borough councils, businesses and beyond towards making their own locations avoidable plastic-free zones.

- Work with all stakeholders including district and boroughs, schools, communities and businesses to promote, support and innovate to reduce SUP across Surrey.

Bristol City Council

42. Bristol City Council proposed itself “single-use plastic free” in 2016 and set out to develop a strategy to encourage and enable the city’s institutions, businesses and citizens to adopt similar measures. Specifically the Council would:

- End all sales of SUP bottles in council buildings and phase out their use at all events hosted in Council-owned buildings, both public and private.
- End the use of other SUP products in council buildings starting with (but not limited to) ‘disposable’ cups, cutlery and drinking straws.
- Ensure reusable and affordable food containers are available for sale in public markets – to be piloted at St Nicholas market in the city centre.
- Work with the Festivals Team to create policy in which single-use ‘disposable’ plastic cups are replaced at all city festivals with reusable or deposit-scheme cups. This will ultimately be a condition for obtaining a licence for large scale events.
- Work with tenants in commercial properties owned by the Council to phase out SUP glasses, bottles, cutlery and straws and help them to engage with Bristol’s existing ‘Go Green’ scheme.
- Work with bars and cafes, starting with those situated on the harbour-side, to phase out single-use ‘disposable’ cups and to encourage the use of reusable and deposit scheme ones.
- Encourage, enable and aid all employees and councillors to engage with the Plastic Free July challenge.
- Work with existing local groups and experts to implement these changes.”

Oxford City Council

43. Earlier this year Oxford City Council committed to working to bring an end to the use of unnecessary single-use plastics in the city. In April 2018 the Council resolved to request the Executive Director for Sustainable City brings a report to City Executive Board on the options for bringing an end to the use of unnecessary Single Use Plastics (SUP) in Oxford, to:

- enable Oxford City Council to become a full signatory of the 'Plastic Free Pledge', by phasing out the use of unnecessary SUPs in all City Council buildings, and working with commissioning partners to end the purchase and procurement of SUPs through the Council's supply chain;
- encourage the city's businesses, organisations and residents to go 'plastic free,' working with best practice partners in the city to explore the creation of a 'plastic free network,' that could provide business support, practical guidelines and advice to help local businesses transition from SUPs to sustainable alternatives;
- provide feasible options to incentivise traders on Council land to sell re-usable containers and invite customers to bring their own, with the aim of phasing out SUPs; including investigating the possibility of requiring food and drink vendors to avoid SUPs as a condition of their event permission, strengthening the existing conditions and guidance circulated to exhibitors and traders.

Birmingham City Council

44. In September 2018 Birmingham City Council called for action at city level to make a significant contribution to reducing disposal of plastics and cleaning up the environment. The Council resolved to call on the Executive to ask the Transport and Sustainability Overview and Scrutiny Committee to explore the opportunities and the options available to the City so it can become a Plastic Free City. The Scrutiny Committee will report back by the end of the 2018/19 Municipal Year a range of options, including cost neutral options, which the Executive can implement as soon as possible from the start of the 2019/20 Municipal Year. These options to include:

- Encouraging the city's institutions, businesses and citizens to adopt measures to minimise the use of single-use plastic products.
- Immediately starting the process of reducing the sale and provision of single-use plastic products such as bottles, cups, cutlery and drinking straws in Council buildings where it is reasonable to do so.
- Encouraging market traders to sell re-usable containers and inviting customers to bring their own, with the aim of phasing out single-use plastic containers and cutlery on market stalls.
- Working with the Council events team and creating a policy in which single-use "disposable" plastic cups are replaced at all large

city festivals with re-usable or deposit scheme cups and which the release of balloons on City Council property is not permitted, investigating the possibility of ultimately making these a condition for obtaining a licence for large scale events held in the city.

- Promoting refill schemes with retail businesses and Business Improvement Districts.
- Investigating the possibility of installing free water fountains in City Council reception areas and elsewhere in our buildings.
- Further investigating having locally branded water containers for sale.
- Encouraging the city's businesses, organisations and residents to go 'plastic free,' working with best practice partners in the city to explore the creation of a 'plastic free network,' that could provide business support, practical guidelines and advice to help local businesses transition from SUPs to sustainable alternatives;
- Working with tenants in commercial properties owned by Birmingham City Council to encourage the phasing out of disposable plastic cups, bottles, cutlery and straws.
- Ensuring that sustainability is a key feature of the 2022 Commonwealth Games and commit to working with the LOC and Games partners to minimise the use of single use plastic items.
- Ensuring that all Local Authority Maintained Schools are part of a new City Council initiative to help them become plastic-free working with partners such as City Serve and Veolia.
- Encouraging, enabling and aiding all City Council employees, Councillors, businesses, community groups, and citizens to engage with an annual Plastic Free Challenge Month to be launched in April 2019.
- Writing to all major supermarkets trading in the city encouraging them to introduce plastic free aisles.

