

Notice of meeting of

Cabinet

To: Councillors Alexander (Chair), Crisp, Fraser, Gunnell, Looker, Merrett, Potter and Simpson-Laing (Vice-Chair)

Date: Tuesday, 6 September 2011

Time: 5.30 pm

Venue: Acomb Explore, Front Street, Acomb

AGENDA

Notice to Members - Calling In:

Members are reminded that, should they wish to call in any item on this agenda, notice must be given to Democracy Support Group by:

10:00 am on Monday 5 September 2011, if an item is called in *before* a decision is taken, *or*

4:00 pm on Thursday 8 September 2011, if an item is called in *after* a decision has been taken.

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

1. Declarations of Interest

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

2. Minutes

(Pages 3 - 20)

To approve and sign the minutes of the Cabinet meetings held on 19 July 2011 and 4 August 2011.

3. Public Participation

At this point in the meeting, members of the public who have registered their wish to speak regarding an item on the agenda or a matter within the Cabinet's remit can do so. The deadline for registering is **5:00 pm on Monday 5 September 2011**.

4. Forward Plan (Pages 21 - 26)

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

5. Minutes of Working Groups (Pages 27 - 48)

This report presents the minutes of recent meetings of the Young People's Working Group and the Equality Advisory Group and asks Members to consider the advice given by the Groups in their capacity as advisory bodies to the Cabinet.

6. Access York Phase 1 Best & Final Bid submission (Pages 49 - 72)

This report requests that Cabinet recommends for approval by the Staffing Matters and Urgency Committee the submission of the "Best and Final Bid" for the Access York Project to the Department for Transport on 9 September 2011.

7. Preliminary Flood Risk Assessment (Pages 73 - 108)

This report seeks approval for the Preliminary Flood Risk Assessment, carried out to comply with the Flood Risk Regulations (2009). This implements the requirements of the European Floods Directive, which aims to provide a consistent approach to managing flood risk across Europe.

8. Local Government Finance Update (Pages 109 - 130)

This report provides an update on a range of issues relating to Local Government Finance, including the Local Government Resource Review, consultation on Business Rates and a review of alternative forms of capital finance.

- 9. 2011-12 Finance Monitor 1** (Pages 131 - 138)
This report provides details of the headline financial performance issues for 2011-12, covering the period 1 April 2010 to 30 June 2011. It assesses performance against budgets and sets out progress on the Council's savings programme and the position of the Council's revenue reserves.
- 10. Capital Programme - Monitor One** (Pages 139 - 160)
This report informs Members of the likely outturn position of 2012/12 Capital Programme based on the spend profile and information to June 2011 and seeks approval for any changes to the programme, and slippage, arising from over or underspends.
- 11. Urgent Business**
Any other business which the Chair considers urgent under the Local Government Act 1972.

Democracy Officer:

Name: Fiona Young

Contact details:

- Telephone – (01904) 551027
- E-mail – fiona.young@york.gov.uk

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

Contact details are set out above.

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Scrutiny Committees

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

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

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City of York Council

Committee Minutes

MEETING

CABINET

DATE

19 JULY 2011

PRESENT

COUNCILLORS ALEXANDER (CHAIR), CRISP,
FRASER, GUNNELL, LOOKER, MERRETT,
POTTER AND SIMPSON-LAING (VICE-CHAIR)**PART A - MATTERS DEALT WITH UNDER DELEGATED POWERS****10. DECLARATIONS OF INTEREST**

Members were invited to declare at this point in the meeting any personal or prejudicial interests they might have in the business on the agenda. The following interests were declared:

Cllr Alexander – a personal interest in agenda item 7 (A Review of City of York Council's Elderly Persons Homes), as a member of the GMB union.

Cllr Crisp – a personal interest in agenda item 7, as retired member of Unison.

Cllr Fraser – a personal interest in agenda item 7, as a member of the retired section of Unison and the retired section of Unite (TGWU/ACTS sections).

Cllr Simpson-Laing:

- a personal interest in agenda item 7, as a member of Unison
- a personal interest in agenda item 10 (Strengthening the Capability and Capacity of York's Voluntary Sector), as someone who works for the voluntary sector
- a personal interest in agenda item 16 (Urgent Business, Water End Flood Alleviation Scheme), as a resident of the area concerned.

Cllr Potter – a personal interest in agenda item 10, as someone who works for the voluntary sector.

Cllr Merrett:

- a personal interest in agenda item 11, as someone who works in the rail industry (but not in an area relating to high speed rail)
- a prejudicial interest in agenda item 13 (Capital Programme Out-turn 2010/11 and Revisions to the 2011/12-2015/16 Programme), as a member of Clements Hall.

11. MINUTES

RESOLVED: That the minutes of the Cabinet meeting held on 21 June 2011 be approved and signed by the Chair as a correct record.

12. PUBLIC PARTICIPATION / OTHER SPEAKERS

It was reported that there had been four registrations to speak at the meeting under the Council's Public Participation Scheme, and one request to speak by a union representative.

Trevor Fenwick spoke about the proposal to sell Union Terrace Car Park, as a matter within the remit of Cabinet. He expressed the view that closure of the car and coach park would have a drastic effect upon footfall in the Gillygate area and furthermore would be contrary to the five key priorities outlined in the draft Council Plan at item 5 on the agenda.

Mike Fisher also spoke about Union Terrace Car Park as a matter within Cabinet's remit. He endorsed the comments of the previous speaker and stressed that Members should share information with interested parties and actively listen to their views before reaching a decision.

Jill Richards spoke in relation to agenda item 5 (Taking Forward the 2011/12 Budget Priorities). She linked this item to the proposed sale of Union Terrace Car Park, stating that the sale would be contrary to the budget priorities and would have a detrimental effect on businesses both in and beyond Gillygate.

Ceri Owen spoke in relation to agenda item 6 (Petition to Council on Support for Vulnerable People). She expressed appreciation the action taken so far in relation to the petition but highlighted a number of outstanding areas of concern and urged Members to ask local MPs to raise the matter in Parliament.

Mandy Golding, Unison General Convenor, spoke in relation to agenda item 7 (A Review of City of York Council's Elderly Persons Homes). She welcomed the plans for consultation but highlighted concerns about some aspects of the options outlined in the report. She stressed the need for flexibility in the criteria for the allocation of places in EPHs and the importance of maintaining a high quality of service.

13. FORWARD PLAN

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

14. TAKING FORWARD THE 2011/12 BUDGET PRIORITIES

Members considered a report which outlined how the Council intended to structure its work programme during 2011/12 to ensure that key priority actions were initiated. This report had been added to the Cabinet agenda under formal Urgency procedures, as it was not listed on the Forward Plan and involved a key decision. An urgent decision was required to enable

these priorities, including changes arising from the amendments made to the Council's budget on 30 June 2011, to be developed for incorporation into the Council Plan as soon as possible.

The five key priorities, detailed in paragraphs 4 to 10 of the report, were as follows:

- Create jobs and grow the economy
- Get York moving
- Build strong communities
- Protect vulnerable people
- Protect the environment.

Approval was sought to develop these priorities into a Council Plan and Delivery Plan in the format attached as Annex A to the report, for submission to the next Full Council meeting in October.

Members noted the comments made under Public Participation on this item and

RESOLVED: That approval be given to develop a Council Plan and Delivery Plan, for submission to Full Council.¹

REASON: To ensure that the Council delivers the priorities set out in the report.

Action Required

1. Develop draft Council Plan for submission to Council in October KE

15. PETITION TO COUNCIL ON SUPPORT FOR VULNERABLE PEOPLE

Members considered a report which asked them to decide whether any further action was required in respect of a petition to Council regarding the effects of funding cuts on services to vulnerable people.

The petition had been presented to Budget Council on 24 February 2011. In accordance with constitutional requirements for a petition with more than 1,000 signatures, it was referred for debate to the next Council meeting, on 7 April, together with the Officer briefing note attached at Annex 1 to the report. Council then referred the matter to Executive (Cabinet) to determine any appropriate action.

In the light of the amendments made to the budget at the last Council meeting, on 30 June, and the action already taken to communicate with MPs as set out in the petition, Members were asked to decide whether any further action was still required.

Members noted the comments made under Public Participation on this item and

RESOLVED: (i) That the Cabinet also write to MPs in the terms outlined in the petition.¹

(ii) That the petition and report be referred to the Fairness Commission for consideration.²

REASON: To ensure that the concerns raised in the petition with regard to support for vulnerable people are properly addressed.

Action Required

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|--|----|
| 1. Arrange for a letter from Cabinet to be sent to MPs | PD |
| 2. Refer report and petition to Fairness Commission | PD |

16. A REVIEW OF CITY OF YORK COUNCIL'S ELDERLY PERSONS HOMES (EPHS)

Members considered a report which suggested options for the future provision of care for older people in the City, following a review of the Council's residential care homes.

The review sought to progress the Joint Vision for the Health and Well Being of Older People in York approved in July 2010 (attached as Annex A), with more older people remaining in the community and having more independence, a greater choice of accommodation options and greater social engagement. The City's care homes would also need to cater for future needs, with larger rooms, greater flexibility and better facilities.