45. Working with Procurement services to encourage all businesses with which the Council has contracts to support the banning of single-use plastics in their place of work and consider the possibility of phasing out of single-use plastics in the awarding of new contracts where this is relevant and proportionate.

Analysis

46. The use of plastics and its impact on the environment has been a topic nationally and internationally for many years. In 2015 the Government introduced a law requiring large shops to introduce a 5p charge for

single-use plastic bags. Following the scheme's introduction the sales of plastic bags reduced by 83 per cent, demonstrating that intervention can have an impact on behaviours.

47. Programmes such as Blue Planet II and images in the media have increased the focus and there is scientific evidence of the growing impact on oceans and seas, and other eco-systems, of the build up and permanence of plastics.
48. Plastic waste often does not decompose and can last centuries in landfill, or else ends up littering the streets or polluting the natural environment.
49. Each year we use 2.26 million tonnes of plastic packaging in the UK, with only 842 tonnes being recycled. The vast majority of this packaging is made from new plastic, rather than recycled material. This is because recycled plastic is often more expensive than new plastic, despite its lower environmental impacts.
50. At the moment in York plastic bottles are the only plastic material officially accepted in our kerbside recycling collection. They are made of high grade plastic material PET1 (Polyethylene Terephthalate) and HDPE2 (High Density Polyethylene) which have consistently strong recycling markets in which to sell the material.
51. Mixed plastic, however, can be poorer quality and dirty. These factors, coupled with the instability of the recycling markets, has meant that it has previously not been possible to consider introducing mixed plastics to the existing kerbside recycling collection. However, some mixed plastic is already put into the recycling boxes by residents and Yorwaste collects it.
52. Black plastic doesn't reflect light, so can not be seen and sorted by the scanners in the recycling facility and could end up contaminating other materials such as glass bottles.

Consultation

53. In gathering the information in this final report the Sub-Committee has consulted with CYC Waste Management and Yorwaste, CYC Facilities Management and Procurement, One Planet York and York Business Improvement District. It has also taken into account best practices adopted by other local authorities and considered Government measures to reduce the use of single-use plastics.

Conclusions

54. The environmental impact of plastics and in particular single-use plastic is a national and international issue and the benefits for the local environment from efforts to reduce it should be supported. The drivers for reducing single-use plastics are environmental, economic and health.
55. City of York Council can do little in isolation, but by demonstrating a determination to work towards eliminating the use of single-use plastics in its own building and on Council-owned land it can set an example to businesses, organisations and residents and encourage them to do likewise.
56. Then, as a participant in the One Planet York initiative, the Council can communicate the importance of protecting our urban, rural and riverside environments and support and promote initiatives and actions for reducing plastic waste.

Review Recommendations

57. After considering the information provided in this final report, CSMC is asked to recommend that:
 - i. CYC Facilities Management:
 - a) continue to work with United Response to explore options to replace disposable plastic food containers (such as those used for sandwiches and salads) with more environmentally friendly alternatives
 - b) undertakes a trial whereby metal cutlery is made available in West Office hubs and the cafe as an alternative to disposable plastic cutlery
 - c) works with Communications colleagues to prepare and distribute publicity materials encouraging CYC staff to reduce their use of single-use plastics
 - d) considers options for expanding the range of recyclable materials collected at West Offices, for example through dedicated bins for biodegradable / compostable coffee cups and crisp packets

- ii. CYC Procurement, through the implementation of the Council's Social Values Policy, strives to minimise the procurement of single-use plastics
- iii. The Council:
 - a) Works with partners such as Make It York to explore options for reducing the use of single-use plastic cups and food trays at events held on Council land
 - b) Continues to liaise with York BID to explore opportunities to reduce the use of disposable coffee cups in the city centre and provide better disposal facilities, noting that the BID are currently looking at options on these issues
 - c) Through its role as a participant in the One Planet York initiative:
 - Learns from and shares information and best practice on reduction of single-use plastics with partners in the city such as educational establishments and businesses;
 - Makes use of available communication channels to share information with residents on ways in which they can reduce single-use plastics and make full use of recycling opportunities.
- iv. CYC Waste Services to continue to work with Yorwaste and St Nicks to explore options for increasing the number and types of single-use plastics that can be collected for which there are practicable recycling opportunities.

Council Plan

58. This report is linked to A Prosperous City for All priority in the Council Plan which highlights that environmental stability underpins everything we do, seeks to increase the percentage of waste recycled and works towards plans for One Planet living.

Implications

59. **Financial:** The cost of providing metal cutlery in West Office hubs and the cafe would have financial implications on FM as there would be a

one-off outlay to buy this cutlery. However, if staff are responsible in returning their cutlery after use it could result in a long-term saving as FM would no longer need to regularly buy plastic cutlery. FM is currently awaiting estimates for the cost of bulk buying metal cutlery.

- **Human Resources (HR)** There are no HR implications associated with the recommendations in this report.
- **Equalities** There are no 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

60. There are no risks associated with the recommendations in this report. However, the risk of doing nothing could lead to further damage to the urban, rural and marine environments, not just locally but nationally and internationally.

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Report Approved Date 22/02/2017

Wards Affected:

All

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Abbreviations

AWRP – Allerton Waste Recovery Park

BID – Business Improvement District

CSMC – Customer and Corporate Services Scrutiny Management Committee

CYC – City of York Council

E&P – Economy and Place

FM – Facilities management

HDPE2 – High Density Polyethylene

OPY – One Planet York

PET1 – Polyethylene Terephthalate)

SCC – Surrey County Council

SUP – Single-Use Plastics



Executive**18 March 2019**

Report of the Customer and Corporate Services Scrutiny Management Committee

Scrutiny Operations and Functions Review Final Report – Cover Report**Summary**

1. This cover report presents the final report from the Scrutiny Operations and Functions Review and asks the Executive to approve the recommendations arising from the review.
2. The final report is subject to approval of the Customer and Corporate Services Scrutiny Management Committee (CSMC) at its meeting on 11 March and this paper has been published prior to that meeting in view of the statutory timescales for publication of reports. CSMC's decision and any changes to the report or the review recommendations arising from that meeting will be circulated to Executive.

Recommendation

3. Having considered the Scrutiny Operations and Functions Review Final Report at Appendix 1 the Executive is asked to approve the recommendations as shown in paragraph 8, below.

Reason: To conclude this scrutiny review in line with CYC scrutiny procedures and protocols.

Background

4. In June 2018 CSMC considered an update report on the implementation of changes to the Council's scrutiny function resulting from the review of 'Future Ways of Working in Scrutiny' completed in March 2017.
5. Specifically the Committee considered the operation of a trial in relation to establishing two Economy and Place Committees, the alignment of Scrutiny Committees to Directorates and concerns raised regarding the

increased workload faced by the Health, Housing and Adult Social Care Policy and Scrutiny Committee now that the housing and community safety elements of the Directorate has been included in the remit of the former Health and Adult Social Care policy and Scrutiny Committee.

6. CSMC agreed to review how the scrutiny function moves forward for the next administration and to appoint a Task Group comprising Councillors Williams, Galvin, Reid and D'Agorne to carry out this work on the Committee's behalf. The Task Group met for the first time in August 2018 and agreed the remit below, which was approved by CSMC in September 2018.

Aim:

To propose operational arrangements and a structure for scrutiny to improve engagement and outcomes, ensuring that the function is as effective as possible.

Objectives:

Structure

- To address the balance of committee workloads
- To evaluate the current functions of Scrutiny Committees, including pre and post decision call-in, overview and the performance management role

Engagement

- To assess the current level of officer and member engagement and explore ways to improve it
- To explore ways to establish robust and measurable work planning

Training

- To assess the need for member training and on-going development on scrutiny topics

Consultation

7. Over a series of meetings the Task Group met with the Chairs and Vice-Chairs of the Council's scrutiny committees and members of the Corporate Management Team. In addition the Task Group took into

account the Local Government Committee's recommendations to Central Government on the Effectiveness of Local Government Overview and Scrutiny Committees and the Local Government Association's 'Scrutiny for Councillors' Workbook 2015.