The following options had been considered:

- A – take no action and retain current operating model and provision
- B – extend and refurbish existing homes
- C – purchase all or an increased proportion of beds from the private sector
- D – fund the design and build of new care homes and continue to operate them with Council staff
- E – enter a partnership with a commercial developer to fund and build a new home.

Analysis indicated that, of these options, D and E would present the best opportunity to re-provide the City with fit for purpose, 'state of the art' residential care homes with a range of care solutions. In view of the potential effect of all the options (except A) on residents and staff, it was recommended that a full consultation now be carried out over a period of three months with all interested parties.

In response to matters raised by Members at the meeting, it was confirmed that a 'user friendly' consultation document was being prepared and that the issue of social isolation for those remaining in their own homes was being addressed in the work of the department.

Members noted the comments made by the Unison representative on this item and

RESOLVED: (i) That a full and meaningful consultation be carried out on the review and its options for the future re-provision of the Council's nine elderly persons' residential care homes.¹

(ii) That the consultation should last for a period of three months and involve residents, day care and respite care service users, as well as relatives, staff, trade unions, elected Members, health colleagues, older people's groups and any other interested parties (as set out in the consultation plan at Annex E).

(iii) That a further report to Members, outlining the result of the consultation and recommendations for action, be received in November 2011.²

REASON: To ensure that all interested parties are fully involved in the changes necessary to cater for the growing population of older people in the City for the foreseeable future.

Action Required

1. Begin consultation exercise in accordance with agreed plan	PD
Schedule report on Forward Plan for November Cabinet meeting	PD

17. HOMELESS REVIEW 2010/11

Members considered a report which outlined activity governed by the Housing Act 1996, the Homelessness Act 2002 and the Council's Homelessness Strategy 2008-13, during the financial year 2010/11. This included service developments and future targets in relation to prevention work, the trends of statutory homelessness and the work of the Resettlement Services and Youth Homeless Services.

Details of service activity and performance were set out in Annex 1 to the report. Key points included a reduction in the number of homeless preventions and an increase in the number of households in temporary accommodation, against a background of challenging targets and a difficult economic climate. However, a number of service improvements had been achieved, as set out in paragraph 6. Projects to be given priority during 2011/12, as identified in the Homeless Strategy Action Plan to be considered as the next item on the agenda, were listed in paragraph 7.

RESOLVED: (i) That the contents of the report be noted.

(ii) That the priorities for 2011/12, as set out in paragraph 7 of the report, together with the targets and the forthcoming plan, be agreed.¹

(iii) That an update on the effectiveness of the strategy be brought to Cabinet in due course.²

(iv) That Cabinet also receive a report detailing the cumulative effect on homelessness in York of the government's changes to the housing benefit system.³

REASON: To ensure that the Council continues to meet its statutory responsibilities and supports the most vulnerable in society.

Action Required

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|---|----|
| 1. Take action to implement the targets | SW |
| 2. Schedule update report on the Cabinet Forward Plan | SW |
| 3. Schedule report re effect of Housing Benefit changes on the Cabinet Forward Plan | SW |

18. APPROVAL OF THE HOMELESS STRATEGY (REVIEW) 2011 TO 2013

Members considered a report which informed them of the work undertaken as part of the mid-term review of the Council's homeless strategy and sought approval for the contents of the Homeless Strategy Action Plan for the period 2011 to 2013 and for a change of name for this document.

The Council had a statutory duty to publish a homeless strategy every five years. The mid-term review provided an update to the 2008/13 strategy, published in 2008. It had been overseen by a multi-agency Homeless Strategy Steering Group, who had approved the new draft action plan on 19 January 2011, following a series of consultation events with staff, stakeholder and user groups, before it was signed off by Housing Services Management Team on 16 March.

In recognition of the strategy's aspiration to eradicate the use of emergency accommodation and move towards prevention and planned housing options, the draft plan, attached as Annex 2 to the report, had been re-named 'The Housing Options and Homelessness Strategy Action Plan 2008-2013'.

RESOLVED: (i) That the contents of the Homeless Strategy Action Plan that will cover the period 2011 to 2013 be approved.¹

(ii) That approval be given to re-name the document 'Housing Options and Homeless Strategy Action Plan'.

REASON: In accordance with the legal requirement for the Council to have a Homeless Strategy and the undertaking given in the 2008-13 strategy action plan to update and re-publish it in 2011.

Action Required

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| 1. Take action to implement the Strategy | SW |
|--|----|

19. STRENGTHENING THE CAPABILITY AND CAPACITY OF YORK'S VOLUNTARY SECTOR

Members considered a report which asked them to approve a proposal for the use of the new £100k fund for the voluntary sector in York.

In June 2011, Council had approved the creation of a £100k 'pump priming' fund aimed at building the capacity of the voluntary sector to deliver against priorities identified in the Council Plan. It was proposed to allocate that funding against the following priorities:

- Creating a strong, successful City Volunteering Centre - £30k
- Voluntary Sector Bursary Scheme – New Business Models - £30k
- Voluntary Sector Projects – Neighbourhood Based Initiatives - £40k

The projected outputs and outcomes of the scheme, which these allocations were expected to support, were outlined in paragraphs 7 and 8 of the report. Members were invited to approve or amend the proposed allocations. The next step would be to draw up a detailed service level agreement (SLA) between the Council and York CVS, setting out the criteria for the two funds, and to establish a steering committee, of which the Cabinet Member for Leisure Culture & Social Inclusion would be a member, to oversee them.

RESOLVED: That approval be given to allocate an additional £100k funding to support the voluntary sector in the City, specifically focused around building the capacity and capability of local voluntary bodies to diversify income streams and deliver joined up services at a neighbourhood and City-wide level, and extending the opening hours and provision of the City Volunteering Centre.¹

REASON: To increase the scope and build the capacity of York CVS to strengthen the fabric of the voluntary sector in the City.

Action Required

1. Take action to implement the scheme, starting with drawing up an SLA KB

20. HIGH SPEED RAIL CONSULTATION - THE COUNCIL'S RESPONSE TO THE GOVERNMENT'S CONSULTATION

Members considered a report which presented a draft response to the government's consultation document on its proposed high speed rail network (HS2), for amendment or approval prior to the closing date of 29 July 2011.

The consultation questions, and the draft responses to them, were set out in Annex A to the report. Broadly, the responses indicated that the Council:

- Supported proposals for a high speed network, subject to resources directed to the project not being detrimental to improvement programmes for other routes;
- Supported the case for a direct connection to the existing high speed rail line;
- Believed the government's strategy for air travel should be considered before confirming a view on a direct connection to Heathrow;
- Considered that the Leeds element of the y-shaped network should connect to the East Coast Main line south of York, rather than north;
- Felt that the impact of the scheme on local ecology etc needed to be balanced against its economical, social and environmental benefits.

The Leeds City Region, of which York was a constituent member, had also prepared a draft response to the consultation. Similarities and differences between the two responses were summarised in paragraph 20 of the report.

Members commented that a more focused and coherent regional approach to HS2 was required and that York would need to work with other councils to achieve this.

RESOLVED: (i) That the contents of the report be noted.

(ii) That the draft response be amended to address the issues of:

- the interim position after the construction of phase 1
- rail links to the Midland main line and electrification of the line through to York.¹

(ii) That, subject to those amendments, the draft response be submitted as the Council's response to the Government's consultation on a high speed rail network.²

REASON: To enable a response reflecting Members' views to be submitted before the closing date of 29 July 2011.

Action Required

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|--|----|
| 1. Amend the draft response as agreed | RW |
| 2. Submit the amended response to government | RW |

21. FINANCIAL OUT-TURN 2010/11

Members considered a report which provided details of the headline financial performance issues for the financial year 2010-11, covering the period 1 April 2010 to 31 March 2011, including performance against budgets, requests for carry forwards and the position of the Council's revenue reserves.

The Council's provisional out-turn position was an underspend of £369k, with requests for carry-forwards of unspent budgets totalling £168k reducing this position to a potential final underspend of £201k. This represented an improvement of £2,037k since Monitor 3, due primarily to continued stringent cost control methods. However, considerable financial concerns remained looking forward into 2011-12 and beyond. An overview of the out-turn position of each directorate was provided in paragraph 6 of the report, with further details in paragraphs 9 to 27.

Approval was sought for the following requests for carry forwards into the next financial year (all within Communities & Neighbourhoods budgets):

- Ward Committee budgets (unspent street lighting budgets) – £103k
- Target Hardening (schemes under budget) - £31k
- Community Centres (underspends from increased usage) - £34k

It was noted that the Council was facing unprecedented budget challenges in this and future years. A report would be brought to a future meeting to provide Members with an update on the Resources Review, a response on Business rates consultation and a review of alternative forms of financing, (Asset Backed Vehicles, Jessica's, Tax Increment Financing etc).¹

RESOLVED: (i) That the provisional underspend of £369k and the current level of the General Fund reserve be noted.

REASON: In order to inform future financial decision making.

(ii) That the requests for the carry forward of budgets into 2010-12, as detailed in paragraph 28 of the report and totalling £168k, be approved.²

REASON: So that resources can be directed into those areas that meet corporate priorities.

Action Required

- | | |
|---|----------|
| 1. Ensure these reports are scheduled on the Cabinet Forward Plan | KB
KB |
| 2. Make the agreed amendments to the budget record | |

22. CAPITAL PROGRAMME OUT-TURN 2010/11 AND REVISIONS TO THE 2011/12-2015/16 PROGRAMME

[See also under Part B minutes]

Members considered a report which outlined the Council's capital programme out-turn position for 2010/11 and sought approval for changes to the programme and slippage resulting from under or overspends.

The current approved programme amounted to £64.926m, financed by £35.020m external and £29.906m internal funding. Capital expenditure in 2010/11 totalled £53.932m, representing a decrease of £5.458m on the previous year's expenditure and an underspend of £10.995m against the

budget. There were requests for budgets totalling £9.721m to be carried forward (re-profiled) into future years. Details of these requests and of programme variances within individual departments were set out in paragraphs 8 to 34 of the report. These included an overspend on building works at Clements Hall, detailed in paragraphs 25 to 29, for which additional resources of £65k, in the form of prudential borrowing, were sought.

The re-stated capital programme for 2011/12-2015/16, split by portfolio, was illustrated in table 4, at paragraph 37 of the report, with individual scheme level profiles in Annex 1.

RESOLVED: (i) That the 2010/11 capital out-turn position be noted and the requests for slippage from the 2010/11 programme to the 2011/12 programme, totalling £9.721m, be approved.¹

REASON: to allow the continued effective financial management of the capital programme.

Action Required

1. Make the agreed amendments to the budget record RB

23. TREASURY MANAGEMENT ANNUAL REPORT AND REVIEW OF PRUDENTIAL INDICATORS

Members considered a report which provided a review of the Council's treasury management activities and actual prudential and treasury indicators for 2010/11, in accordance with statutory requirements to produce an annual treasury report.

The report summarised the economic background over the 2010/11 financial year and reviewed treasury management performance in respect of long term borrowing and investment activity.

Details of the prudential indicators for 2010/11, their estimated and actual out-turns, were provided in Annex A to the report.

RESOLVED: (i) That the 2010/11 performance of the Council's Treasury Management activity be noted.

(ii) That the movements of the Prudential Indicators, as set out in Annex A to the report, be noted.

REASON: In accordance with statutory requirements.

(iii) That Cabinet formally record their thanks to Officers for their success in managing the Council's debt payments.

24. 2012/14 BUDGET PROCESS

Members considered a report which provided an overview of the proposed 2012/14 budget strategy, highlighting the key issues in relation to the Council's Medium Term Financial Forecast (MTFF).

The proposed approach reflected a proven methodology for ensuring the development and approval of a robust budget within the statutory timeline. It also introduced a two-year budget period to allow for longer term decision making. The outline plan, set out in Annex 1 to the report, showed how officer proposals to manage the Council's overall financial position would feed into meetings with Cabinet Members in the lead up to Budget Council in February 2012, alongside budget consultation commencing in September 2011.

A detailed review had indicated that the strategy needed to consider proposals to achieve approximately £20m savings over the two year budget period - £13m in 2012/13 and £8m in 2013/14. A major consultation exercise on the budget process would be undertaken this year through the Fairness Commission (replacing the Citizen Survey), which would report to Cabinet in November. Other forms of consultation would continue as in previous years. It was noted that the process would need to take account of the Government's recent announcement of its proposals to localise business rates.

RESOLVED: (i) That the financial position outlined in the report be noted.

(ii) That the proposed budget timetable set out in Annex 1, and the plans to commence budget consultation in September, be agreed.¹

REASON: To ensure the development and approval of a robust budget within the statutory timeline.

Action Required

1. Make arrangements to implement the agreed budget consultation IF

25. URGENT BUSINESS - WATER END FLOOD ALLEVIATION SCHEME

Members considered a report which sought authorisation for the Council to enter into a financial contribution agreement with the Environment Agency (EA), to give effect to the undertaking made at Budget Council to make a contribution of £1m in its capital programme towards the Water End Flood Alleviation Scheme. The Chair had agreed to deal with this matter as urgent business in order to avoid any further delay on the scheme.

The proposed scheme would raise existing and construct new flood defence structures to provide a 1 in 200 year standard of protection to an estimated 393 residential and commercial properties in the area. In order

to progress the scheme, the EA required the Council to enter into a financial contribution agreement. Approval was therefore sought for this agreement to be signed.

It was noted that the Council had also undertaken to contribute £356k in 2012/13 to enable the EA to commence a feasibility study into a flood protection scheme at Clementhorpe. This would be subject to a separate agreement in due course.

RESOLVED: (i) That approval be given to sign the financial contribution agreement with the Environment Agency (EA) confirming the Council's contribution of £1m in 2012/13 towards the Water End Flood Alleviation Scheme.¹

REASON: To enable the EA to progress the scheme, as detailed in paragraph 3 of the report.

(ii) That the contribution towards the Clementhorpe scheme be noted and an agreement signed with the EA in due course.

REASON: To enable the EA to commence a feasibility study into a flood protection scheme at Clementhorpe in 2012/13.

Action Required

1. Make arrangements to sign the financial contribution agreement MT

PART B - MATTERS REFERRED TO COUNCIL

26. CAPITAL PROGRAMME OUT-TURN 2010/11 AND REVISIONS TO THE 2011/12-2015/16 PROGRAMME

[See also under Part A minutes]

Members considered a report which outlined the Council's capital programme out-turn position for 2010/11 and sought approval for changes to the programme and slippage resulting from under or overspends.

The current approved programme amounted to £64.926m, financed by £35.020m external and £29.906m internal funding. Capital expenditure in 2010/11 totalled £53.932m, representing a decrease of £5.458m on the previous year's expenditure and an underspend of £10.995m against the budget. There were requests for budgets totalling £9.721m to be carried forward (re-profiled) into future years. Details of these requests and of programme variances within individual departments were set out in paragraphs 8 to 34 of the report. They included an overspend on building works at Clements Hall, detailed in paragraphs 25 to 29, for which additional resources of £65k, in the form of prudential borrowing, were sought.

The re-stated capital programme for 2011/12-2015/16, split by portfolio, was illustrated in table 4, at paragraph 37 of the report, with individual scheme level profiles in Annex 1.

RECOMMENDED: (i) That Council approve the re-stated 2011/12 to 2015/16 capital programme, as summarised in Table 4 at paragraph 37 of the report and detailed in Annex 1.

(ii) That Council approve the use of additional resources in the form of prudential borrowing at a value of £65k, to fund the overspend on Clements Hall.

REASON: To allow the continued effective financial management of the capital programme from 2011/12 to 2015/16.

J Alexander, Chair

[The meeting started at 5.30 pm and finished at 7.45 pm].

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MEETING	CABINET
DATE	4 AUGUST 2011
PRESENT	COUNCILLORS ALEXANDER (CHAIR), CRISP, FRASER, GUNNELL, MERRETT, POTTER AND SIMPSON-LAING (VICE-CHAIR)
APOLOGIES	COUNCILLOR LOOKER
IN ATTENDANCE	COUNCILLORS ASPDEN, AYRE, BARNES, CUTHBERTSON, DOUGHTY, FUNNELL, HEALEY, MCILVEEN, REID, RUNCIMAN, WARTERS, WATSON, WATT AND WISEMAN

27. DECLARATIONS OF INTEREST

Members were invited to declare at this point in the meeting any personal or prejudicial interests they might have in the business on the agenda. The following interests were declared in agenda item 4 (Union Terrace Car and Coach Park – Disposal):

- Cllr Alexander – a personal interest, as a member of the GMB union, which has premises on Gillygate, and a former employee of York St John University (YSJU).
- Cllr Crisp – a personal interest, as a member of the retired section of Unison
- Cllr Fraser – a personal interest, as a member of the retired sections of Unison and Unite (ACTS/TGWU Sections)
- Cllr Simpson-Laing – a personal interest, as a member of Unison and as someone who works for a charity receiving funding from YSJU's 'Aim Higher' programme.

Cllr Looker, having declared at the preceding Council meeting a prejudicial interest due to her employment by York St John University, did not attend the Cabinet meeting and took no part in the discussion or decision on item 4.

28. EXCLUSION OF PRESS AND PUBLIC

Members indicated that they did not intend to make a resolution to exclude the press and public from the meeting at any stage, as they would not be entering a detailed discussion on the exempt information contained in Annex 2 to the original report at agenda item 4 (Union Terrace Car Park – Disposal).

29. PUBLIC PARTICIPATION / OTHER SPEAKERS

It was reported that there had been two registrations to speak at the meeting under the Council's Public Participation Scheme. In addition, three Members of Council had requested to speak. All wished to make comments in relation to agenda item 4 (Union Terrace Car and Coach Park – Disposal).

Philip Crowe expressed concerns about the process that had been followed by the Council in dealing with this issue and the quality of the information provided to date. He suggested that YSJU should provide a development plan and consider the possibility expansion on a different site.

Trevor Fenwick drew attention to the success of the 'Save Union Terrace Car and Coach Park' campaign and expressed the hope that Members would take proper notice of the results of any consultation.

Cllr Steward expressed the view that the proposals did not match up with the priorities set out in the draft Council Plan and suggested that Members should be considering three consultation options: to sell the site, to sell part of the site or to do nothing.

Cllr Cuthbertson raised concerns about the processes followed by the Council in dealing with this matter and about the inadequacy of the equalities and economic impact assessments provided. He suggested that the proposals should be considered in the context of the City Centre Action Plan.