Review Recommendations

8. The information gathered from the Task Group's consultations and considerations led to the following review recommendations:

Structure:

- i. That the Health, Housing and Adult Social Care Policy and Scrutiny Committee be split into:
- Health and Adult Social Care Policy and Scrutiny Committee;
 - Housing and Safer Neighbourhoods Policy and Scrutiny Committee.

Reason: The Committee's extended remit is too large to allow effective scrutiny.

- ii. That the Economy and Place Policy Development and Scrutiny Committees are rejoined.

Reason: To end the uncertainty around the roles of each committee and to provide Economy and Place with a comprehensive scrutiny function

Engagement

- iii. In support of the work undertaken by scrutiny, that the Executive continue to formally respond to all Scrutiny Reviews, implementing recommendations it considers appropriate and reporting back to Scrutiny on any it considers inappropriate, explaining its reasons.

Reason: To demonstrate that the work of scrutiny is valued and to keep it informed of the implementation of review recommendations

- iv. That the relevant Chief Officers attend appropriate Scrutiny Committee meetings as a matter of course.

Reason: To fully engage with scrutiny members and to present and assist with detailed reports.

- v. That the Chief Executive and other Chief Officers actively promote involving scrutiny in the development of policy to their teams and encourage that issue be brought early to scrutiny for discussion.

Reason: To give scrutiny a greater opportunity to add value and bring greater transparency to policy development.

- vi. That Executive Members are encouraged to attend relevant scrutiny committee meetings on a regular basis.

Reason: To give scrutiny a greater opportunity to add value and bring greater transparency to policy development.

- vii. That public engagement with scrutiny is reviewed to better promote its aims and outcomes.

Reason: To improve public awareness of and engagement with the role of scrutiny

Work Planning

- viii. That the Executive's Forward Plan be used to guide scrutiny as a matter of course and help inform its own work planning.

Reason: So scrutiny is involved in early consultation and discussion on issues due for decision

- ix. That Directorate priorities are shared with the Chairs and Vice-Chairs of the relevant scrutiny committees and that regular meetings take place between these members and the relevant Chief Officers in order to help inform the business of their Committees.

Reason: To help Scrutiny plan its programme of work.

- x. That scrutiny committee meetings are held monthly.

Reason: To respond to the increased workloads experienced by some scrutiny committees and to allow for more pro-active and extensive scrutiny.

- xi. That scrutiny committees be aware of relevant opportunities to scrutinise the activities of external bodies providing public services affecting the city and its residents (Health Overview & Scrutiny Committee already actively performing this role given its statutory obligations).

Reason: To enable scrutiny to maintain a watching brief on organisations providing services that affect members of the public.

Calling-in process

- xii. That the Pre-Decision Call-In process be removed from the Constitution.

Reason: To encourage a more timely and pro-active approach to pre-decision scrutiny.

Support and Development for Members

- xiii. That current scrutiny resource is reviewed with consideration being given to additional support for scrutiny to enhance support for Members and help improve the organisational quality of Scrutiny and its outcomes

Reason: To further improve engagement with and the delivery of the scrutiny function in York.

- xiv. That Scrutiny Members receive factual briefings on areas of chosen interest or review in relation to their Committees, to ensure they are better and adequately equipped to undertake allocated work.

Reason: To improve the quality of scrutiny.

CSMC

- xv. That the Customer and Corporate Services Scrutiny Management Committee review the work and functionality of Scrutiny on an annual basis.

Reason: To ensure the scrutiny function improves and develops.

Options

9. Having considered the final report at Appendix 1 the Executive can chose to approve and/or amend, or reject the recommendations arising from the review as set out in paragraph 8, above.

Council Plan

10. As Scrutiny has an overarching function within CYC activities the recommendations in this report will at some stage be linked to all the priorities in the Council Plan.

Implications and Risk Management

11. The risks and implications associated with the review recommendations above are included in the review final report at Appendix 1.

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Report Approved Date 28/02/2019

Wards Affected:

All

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Annexes

Annex 1 – Scrutiny Operations and Function Final Report



Customer & Corporate Services Scrutiny Management Committee

11 March 2019

Report of the CSMC Scrutiny Review Task Group

Scrutiny Operations and Functions Review –Final Report

Summary

1. This report presents the Customer and Corporate Services Scrutiny Management Committee (CSMC) with all the information gathered by the Task Group assigned to review scrutiny operations and functions at City of York Council, along with its conclusions and recommendations.