Cllr Warters questioned the validity of the consultation if it did not include an option not to sell the site at all.

30. UNION TERRACE CAR AND COACH PARK - DISPOSAL

Members received a report which presented proposals to sell the Union Terrace Car and Coach Park site (the Site) to York St John University (YSJU), to allow the Site to be developed as part of the implementation of YSJU's business expansion strategy.

An additional annex to the report (Annex 7), containing an update on the proposals and revised recommendations, had been published with the agenda on 2 August 2011. It was these recommendations that Members discussed and considered, in the context of the information provided in the original report. They had been developed following meetings with local businesses, the coach industry and campaigners objecting to the sale, which had highlighted the importance of coach parking and tourism to the City's economy. YSJU had confirmed, during subsequent discussions, that a smaller land take from the Union Terrace site would enable their expansion plans to continue whilst retaining space for parking on the site. The recommendation now was that consultation be carried out over a six week period on five options, retaining between 20 and 34 coach spaces on

Union Terrace, together with accessible parking provision, and ensuring no overall loss of coach parking in the City. Details were attached at Annexes 7A-7E.

Having taken into account the comments made on this item under Public Participation / Other Speakers, together with the contents of the petition presented at the meeting of Full Council prior to the Cabinet meeting, and the comments and debate at Council on the petition and the notice of motion, it was

RESOLVED: (i) That consultation be undertaken with the City's residents, businesses and organisations on selling part of the Union Terrace Car and Coach Park site and on the five development options, all of which involve the retention of coach parking on the site.¹

(ii) That York St John University establish a retail / business forum and further examine how local communities and companies could benefit from the expansion plans.²

REASON: To provide an opportunity for public consultation on the potential sale of the site and on different options for retaining coach parking on Union Terrace, and to develop the Council's approach to targeted recruitment and training.

Action Required

- | | |
|--|----|
| 1. Begin consultation on the five options, as agreed | RW |
| 2. Liaise with YSJU to ensure a retail / business forum is established | RW |

J Alexander, Chair

[The meeting started at 9.30 pm and finished at 10.10 pm].

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Cabinet Meeting 6 September 2011

FORWARD PLAN (as at 12 August 2011)

Table 1: Items scheduled on the Forward Plan for the Cabinet Meeting on 4 October 2011

Title & Description	Author	Portfolio Holder
<p>York Education Partnership</p> <p><i>Purpose of report: The Schools White Paper: “The Importance of Teaching” was published on the 24 November. This paper describes the steps that have taken place between the Local Authority and the school community to respond to the direction of travel described in the document.</i></p> <p><i>Members are asked to consider the recommendations</i></p> <p><i>This item was moved from the Cabinet meeting on 15 March to the Decision Session as consultation was still underway with schools. The move to the Decision Session in June was to allow the response to encompass schools’ views. This item will now be considered by the Executive on 6 September 2011 due to having to wait for the Education Bill to receive Royal Assent.</i></p>	<p>Pete Dwyer</p>	<p>Cabinet Member for Education, Children and Young People’s Services</p>
<p>City of Sanctuary</p> <p><i>Purpose of report: This report asks the Cabinet to support York seeking recognised status as a City of Sanctuary.</i></p> <p><i>Members are asked to agree to seek City of Sanctuary status.</i></p>	<p>Charlie Croft</p>	<p>Cabinet Member for Communities and Neighbourhoods Services</p>

<p>Local Implications to Changes to the NHS Service</p> <p><i>Purpose of Report: Significant changes are proposed in new health legislation which will see public health transfer to the Local Authority (LA), a new body called Healthwatch replacing the Local Involvement Network (LINKs), new roles for GPs in the forefront of commissioning and the requirement for every LA to establish a Health and Wellbeing Board.</i></p> <p><i>Members are asked to consider the proposed changes.</i></p>	<p>Pete Dwyer</p>	<p>Cabinet Member for Health, Housing and Adult Social Services</p>
<p>Future of Neighbourhood Working</p> <p><i>Purpose of Report: This report sets out a new model for neighbourhood working in York.</i></p> <p><i>The Cabinet will be asked to approve a new model for neighbourhood working including: the roll out of elements of the "area working" pilot across the city; the introduction of service contracts; a new focus for the Neighbourhood Management Unit; reorganisation of other front-line posts to support the new way of working.</i></p>	<p>Charlie Croft</p>	<p>Cabinet Member for Communities and Neighbourhoods Services</p>
<p>Winter Maintenance Review 2011/12</p> <p><i>Purpose of report: To review current working practices with an emphasis on footways and cycle tracks.</i></p> <p><i>Members are asked to recommend the changes from manual to mechanical treatments of footways and cycle tracks, and the associated timings.</i></p>	<p>John Goodyear</p>	<p>Cabinet Member for Communities and Neighbourhoods Services</p>

<p>Establishment and Governance of the Local Authority Trading Company</p> <p><i>Purpose of Report: The report details the establishment of a local authority trading company; in particular it seeks approval for the governance structures under which the company will operate.</i></p> <p><i>Members are asked to: Approve the establishment of a local Authority trading company (LATC), wholly owned by the authority. Also to agree the articles of association presented with the paper which detail how the company will operate and the governance structures under which it will be managed.</i></p> <p><i>This report has been delayed to the 6 September meeting, pending the outcome of discussions on shared services.</i></p>	Paul Kear	Cabinet Member for Corporate Services
<p>Article 4 Direction on Houses in Multiple Occupation</p> <p><i>Purpose of the report: To consider representations received in respect of an Article 4 Direction relating to houses in Multiple Occupation made on 15th April 2011 under the Town and Country Planning (General Permitted Development) Order.</i></p> <p><i>Members are asked to: Decide whether to confirm the Direction.</i></p>	Bill Woolley/ Jonathan Carr	Cabinet Member for City Strategy

Table 2: Items scheduled on the Forward Plan for the Cabinet Meeting on 1 November 2011		
Title & Description	Author	Portfolio Holder
<p>Funding of the Voluntary Section 2012-2015</p> <p><i>The purpose of this report is to approve grant funding to voluntary sector organisations for the 3 years 2012-2015. (Some of the grants are over £50k and therefore require Cabinet approval).</i></p>	Adam Gray	Cabinet Leader

<p><i>Members are asked to approve the grants.</i></p>		
<p>Q2 Finance Monitor 2011/12</p> <p><i>Purpose of the report: To provide members with an update on 2011/12 financial performance.</i></p> <p><i>The Cabinet is asked to: Note the issues</i></p>	<p>Louise Branford- White</p>	<p>Cabinet Member for Corporate Services</p>
<p>Q2 Capital Programme Monitor 2011/12</p> <p><i>Purpose of the report: To provide members with an update on the capital programme.</i></p> <p><i>The Cabinet are asked to: Note the issues and approve any variations to the programme as necessary.</i></p>	<p>Louise Branford- White</p>	<p>Cabinet Member for Corporate Services</p>

Table 3: Items slipped on the Forward Plan

Title & Description	Author	Portfolio Holder	Original Date	Revised Date	Reason for Slippage
<p>Article 4 Direction on Houses in Multiple Occupation</p> <p><i>Purpose of the report: To consider representations received in respect of an Article 4 Direction relating to houses in Multiple Occupation made on 15th April 2011 under the Town and Country Planning (General Permitted Development) Order.</i></p> <p><i>Members are asked to: Decide whether to confirm the Direction.</i></p>	<p>Bill Woolley/ Jonathan Carr</p>	<p>Cabinet Member for City Strategy</p>	<p>6 September 2011</p>	<p>4 October 2011</p>	<p>To enable additional work to be undertaken on the report.</p>

<p>Land at Holgate Park</p> <p><i>Purpose of report: To consider the strategic acquisition of land at Holgate Park from Yorkshire Forward to support and ensure the future development of the York Central site.</i></p> <p><i>Members are asked to consider the strategic acquisition of land at Holgate Park.</i></p>	<p>Roger Ranson</p>	<p>Cabinet Member for Corporate Services</p>	<p>6 September 2011</p>	<p>--</p>	<p>To be considered at the Staffing and Urgency Committee on 30 August 2011 as an urgent decision is required.</p>
<p>Establishment and Governance of the Local Authority Trading Company</p> <p><i>Purpose of Report: The report details the establishment of a local authority trading company; in particular it seeks approval for the governance structures under which the company will operate.</i></p> <p><i>Members are asked to: Approve the establishment of a local Authority trading company (LATC), wholly owned by the authority. Also to agree the articles of association presented with the paper which detail how the company will operate and the governance structures under which it will be managed.</i></p>	<p>Paul Kear</p>	<p>Cabinet Member for Corporate Services</p>	<p>6 September 2011</p>	<p>4 October 2011</p>	<p>Awaiting further information to enable the report to be finalised</p>

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Cabinet

6 September 2011

Report of the Leader of the Council

Minutes of Working Groups

Summary

1. This report presents the minutes of meetings of the Young People's Working Group (YPWG) and the Equality Advisory Group (EAG) and asks Members to consider the advice given by the Groups in their capacity as advisory bodies to the Cabinet.

Background

2. Under the Council's Constitution, the role of Working Groups is to advise the Cabinet on issues within their particular remits. To ensure that the Cabinet is able to consider the advice of the Working Groups, it has been agreed that minutes of the Groups' meetings will be brought to the Cabinet on a regular basis. In accordance with the requirements of the Constitution, minutes of the following meetings are presented with this report:
 - Young People's Working Group of 20 June 2011 (Annex A)
 - Equality Advisory Group of 18 July 2011 (Annex B)

Consultation

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

Options

4. Options open to the Cabinet are either to accept or to reject any advice that may be offered by the Working Groups, and / or to comment on the advice.

Analysis

5. Members are asked to note the views of the Young People's Working Group in respect of developing their role as a conduit between young people and Members (minute 6 of Annex A refers). It is proposed to put recommendations to the Cabinet on this issue after consultation has taken place with young people.
6. Members are asked to consider endorsing the recommendation from the Equality Advisory Group that Marije Davidson be appointed as a representative of the York Independent Living Network on EAG (minute 1 of Annex B refers).
7. Cabinet has the power to make appointments to its own Working Groups. Therefore if Members so wish, they may approve the above recommended appointment without reference to Full Council.

Corporate Priorities

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

Implications

9. There are no known implications in relation to the following in terms of dealing with the specific matter before Members, namely to consider the minutes and determine their response to the advice offered:

- **Financial**
- **Human Resources (HR)**
- **Equalities**
- **Legal**

- **Crime and Disorder**
- **Property**
- **Other**

Risk Management

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

Recommendations

11. Members are asked to note the minutes attached at Annexes A and B and to decide whether they wish to:
- Approve the specific recommendations made by the Young People's Working Group and the Equality Advisory Group, as set out in paragraphs 5 to 7 above, and/or;
 - Respond to any of the advice offered by the Working Groups.

Reason:

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

Contact details:

Author:

Jayne Carr
Democracy Officer
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Chief Officer Responsible for the report:

Andrew Docherty
Assistant Director Governance and
ICT

Report
Approved ✓

Date 18.08.11

Specialist Implications Officer(s) None

Wards Affected:

All

For further information please contact the author of the report

Annexes

Annex A – Draft minutes of the meeting of the Young People’s Working Group of 20 June 2011.

Annex B – Draft minutes of the meeting of the Equality Advisory Group of 18 July 2011.

Background Papers

Agendas and associated reports for the above meetings (available on the Council’s website).

City of York Council

Committee Minutes

MEETING	YOUNG PEOPLE'S WORKING GROUP
DATE	20 JUNE 2011
PRESENT	COUNCILLORS SCOTT (CHAIR), LEVENE, CUNNINGHAM-CROSS (SUBSTITUTE FOR COUNCILLOR POTTER), RICHARDSON AND D'AGORNE
APOLOGIES	COUNCILLORS POTTER AND AYRE

1. **DECLARATIONS OF INTEREST**

Members were invited to declare at this point in the meeting, any personal or prejudicial interests they might have in the business on the agenda.

Councillor D'Agorne declared a personal non prejudicial interest in the business on the agenda generally through his job as a Careers Co-ordinator at York College.

Councillor Scott declared a personal non prejudicial interest in Agenda Item 5 (Future Services and Activities for Young People in York) due to his wife's employment in the Wider Opportunities Programme.

No other interests were declared.

2. **MINUTES**

RESOLVED: That the minutes of the Young People's Working Group held on 18 October 2010 be deferred to be signed and approved at the next scheduled meeting, due to the absence of one of the Members who was present at that meeting.

3. **PUBLIC PARTICIPATION**

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

4. ARRANGEMENTS FOR INCLUDING YOUNG PEOPLE IN DECISION MAKING IN YORK.

Members received a verbal presentation on the development of arrangements for the inclusion of Young People in Decision Making in York.

Members were informed about the work of the Neighbourhood Action Teams in the West of the City, about the Show Me That I Matter Panel and about the York Youth Council. They were informed that the City of York Children and Young People's Plan linked all the groups together.

Members raised questions about how the York Youth Council linked with the Young People's Working Group, and about its composition. Members questioned why Youth Council members were not present at the Young People's Working Group and reaffirmed the view that up to four Youth councillors be invited to become co-opted members of the group. It was noted that all secondary schools in York were invited to take part in the Youth Council, including private schools, but that there remained a number of schools who were not represented. Members expressed their wish to receive a list of those who were involved in the Youth Council.

Officers were asked about the role of the Youth Engagement Officer at a ward level. It was explained that the Youth Engagement Officer was a person who supported overall engagement with Young People on behalf of each ward. It was suggested that a Youth Engagement Officer be invited to a future meeting of the Young People's Working Group.

In response to questions from Members about the York Youth Café, Officers informed them of the current situation. It was reported that plans were fairly well advanced on a potential new city centre venue that might house the café. Members were informed that the young people involved in the establishment of plans for the Youth Café had been supported to set up a charitable trust to help finance the project. It was reported that they had been awarded funding from the Joseph Rowntree Trust to aid the venture, and that other donations were in the pipeline. The Council was also supporting the project both directly and indirectly.

Some Members questioned as to why it was felt that a facility for Young People had to be located in the centre of York, and why it could not be located in the outer areas of the city where funding and use of existing buildings could potentially be less of a problem.

Officers replied that the Youth Café project was essentially led by Young People, who had been pressing for some time for a city centre venue.

RESOLVED: (i) That the arrangements and developments for including Young People in Decision Making in York be noted.

(ii) That a list of secondary schools and others involved in the Youth Council be distributed to Members of the Young People's Working Group.

(iii) That a Youth Engagement Officer be invited to attend a future Young People's Working Group.

5. FUTURE SERVICES AND ACTIVITIES FOR YOUNG PEOPLE IN YORK

Discussion took place between Members and Officers on the future services and activities for Young People in York.

The role of voluntary groups and community faith groups in providing services to Young People was noted, and it was acknowledged that the Council should seek to work in greater partnership with these groups. It was also noted that certain areas of the city had different challenges to others, and that provision of services for Young People in York would need to move towards a targeted rather than a universal approach.

Officers suggested that greater levels of engagement with voluntary groups could be achieved by offering them the use of Council buildings and vice versa. It was also suggested that a particular aim would be for Young People to be able to access greater support in the evening, and that this could possibly be achieved through co-operation and sharing of services with the voluntary and community sector.

Further to the discussion, certain Members questioned the background to the location of current Youth provision in the city, which meant that some young people attended a centre in a different ward to one where they lived. Officers responded that the pattern of provision reflected historic decisions, but was reasonably well spread across the city.

Members suggested that if the voluntary sector were to take an increased role in the provision of services for Young People in York, it would be beneficial for training to be provided. However, some Members expressed the view that the people who had run the Youth Centres in York had not had the benefit of examining and understanding the current practices of Youth and Social Work, and so this would need to be included in the training.

6. FUTURE OF THE YOUNG PEOPLE'S WORKING GROUP

Discussion took place amongst Members and Officers relating to the future of the Young People's Working Group (YPWG).

The Chair circulated an annex on the remit of the Young People's Working Group, which had been produced by Officers. This was attached to the agenda after the meeting, which was subsequently republished.

The Chair outlined that he felt that YPWG, due to its presence as an advisory rather than statutory group, tended only to offer information about what Young People were doing in the city, rather than as acting as an active conduit for views between Members and Young People. He suggested that the Constitution could possibly be amended to include the recommendation for the Cabinet Member for Education, Children and Young People to present an annual report alongside the Youth Council to Full Council.

Members expressed concerns as to why the Working Group had not recently met with the Youth Council or had attended the York Secondary Schools and Primary Schools Conferences. It was felt that better communication was needed between Members and Young People and that this could be done by attendance at the Schools Conferences, and Youth Council meetings by Members. Alongside this it was suggested that Youth Councillors and Young People should to be canvassed as to whether they wished to attend YPWG. It was noted that

attendance at YPWG would only be when the Young People wished to attend.

Some Members felt that it would be detrimental to focus solely on the Youth Council as the only forum for the views of Young People, because of its limited scope in representing Young People of secondary school age. They noted that the views of Young People involved in the Show Me That I Matter Panels and the Junior A Team, for example, should not be forgotten.

Further discussion took place as to whether the Youth Council should be invited to the next meeting of YPWG, and if the Youth Council could discuss a similar item on their future at their next meeting. It was also felt to be beneficial for YPWG to receive a copy of the Youth Council's remit at their next meeting.

RESOLVED: That the following recommendations be forwarded to the Cabinet for their consideration;

- (i) That the opinion of the Young People's Working Group is that its remit to provide a conduit between Young People and Members is at present not being met as well as it should.
- (ii) That the Young People's Working Group meet the York Youth Council in order to address how to increase their engagement more widely with Young People.
- (iii) That consideration be given to holding additional meetings of the Young People's Working Group in order for greater consultation between Members, Young People and Officers to take place.
- (iv) That the remit of the York Youth Council be presented to Members at the next meeting of the Young People's Working Group.
- (v) That following consultation with Young People, further recommendations be

presented to Cabinet as to how the Young People's Working Group can progress.

Cllr D Scott, Chair

[The meeting started at 5.05 pm and finished at 7.10 pm].