Background

2. In June 2018 CSMC considered an update report on the implementation of changes to the Council's scrutiny function resulting from the review of 'Future Ways of Working in Scrutiny' completed in March 2017.
3. Specifically the Committee considered the operation of a trial in relation to Economy and Place Scrutiny and the alignment of Scrutiny Committees to Directorates. The Committee were told that the changes had allowed members of the Economy and Place Policy Development Committee to look at long-term policy development and give early input to Executive on emerging issues. By comparison, the E&P Scrutiny Committee had struggled to find appropriate topics to review so the focus had been more on overview.
4. During the debate it was noted that the previous year had not been a particularly productive one for any of the Scrutiny Committees and it was felt that member engagement was an issue, as was support from Officers and that there might be some merit in reviewing the organisation's cultural approach towards scrutiny in an effort to help it become more effective.
5. Concern was also raised at that time regarding the increased workload faced by the Health, Housing and Adult Social Care Policy and Scrutiny Committee now that the housing and community safety elements of the

Directorate has been included in the remit of the former Health and Adult Social Care policy and Scrutiny Committee.

6. Whilst CSMC agreed to extend the pilot arrangements with the two Economy and Place Committees for a further year, Members also agreed to review how the scrutiny function moves forward for the next administration and to appoint a Task Group comprising Councillors Williams, Galvin, Reid and D'Agorne to carry out this work on the Committee's behalf.
7. In August 2018 the Task Group met for the first time and proposed a remit for the review, along with the aims and objectives below. The remit was agreed, as set out below, by a full meeting of this Committee in September 2018.

Remit

8. **Aim:** To propose operational arrangements and a structure for scrutiny to improve engagement and outcomes, ensuring that the function is as effective as possible.
9. **Objectives:**

Structure

- To address the balance of committee workloads
- To evaluate the current functions of Scrutiny Committees, including pre and post decision call-in, overview and the performance management role

Engagement

- To assess the current level of officer and member engagement and explore ways to improve it
- To explore ways to establish robust and measurable work planning

Training

- To assess the need for member training and on-going development on scrutiny topics
10. Over a series of meetings, the Task Group sought to identify and resolve a number of challenges to allow the next administration to begin their

tenure with a solid foundation for Scrutiny work in York.

Information Gathered

Scoping Meeting

11. The Task Group agreed that it would be essential to investigate the views of Members in key Scrutiny positions (Chairs / Vice-Chairs) in order to ascertain their views on the current effectiveness of Scrutiny.
12. It was highlighted in this meeting that a number of similar reviews had previously been carried out and that this review would not be focussed solely on the structure of scrutiny committees as it was felt that engagement with the function was of equal, if not greater, importance at the current time.
13. Members also discussed the importance of discussing the operation of the Scrutiny function with the Corporate Management Team in order to address concerns regarding the engagement and support of senior officers.

Meeting with Scrutiny Chairs and Vice-Chairs

14. On 10 December 2018 the Chairs and Vice-Chairs of all the Scrutiny were invited to a meeting with the Task Group to share their view on how scrutiny was working in York.
15. During the discussions it was noted that there was a belief that Councillors are not always assigned to the Committees and Task Groups in which they have the most interest / expertise and that this resulted in a lack of engagement and focus in Scrutiny. It was also noted that Scrutiny Members were often left feeling disheartened as they did not always see the fruit of their labours. The Task Group felt this could be improved with better communication and feedback about the progress of implementation of scrutiny recommendations.
16. The meeting considered that Scrutiny Committees were presented with too many reports which were simply 'to note' by Members. It was felt that the purpose and effectiveness of scrutiny was not being fulfilled in this respect.
17. One of the key issues discussed at the meeting was that of timing. Members suggested that reports to Scrutiny often came too late for the various committees to have meaningful input into subsequent decisions. If Scrutiny is to be effective in making a cross-party contribution, prior to

formal decision making, then these reports need to be made available at a much earlier stage in the process. There were discussions regarding how this could be resolved in terms of improved committee work planning and review of the forward plan process.