City of York Council

Committee Minutes

Meeting	Equality Advisory Group
Date	18 July 2011
Present	Councillors Crisp (Chair), Richardson (Vice-Chair), Aspden, Barnes and Jeffries
	Community Representatives:
	David Brown – York Access Group
	John Burgess – York Mental Health Forum
	Marije Davidson – York Independent Living Network
	Christopher Edmondson – York Independent Living Network
	Sue Lister – York Older People’s Assembly
	Daryoush Mazloum – York Racial Equality Network
	Sarah Nicholson – Youth Council
	Simon Rodgers – LGBT Forum
	Carolyn Suckling – Access Group
	Fiona Walker – Valuing People Partnership
	Paul Wordsworth – Churches Together in York
	George Wright - Humanist
Apologies	Claire Newhouse – Higher York

1. Welcome and Introductions

The Chair welcomed new members to the Group and introductions were carried out. It was proposed that Marije Davidson would, subject to approval by Cabinet, be the representative of the Independent Living Network on the Equality Advisory Group in place of Lynn Jeffries who had been appointed as a City of York Council representative.

2. **Declarations of Interest**

Members were invited to declare at this point in the meeting any personal or prejudicial interests they might have in the business on the agenda. Councillors Barnes, Jeffries and Richardson declared personal interests as having disabilities. Councillor Jeffries also declared a personal interest as Co-Chair of York Independent Living Network.

3. **Minutes**

Resolved: That the minutes of the meeting held on 15 February 2011 be approved as a correct record subject to the following amendments:

- minute 19 (v) being amended to include a sentence stating “The Group recommended that, in addition to the consultant employed by the contractor, an independent person should also be invited to advise on access issues.”
- minute 20 (v) being amended to read “**37** promises”
- minute 21 remove the wording “that was being co-ordinated by the LGBT Forum”.

4. **Public Participation**

There were two registrations to speak under the council’s Public Participation Scheme.

Colin Hall informed the group of his concerns regarding the co-ordination of equalities policies across the city. He made particular reference to the following issues and drew attention to the council’s duty to promote disability equality:

- Not all ward committee meetings were held in accessible venues and hence some people were excluded from attending. Although this disenfranchisement had been addressed in some wards, there needed to be a city-wide approach to this issue.
- The council should do more to address the problems caused by A-boards in the city.
- The council should ensure that the groups to which it provided support or financial assistance were inclusive.

An example was given of an event organised by York Open Studios, which was held in an inaccessible venue and the information that had been provided had not addressed accessibility issues.

Officers stated that the issues that had been raised would be taken on board.

Carolyn Suckling raised concerns regarding the taxi card system. She stated that the technology had not been in place on the implementation date and that this had resulted in the service not being available. The fact that only two companies had been included in the scheme was also causing difficulties, particularly as one of these was heavily committed to providing home to school transport. Other members of the group endorsed these concerns and requested that the arrangements be extended to include all taxi firms.

The Chair informed the group that she understood that the taxi companies involved in the scheme were those which had the most wheelchair accessible vehicles. She detailed arrangements that were being put in place to increase the number of vehicles that would be available.

The Group requested that an update on the implementation of the taxi card scheme be provided at the next meeting.¹

Action Required

1. Update to be provided at next meeting

EC

5. Update On Actions Agreed At The Last Meeting

Information was circulated that provided an update on the action that had been taken to address issues raised at the previous meeting:

(i) Accessible Toilets

The Group was informed that, although the Executive had agreed to the installation of signs, it had subsequently been ascertained that a risk assessment would identify that this was not an appropriate measure and that the alarms should be removed. The Chair stated that a report on toilet facilities within the city was

currently being prepared and hence the colour code alert for this action had been amended to amber.

Since the last meeting, officers had contacted representatives from the disability strand regarding this issue. Some members of the group expressed concern that only representatives from the disability strand had been consulted and requested that future consultations be extended to all members of the group, who would then have the option of responding should they so wish. At the request of the group, the Chair stated that she would find out the mechanism by which the group would be consulted as part of the report on toilet facilities in the city.¹

(ii) Access Issues in New Council Building

Information was tabled on the Accommodation Project. The contractors had attended the EIA Fair in March 2011 and the colour code for this item was now at green.

(iii) Poverty Awareness Raising Project

The status of this action was coded as red as difficulties had arisen in establishing a working party. The funding had been safeguarded for a year and it was proposed that an update on progress be given at the next meeting.²

(iv) Library Square Proposals

The Chair updated the group on discussions that she had had with officers regarding the need to ensure that disabled parking spaces were in place in Blake Street and Lendall Street. An update would be provided at the next meeting if this issue had not been addressed in the meantime³.

(v) Carers Forum

Officers confirmed that discussions were ongoing with the Carers Forum to find out how best they could engage with the EAG. Representatives had been

invited to attend the Development Day. It was agreed that an update would be provided at the next meeting.⁴

(vi) Pedestrian Safety in Shared Areas/Footstreets Review

As the design standards were not yet in place, this action remained coded as red. The representative of York Older People's Assembly stated that footstreets was an issue of particular concern to the Assembly and hence they would wish to be involved in the Footstreets Review.⁵

Action Required

- | | |
|--|----|
| 1. Update to be provided at next meeting | EC |
| 2. Update to be provided at next meeting | EC |
| 3. Update to be provided at next meeting | EC |
| 4. Update to be provided at next meeting | EC |
| 5. Update to be provided at next meeting | EC |

6. Community Issues

Community representatives were invited to raise further equality and inclusion matters about council policy and services as they affected the groups they represented. The following issues were discussed:

(i) Public Right of Way

A member of the group drew attention to a public right way that had been blocked between Outgang Lane and Bad Bargain Lane. Concerns were also expressed regarding a rumour that a travellers site in that area was to be sold. The Chair stated that she had looked into this matter and that there were no plans to sell the site. She would look into the concerns that had been raised regarding the inaccessible right of way.¹

(ii) Car Parking

Concerns were expressed regarding cars parking on paved areas, which caused difficulties for pedestrians. The Chair stated that if details were forwarded to her she would carry out a piece of casework on this issue.

(iii) Union Terrace Car Park

Members of the group expressed concern at the possible sale of the Union Terrace Car Park. As well as the loss of thirteen disabled parking spaces, concerns were expressed that visitors needed to be able to return to coaches during the day and that a drop-off facility was not a suitable alternative. It was noted that an Extraordinary Meeting of Council had been called to discuss this issue and that this would be followed by a meeting of the Cabinet, which would make the decision.

(iv) York Older People's Assembly

An update was given on issues affecting older people, including a document on "Building an Age Friendly York" and a women's focus group that had been convened by Age UK.

(v) Young Carers

Details were given of a card scheme that was being piloted for young carers in some secondary schools and colleges in York.

(vi) Dementia Working Group

Details were given of the work that was taking place to consider how the national dementia strategy should be implemented in York. The Joseph Rowntree Foundation had provided funding towards the project and the report should be available in the near future.

(vii) Open House

Members of the group were invited to attend a YREN Open House event that was due to take place on 3 August 2011.

(viii) North Yorkshire Police

Concerns were expressed that it appeared that the Diversity Unit at North Yorkshire Police was to be disbanded. Clarification was sought as to how the police

were intending to meet their duties under the Equalities Act. It was agreed that a response would be sought from the police regarding this issue.²

Action Required

- | | |
|--|----|
| 1. Update to be provided at next meeting | EC |
| 2. Update to be provided at next meeting | EC |

7. Equality Advisory Group Development Day 2011

Members of the group considered a report regarding the planning of the group's Development Day 2011, which would take place on 11 October 2011.

Resolved: That the report be noted.

Reason: To ensure that EAG works effectively, meeting its stated objectives.

8. Equality Framework For Local Government Diversity Peer Challenge

Consideration was given to a report detailing the Council's Equality Framework for Local Government Diversity Peer Challenge. The challenge was due to take place on 26 and 27 July 2011.

Details of the arrangements that had been made for representatives of stakeholder groups to meet with the assessors, were confirmed. It was hoped that the council would meet the criteria to be designated as an "achieving" authority. There was still some work to be done before it could be designated as "excellent" but this was the aim in the longer term.

It was noted that the assessors' report would be a public document. At the request of members of the group, officers agreed to circulate the self-assessment submission that had been prepared and the Improvement Plan¹. The Chair stated that she would welcome feedback on these documents.

Resolved: That the report be noted.

Reason: To ensure that the Equality Advisory Group knows about the peer challenge.

Action Required

1. Circulate information to members of the group

EC

9. Community Stadium

A presentation was given about the current status in respect of the community stadium. Details were given as to ways in which parts of the stadium could be used for community provision. The Group was informed of ways in which community stadiums in other parts of the country had utilised their facilities. Examples of possible uses included: provision for hospital outpatients, Independent Living demonstrations and library provision. Officers stressed that these were only examples and that no decisions had been made at this stage.

The group was invited to put forward their views as to what they would like to see in relation to the stadium. The following points were made:

- The design of the stadium must be accessible. This should include giving full consideration as to where seating for disabled people would be in respect to other facilities in the stadium.
- Safety was a key consideration – for example there should be good lighting.
- It was important that there was good public transport in place. Concerns were expressed that the community stadium was not being sited in a more central location. If facilities such as an Independent Living Assessment Centre were to be based at the stadium it was important that there was good public transport available.
- It was important that the activities that were provided were inclusive and that there were also opportunities for disability sports.
- Arrangements must be in place to tackle any issues of homophobia in sport. The Rugby Association's guidance on this issue was particularly useful.
- Consideration should be given to employment opportunities for people with disabilities.
- Clarification was sought as to whether PAs would have free admission.

- It would be useful for the Youth Council to be consulted on the proposals.
- Consideration should be given to providing a skate park.
- Consideration should be given to providing opportunities for volunteering.

Officers gave details of the timescale for the project.

Members of the group were encouraged to notify officers of any further suggestions in respect of the community stadium and to seek the views of the organisations they represented. Further consideration would be given to the proposals at the EAG Day.

Resolved: That the group's comments be taken into consideration by the project team.

Reason: To assist the project team in ensuring that the community stadium is accessible to all.

10. Round Table Discussions For City-Wide Equality Groups

Consideration was given to a report about the planning and delivery of a series of discussions about important quality of life issues as they affected equality community groups in York's neighbourhoods and ward committee areas. It was proposed that these discussions be called "round tables".

Officers explained that it was proposed that the first round table discussion would focus on hate crime. Members of the group commented on the under-reporting of hate crime and the need to encourage victims to report any such incident.

Members of the group suggested that the round table discussions should be open to individuals as well as organisations. Officers requested that if members of the group had suggestions for future topics for round table discussions, these be forwarded to officers.

Members of the group stated that if voluntary organisations were to be able to fully contribute and take ownership of the round table discussions, it was important that the appropriate support was made available.

Resolved: That the group supported the proposal to hold round table discussions.

Reason: To ensure that EAG influences discussions about issues that affect the quality of life of people living in York neighbourhoods and ward committee areas, who may face disadvantage because of who they are.

11. **Urgent Business - Fairness Commission**

Details were given of the York Fairness Commission, which was an independent advisory body that had been set up to look at issues affecting equality and fairness in the city. Officers detailed the membership of the commission and the background of the members. The Group was informed of the different approach that would be taken to budget consultation. A report from the Fairness Commission would be used to inform service priorities.

Clarification was sought as to how groups would interact with the Commission. Details were given of the opportunities that would be made available to groups and individuals, including public consultation meetings in September/October, via the website, email or Freepost. There would also be a special event for the Equality Advisory Group. A suggestion was put forward that it would be helpful for a list of questions to be provided to enable EAG to consult with the groups which they represented.

Referring to the fact that public meetings were to be held at various locations in the area, the Group stated that the venues must be fully accessible. Meetings also needed to be accessible in terms of the documentation provided and any presentations that were given.

It was noted that some people found it difficult to attend meetings during the day because of their work commitments. It was also problematic for pupils to attend events during the school day. Requests were made for the Commission to attend a Youth Council meeting and an event coinciding with the 50+ Festival.

Clarification was sought as to whether formal research would be carried out in addition to the public consultation events. Officers confirmed this to be the case and stated that the Joseph Rowntree Foundation would be involved. There would be a focus on well-being, access to services and work.

Resolved: That the Fairness Commission be made aware of the Group's comments.

Reason: To assist them in carrying out their work.

Councillor Crisp, Chair

[The meeting started at 6.00 pm and finished at 9.25 pm].

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Cabinet**6 September 2011**

Report of the Cabinet Member for City Strategy

Access York Park & Ride Funding Bid**Summary**

1. This report requests that Cabinet recommends for approval by the Staffing Matters and Urgency Committee the submission of the 'Best and Final Bid' for the Access York Project to the Department for Transport (DfT) on 9th September 2011.
2. Phase 1 of the Access York project to enhance the Park & Ride network is critical for the future economic prosperity and environmental wellbeing of the city. In recognition of the reduced national budget available and to maximise the likelihood of bid being successful it is considered necessary to make changes to the scope, programme or funding arrangements of the project.
3. Owing for the need to amend the Council's Capital Programme and the 9 September deadline final approval of the proposed submission needs to be by the Staffing and Urgency Committee.
4. Members are provided options to package the sites and alternative funding options to meet projected 20% and 30% target local contribution levels.
 - Option 1 -- 3 Site Option with additional £6m of Council Funding (Total £9.7m)
 - Option 2 – 2 Site Option (Askham Bar and Poppleton Bar) with additional Council funding of £0.7m or £2.9m (Total £4.4m or £6.6m)
 - Option 3 – 2 Site Option (Poppleton Bar & Clifton Moor) with additional funding of 1.0m or £2.7m (Total £3.7m or £5.4m)
5. Funding sources for the 3 options are identified and Members are requested to recommend approval of one of these options and the

provisional funding allocations to the Staffing and Urgency Committee to enable the bid to be submitted by 9th September.

Background

6. Expanding the Park & Ride network is a key Council Plan priority under the 'Get York Moving' banner. Additional Park & Ride capacity will
 - Provide a high quality alternative to the car
 - Address congestion which is seen as the key constraint on York's growth – a consistent and prominent message from businesses
 - Reduce emissions and address air quality issues in the city
 - Build on the success of the current P&R provision which currently caters for 4.3m passenger boardings each year (3 million pure P&R boardings) and removes over 1 million cars per year from the city centre network

7. The existing Park & Ride service has insufficient capacity to keep pace with York's buoyant and growing economy. The full Access York Phase 1 project involves:
 - the construction of 3 new Park & Ride sites at Askham Bar, A59 near Poppleton and Clifton Moor,
 - a major upgrade to the A59/A1237 Outer Ring Road roundabout,
 - associated bus priority measures,
 - procurement of the Park & Ride operator.

8. The number of Park & Ride sites in the City would be increased from 5 to 7 with over 40% more parking spaces. It is anticipated that an additional half a million cars per annum will be removed from York's road network reducing Carbon emissions by over 2000 tonnes per year.

9. The project has a long approval history:
 - Submission to Regional Transport Board --February 2008
 - Approval of Regional Transport Board – April 2008
 - Submission of Major Scheme Bid to DfT – Feb 2009

- Approval of DfT (Programme Entry) – March 2010
10. The coalition government suspended the Major Projects process in June 2010 with the scheme confirmed to be in the 'Development Pool' of 45 Major Schemes in October 2010. An Expression of Interest was submitted by the Council in January 2011 confirming the continued commitment to the project.
 11. Planning consent has been obtained for all of the sites and the acquisition of the land secured. Owing to the funding uncertainties detailed design work has been suspended on all of the sites except Askham Bar.
 12. A Best and Final bid must now be submitted to the DfT by 9th September with an expectation that a decision will be received by the end of 2011.

The Original Bid

13. The key facts for the original Major Scheme Bid to the DfT for all 3 sites were:
 - Total cost --£25.5m
 - DfT Contribution -- £22.9m (90%)
 - CYC contribution -- £2.3m (9%)
 - Third party contribution -- £0.3m (1%) based on developer contributions
 - Benefit Cost Ratio (BCR) (the overall value for money) -- 3.5

Expression of Interest/ Interim Bid

14. Interim information was submitted to the DfT in June 2011 giving an update on the projected costs for the scheme. The additional design work since the submission of the original bid and slippage in the overall programme led to an anticipated increase in the scheme cost to £28.5m. The higher overall cost was principally due to inflation and increased costs at Askham Bar for ground compaction and access arrangements. With the local contribution increased by £300k in accordance with the February 2011 budget the requested DfT contribution was maintained at 90% but increased in value by approx. £2.7m to £25.6m.
15. Feedback on the interim information from the DfT was very unfavourable due to the increased overall scheme cost and greater cost to the DfT.

Current Scheme Costs/Benefits

16. Since June further work has been undertaken to review risks, costs and evaluate the scheme benefits. The current estimated overall costs and benefit to cost ratios of the individual sites and the full project with the scope remaining as the original scheme are indicated in the following table.

Site	Cost	BCR
Askham Bar	£9.61m	4.5
Poppleton Bar	£12.06m	5.8
Clifton Moor	£5.71m	3.8
3 Site Package	£27.63m	4.3

Changes to the DfT Funding Process

17. Significant changes to the DfT Major Scheme processes have been introduced since the change in government in May 2010 and suspension of the programme in June 2010.
18. The risk sharing mechanism between Councils and the DfT in the previous Major Scheme process has been discontinued. This enabled 50% of cost overruns up to a ceiling level to be funded by the DfT. Approximately £3.2m of additional funding would have been available for the Access York Scheme in the event of increased costs. Funding is now provided on a maximum DfT contribution basis with any cost overruns, including inflation, construction risks, programme delays etc. to be funded by the Local Authority.
19. The DfT have also instructed that Land Compensation claims under Part 1 of the Land Compensation Act 1973, previously included in the bid, should be removed. These claims must be now be fully paid by the Local Authority in the event of successful applications being received from property owners in the areas affected by the project. This increases the risk of additional funding being required.
20. Traditionally DfT funding decisions have been based on the value for money, policy fit and deliverability. The Access York scheme

scores well on all 3 fronts hence the previous DfT decision to fund the scheme and our case continues to stress the 'Economic' and 'Carbon' benefits of the project.