18. The meeting discussed the culture of the organisation with regard to the role of scrutiny. Whilst it was acknowledged that some scrutiny members do not always value scrutiny as it could be, it was also felt that at times further efforts could be made to engage scrutiny early by officers and future controlling administrations, of whatever political makeup to enable it to add real value to the work of the Council and the quality of life for York residents.
19. The meeting also discussed the effectiveness of the new working arrangements for the Economy and Place Scrutiny and Policy Committees. It was noted that whilst the acknowledgement of the different roles of Scrutiny was important, the distinction between the committees was not always clear.
20. It endorsed the view that the remit of the Health, Housing and Adult Social Care Policy and Scrutiny Committee was too big and that forming two committees covering this work area might be helpful. In suggesting that, however, Members were mindful of avoiding too much potential constitutional or structure change by endeavouring to adhere to the current principle of matching scrutiny committees to directorates.

Corporate Management Team

21. On 18 December 2018 the Task Group then met members of the Corporate Management Team to discuss issues around scrutiny from an Officer perspective.
22. It was noted that whilst there was good Officer / Member engagement with the Health, Housing and Adult Social Care Policy and Scrutiny Committee, the Committee found it difficult to get to grips with its new responsibilities, particularly around community safety. There was sympathy for members given the wide range of complex topics presented to the committee. As a consequence, issues were not being examined in detail or to the extent that the committee would have liked.
23. It was also felt that the Committee's extended remit led to Members moving between the work of varied sections of the directorate too often.

24. CMT spoke of the on-going governance review being undertaken, and suggested that any recommendations from this review, take into account the wider context.

Further to that review, CMT suggested that Members could consider allocating further resources to Scrutiny which might help address the operational effectiveness of and engagement with scrutiny and could include support for training.

25. A feeling was expressed that Scrutiny Members sometimes asked for generic information from specialist officers leading to time consuming discussions around data. It was suggested that factual briefings for the committee from a member of the Scrutiny team could help fill any gaps in Member knowledge prior to formal meetings.
26. The Corporate Management Team also expressed their view that there needed to be further member development on the role of Scrutiny and this was a potential area in which further resources could be allocated to the Scrutiny function, as suggested in paragraph 24 above..
27. The culture of the authority was again discussed and it was expressed that members and officers could focus more on early engagement with scrutiny on matters where value could be added.
28. Finally Officers discussed the art of work planning for Scrutiny committees and highlighted opportunities to explore ways in which the planning of Committee workloads could challenge the topics most important to York's communities and CYC as an authority.

Local Government Association - 'Scrutiny for Councillors'

29. The following excerpts have been taken from the LGA's 'Scrutiny for Councillors' Workbook from 2015. Many of these points are reinforced by the Centre for Public Scrutiny's own response to the CLG's Committee Review, and identify recommendations on good scrutiny practice.

What is Scrutiny?

- The principal power of a Scrutiny Committee is to influence the policies and decisions made by the Council and other organisations delivering public services.

- Scrutiny committees identify where decisions and policies could be improved and recommend ways in which mistakes, and the recurrence of mistakes, could be prevented.
- Scrutiny is designed to influence positive change, rather than apportioning blame or focussing on the negatives. Scrutiny should be seen as a policy improvement tool, rather than a forum for criticism. It is a challenge, not the outright condemnation of policy.

How should Scrutiny operate?

- Scrutiny should gather evidence on issues affecting local people and make recommendations based on its findings.
- Scrutiny works best when it is seen as a 'critical friend'.
- Scrutiny is only effective when there is a positive attitude to Scrutiny from the Executive, Council officers and Scrutiny Members
- Good scrutiny involves:
 - Tackling issues of relevance to local people
 - Adding value
 - Talking to a wide range of stakeholders
 - Challenging previously accepted ways of working

Analysis

Structure

30. Further to its work and consultation, the Task Group found that the Health, Housing and Adult Social Care Scrutiny Committee had too large a remit and that the current structure of Economy and Place Scrutiny and Policy Committees had not resulted in improved working arrangements for scrutiny.

Engagement

31. It is important for senior officers, the Executive and members of scrutiny committees to better understand and embrace the purpose of Scrutiny and how this can positively contribute to decision making and improved outcomes for Scrutiny. Whilst the Task Group also felt that it was important for Members to be assigned to Scrutiny areas in which their

interest lies, it recognised there were difficulties in doing this consistently, given the current number of Committees and proportionality arrangements.

32. A Scrutiny Committee raising an issue should not be seen as a threat, but instead an opportunity for cross party discussion and early consultation, ensuring that Scrutiny contributes to balanced Executive decision making.
33. There is also an opportunity to increase engagement with the community and as a result help focus scrutiny on topical issues most important to the public, as well as take into account their views on relevant issues, through drop-ins and other methods.
34. In order for scrutiny to be truly embedded within any local authority, the Task Group felt, as the LGA guidance identifies, that proper working relationships, with the Executive continuing to embrace the value of scrutiny, are essential. Culturally, scrutiny should be regarded as a forum where the Executive and Officers can refer issues for consideration which are of significant public interest or worthy of cross party engagement. This would enable effective pre-decision Scrutiny, at an earlier stage, helping to inform Executive decision making.

Work planning

35. Views received indicate that closer affiliation with the Executive, corporate and Directorate priorities is important in ensuring that each committee can effectively spend its time scrutinising work appropriate to the Council's future direction, as well as reviewing performance.

The 'Calling in' processes

36. Whilst acknowledging that the existing pre-decision 'call in' process was a genuine organisational commitment to providing an additional opportunity and route for Scrutiny Members to get involved in future decision making at an early stage, practical experience had given rise to a strong feeling that it was neither beneficial nor effective. The working arrangements and associated timescales of pre-decision 'call in' linked to the Forward Plan as it currently is, often resulted in its purpose not being fulfilled. Removing this mechanism ought to encourage both Scrutiny Members and Officers to engage with more genuine pre-decision scrutiny, freed from the restrictive timescales of the Forward Plan. This is where greater scrutiny familiarity with directorate and corporate priorities would be helpful.

The Task Group believe that the current working arrangements for post-decision 'call in' via CSMC should continue as presently operated.

Support and Development for Scrutiny Members

37. The importance of enhancing support for Members in relation to Scrutiny was raised by both Members and Officers, having particular regard to the complexity and wide-ranging issues discussed by each committee. The Task Group feel that further support could help improve both Member and officer engagement, ultimately improving the quality of the discussion and the outcomes achieved.

Conclusions

38. As stated at the beginning of this review, altering the committee structure was not a key objective. However, the need to review the Health, Housing and Adult Social Care Scrutiny and Policy Committee came from significant feedback from Members and Officers, who agreed this committee currently has too wide a remit to function effectively. It was felt that health issues were being marginalised and the burgeoning housing agenda was being afforded little capacity.
39. Based on the consultation the Task Group had undertaken, there was a feeling that the scrutiny function was not necessarily perceived to be a useful experience for either Members or Officers involved. A shift in the Council's cultural approach would be necessary in order for Scrutiny to become a valued resource in delivering effective and efficient services for its residents as well as providing considered and measured future policy and strategic direction.
40. In coming to this conclusion, the Task Group acknowledged the proper and constitutional role of the democratically elected ruling Administration in making key decisions and delivering its manifesto. Further to that, however, the Task Group also recognised the LGA and CfPS key principles relating to effective scrutiny and that Members working in cross party scrutiny could provide support in policy development and checks and balances to an Executive.
41. In achieving greater engagement with scrutiny, the Task Group recognised that the way in which Scrutiny currently plans its workload is flawed. In order to work effectively, Scrutiny ought to have early information on planned decisions and work so that it can review issues as it feels necessary. Pre-decision 'calling in' was added to the working arrangements of Scrutiny to help positively influence this, but due to the

limited time involved in an item appearing on the forward plan, prior to a decision being made, this process is ineffective. As referred to elsewhere in this report, scrutiny work plans ought to be considered alongside, and in conjunction with, the Executive Forward Plan and Directorate priorities. This will help to ensure scrutiny is valued as a resource and has the necessary information to review executive decision making and provide appropriate advice and support to decision makers.

42. The subsequent recommendations focus on practical ways to influence cultural and collective change.

Consultation

43. The Task Group has consulted with the Chairs and Vice-Chairs of the Council's Policy and Scrutiny Committees and members of the Corporate Management Team. In addition it has taken into account the Local Government Committee's recommendations to Central Government on the Effectiveness of Local Government Overview and Scrutiny Committees and the Local Government Association's 'Scrutiny for Councillors' Workbook 2015.

Review Recommendations

44. Structure:
- i. That the Health, Housing and Adult Social Care Policy and Scrutiny Committee be split into:
 - Health and Adult Social Care policy and Scrutiny Committee;
 - Housing and Safer Neighbourhoods Policy and Scrutiny Committee.

Reason: The Committee's extended remit is too large to allow effective scrutiny.

- ii. That the Economy and Place Policy Development and Scrutiny Committees are rejoined.

Reason: To end the uncertainty around the roles of each committee and to provide Economy and Place with a comprehensive scrutiny function

Engagement

- iii. In support of the work undertaken by scrutiny, that the Executive continue to formally respond to all Scrutiny Reviews, implementing recommendations it considers appropriate and reporting back to Scrutiny on any it considers inappropriate, explaining its reasons.

Reason: To demonstrate that the work of scrutiny is valued and to keep it informed of the implementation of review recommendations

- iv. That the relevant Chief Officers attend appropriate Scrutiny Committee meetings as a matter of course.

Reason: To fully engage with scrutiny members and to present and assist with detailed reports.

- v. That the Chief Executive and other Chief Officers actively promote involving scrutiny in the development of policy to their teams and encourage that issue be brought early to scrutiny for discussion.

Reason: To give scrutiny a greater opportunity to add value and bring greater transparency to policy development.

- vi. That Executive Members are encouraged to attend relevant scrutiny committee meetings on a regular basis.

Reason: To give scrutiny a greater opportunity to add value and bring greater transparency to policy development.

- vii. That public engagement with scrutiny is reviewed to better promote its aims and outcomes.

Reason: To improve public awareness of and engagement with the role of scrutiny

Work Planning

- viii. That the Executive's Forward Plan be used to guide scrutiny as a matter of course and help inform its own work planning.

Reason: So scrutiny is involved in early consultation and discussion on issues due for decision

- ix. That Directorate priorities are shared with the Chairs and Vice-Chairs of the relevant scrutiny committees and that regular meetings take place between these members and the relevant Chief Officers

in order to help inform the business of their Committees.

Reason: To help Scrutiny plan its programme of work.

- x. That scrutiny committee meetings are held monthly.

Reason: To respond to the increased workloads experienced by some scrutiny committees and to allow for more pro-active and extensive scrutiny.

- xi. That scrutiny committees be aware of relevant opportunities to scrutinise the activities of external bodies providing public services affecting the city and its residents (Health Overview & Scrutiny Committee already actively performing this role given its statutory obligations).

Reason: To enable scrutiny to maintain a watching brief on organisations providing services that affect members of the public.

Calling-in process

- xii. That the Pre-Decision Call-In process be removed from the Constitution.

Reason: To encourage a more timely and pro-active approach to pre-decision scrutiny.

Support and Development for Members

- xiii. That current scrutiny resource is reviewed with consideration being given to additional support for scrutiny to enhance support for Members and help improve the organisational quality of Scrutiny and its outcomes in the context of the wider governance review identified in the report

Reason: To further improve engagement with and the delivery of the scrutiny function in York.

- xiv. That Scrutiny Members receive factual briefings on areas of chosen interest or review in relation to their Committees, to ensure they are better and adequately equipped to undertake allocated work.

Reason: To improve the quality of scrutiny.

CSMC

- xv. That the Customer and Corporate Services Scrutiny Management Committee review the work and functionality of Scrutiny on an annual basis.

Reason: To ensure the scrutiny function improves and develops.

Council Plan

45. As Scrutiny has an overarching function within CYC activities the recommendations in this report will at some stage be linked to all the priorities in the Council Plan.

Implications

46. There are no direct implications associated with any of the recommendations, other than:
47. **Financial:** If, following future review, additional resources were to be provided within the Scrutiny Team, it would be necessary to identify the budgetary implications associated with any increase in staff resources.
48. **Human Resources:** In light of any future review of resources within the Scrutiny Team, clearly, the Council's appropriate HR procedural rules would need to be applied in relation to any increase in staffing complement and to any subsequent recruitment process
49. **Legal:** Whilst there are no direct legal implications arising from any of the recommendations, recommendations 44 (i), (ii) and (xii) would require constitutional change if endorsed and as such would require consideration and approval by Full Council, prior to any implementation.

Risk Management

50. There are no direct risks associated with the recommendations in this report. However, it should perhaps be noted that if none of the recommendations are implemented and none of the identified steps are taken to address the generic issues of engagement with and commitment to scrutiny, there is a danger that both Officers and Scrutiny Members will continue to feel that the Council's scrutiny function is not best placed to add value to the organisation or to get suitably involved in scrutinising the Council's decisions or contributing to its future direction of travel.

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Wards Affected:

All

For further information please contact the author of the report

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