21. Although the methodology still includes all of the previous assessment criteria the final approval process is now considered to be more of a direct funding competition with the other schemes in the programme. The DfT's Major Scheme Funding Block to 2014/15 is currently substantially oversubscribed in a period of significant public expenditure cutbacks. The value of the 45 schemes in the Development Pool is approximately £870m with approximately £600m of funding available in the period up to 2014/15. This will mean that some of the schemes already in the Development Pool will not be funded in this CSR period.
22. Analysis of schemes that had moved from a qualifying pool in January 2011 to the development pool showed that successful schemes had reduced costs by about 20%. A review of the June 2011 interim information submissions indicates that there has been an average 15% reduction in overall costs and 30% reduction in DfT contribution requirement.
23. The latest publicly available information based upon the Expressions of Interest in January 2011 indicates a wide range of local contribution values. Approx. 20% of the projects have local contributions below 15% and a further 20% of schemes are below 20%. 17% of projects have local contributions between 20% and 30%. It should be noted that schemes vary considerably in makeup with some having high associated developer contributions.
24. Intelligence picked up on other local authority schemes highlights that scheme costs are being cut significantly and local contributions for some schemes are being raised to levels between 30% and 50% of total scheme costs. However some of these will be relative to an originally high level.
25. Reaction to York's successful LSTF bid highlighted that the level of partnership working and collaborative funding had been a key success factor. The Council have a strong partnership working relationship with the current operator which will be used as a basis for progressing the operation of the new Park & Ride sites. The DfT are also looking for certainty that the revenue implications of projects can be accommodated in Local Authority budgets.

26. To make York's bid as attractive as possible to the DfT it is therefore recommended that the final bid should:

- Reduce overall costs
- Reduce the DfT's funding contribution by at least 20% (based on the original ask of £22.89m from the DfT)
- Increase the level of local contribution to at least 20% (i.e. double existing level)
- Preferably include additional third party contributions (thereby providing more of a public/private partnership approach)
- Incorporate funding profile flexibility to enable the DfT to manage their overall funding programme.
- Minimise revenue uncertainty.

Consultation

27. Considerable levels of consultation have already been undertaken on the scheme during the preparation of the planning applications. Further consultation will be undertaken during the preparation of the detailed designs for the highway works.

Options

28. There are a number of options which could be progressed to maximise the likelihood of the project being successful through the funding bid process. To meet the targets indicated above the scope of the project will need to be decreased or the levels of local funding contribution increased (or both).

29. All of the options expect DfT funding to be available in 2012/13 and anticipate completion in Mid 2014. Completion dates will be brought forward where possible.

Scope Reduction

30. Previous reviews have been undertaken to ensure the specification of the individual sites is the most cost effective possible. It is considered that significant further cost reductions are not possible without lowering the desired specification or removing major elements of infrastructure which would undermine the fundamental quality and viability of the proposed and existing network. Value

engineering will continue to be undertaken to minimise costs throughout the detailed design stage.

31. It is considered that the only remaining option to reduce costs significantly is to reduce the number of sites in the bid to focus on the highest ranked locations. All of the sites are considered to be important for the future transport needs of the city but they can be ranked against immediate benefit, future growth potential and risk of subsidy requirement criteria. Any site which is not delivered through this Major Scheme Bid could be progressed using alternative funding mechanisms in the future. The sites each have key benefits and disadvantages which are summarised below with more detail in Annex 1
32. **Poppleton Bar** is considered to be the highest priority site due to the highest benefit to cost ratio, new corridor, large new market, link with future growth, upgrade of A1237/A59 roundabout, lower long term subsidy risk and availability of funding from developments.
33. **Askham Bar** is considered to be the second priority site due to good benefit to cost ratio, known suppressed demand, large market, key gateway for city, link with York Central development, increased revenue opportunity and funding contributions available from existing site sale and developments.
34. **Clifton Moor** is considered to be the third priority site due lowest benefit to cost ratio of the 3 sites, likely need for operational subsidy, lack of direct funding contribution, available spare Park & Ride capacity to North & East of the City and lower market growth potential.
35. Three combination options have been reviewed based upon the ranking identified above.

Options-Current Estimated Capital Cost			
	Option 1	Option 2	Option 3
	All 3 Sites	Askham Bar & Poppleton Bar	Poppleton Bar & Clifton Moor
Total Capital Cost	£27.63m	£21.92m	£17.77m
Operating Subsidy Risk	Moderate	Low	High

36. The revenue impact of the new services will be dependent on the result of the procurement of the operator for the new sites, the projected patronage and the number of back trips to destinations along the route. In Option 1 the anticipated operational subsidy requirement for the Clifton Moor site and initial revenue risk for the Poppleton Bar site would be offset by the expected increased revenue income from Askham Bar (projected annual operating surplus range (-£100k to +£100k)). In Option 2 the expected increased income from Askham Bar would offset the initial revenue risk of Poppleton Bar (projected annual operating surplus range (+£50 to +£250k)). Under Option 3 it is anticipated that overall ongoing service subsidy will be required due to lower patronage levels and higher concessionary fare support (projected annual operating subsidy range (£-150 to -£50)).

Current Funding Levels

37. The Council must have an approved method of funding the proposed local contribution to the project to enable the Section 151 Officer to sign the bid application. For funding requirements which alter the existing capital programme approval from Council (or Staffing and Urgency Committee) is required before the bid is submitted. If the current bid is successful further reports will be submitted to the Council to approve funding sources in advance of the Final Approval submission to the DfT, anticipated to be later in 2012, following the receipt of tenders for the construction works.
38. The current approved local contribution includes funds from a variety of sources including the LTP, section 106 developer contributions and sale of the existing Askham Bar site. Prudential borrowing up to the value of £496k was approved in the amended budget taken to Council in June 2011. The inclusion of the value of the Sim Hills tip site, which is the location of the proposed Askham Bar site, would need approval to be confirmed by Cabinet.
39. The approved Council capital budget also includes a maintenance allocation for improvements to a section of the A59 where bus priorities are proposed in the Access York Project. The eligible spend in 2010/11 for the design of the scheme since Programme Entry Award has also been included.

Funding Source	£k
10/11 costs post Programme Entry	292
A59 Maintenance	150
LTP	1,500
CYC Capital Receipt (inc. sale of Existing Askham Bar Site)	557
Prudential Borrowing (Approved)	496
Value of Sim Hills Tip	350
Developer Contributions	400
Total	3,745

40. The following table identifies the possible site options and currently available funding levels. Lower contribution levels are available for Option 3 because the sale of the Askham Bar site and value of Sim Hills tip site can not be used.

Option Contributions at Currently Approved Funding Levels			
	Option 1	Option 2	Option 3
	All 3 Sites	Askham Bar & Poppleton Bar	Poppleton Bar & Clifton Moor
Total Capital Cost	£27.6m	£21.9m	£17.8m
Existing Local Contribution	£3.7m	£3.7m	£2.7m
DfT Contribution	£23.9m	£18.2m	£15.1m
DfT Contribution Variation	+4.3%	-20.4%	-34.1%
Local Authority Contribution	13.5%	16.9%	15.1%

41. At the current funding approval levels none of the options meet the minimum 20% contribution target levels. Option 1 has an increased DfT contribution and fails to meet the Local Authority contribution target. Both Options 2 & 3 meet the DfT contribution reduction target but have a lower Local Authority contribution than desired.

Bid and Funding Options

42. Bids with higher reductions in DfT funding are likely to be the most advantageous in the bidding process. To achieve the anticipated funding contribution levels to maximise the likelihood of success of the bid it is anticipated that the local contribution would need to be increased to meet the target levels indicated in the Changes to the DfT Funding Process section. Higher local contribution levels will be important to the DfT but are likely to be a secondary consideration to the reduction in DfT funding requirement.

43. Local Contribution levels for the project will need to be increased to achieve the levels considered necessary for a successful bid. 20% is considered the minimum appropriate. A level of 30% may increase the likelihood of success however the key criteria is considered to be the reduction in DfT contribution levels. These 2 alternative local contribution levels are provided in the following table for consideration. Contributions between 20% & 30% could be considered. Detailed provisional funding sources for these contribution options are indicated in Annex 2.

Additional Funding required to meet Targets			
	Option 1	Option 2	Option 3
	All 3 Sites	Askham Bar & Poppleton Bar	Poppleton Bar & Clifton Moor
Total Cost	£27.6m	£21.9m	£17.8m
Existing CYC	£3.7m	£3.7m	£2.7m
Additional Funding to meet 20% DfT Reduction and 20% Local Contribution Targets			
Additional CYC	£6.0m	£0.7m	£1.0m
Total CYC	£9.7m	£4.4m	£3.7m
DfT Contribution	£17.9m	£17.5m	£14.1m
DfT Contribution Variation	-21.9%	-23.5%	-38.5%
LA Contribution	35.3%	20.1%	20.8%
Additional Funding to meet 20% DfT Reduction and 30% Local Contribution Target			
Additional CYC	£6.0m	£2.9m	£2.7m
Total CYC	£9.7m	£6.6m	£5.4m
DfT Contribution	£17.9m	£15.3m	£12.4m
DfT Contribution Variation	-21.9%	-33.1%	-45.9%
LA Contribution	35.3%	30.1%	30.3%

Funding Sources

44. Subject to Cabinet approval more of the LTP funds within the existing Capital Programme could be used to increase the local contribution. Currently it is proposed to allocate £1.5m of the LTP (25% of expected grant) to the project over three years however this could be increased to up to £2.5m (40% of expected grant). This would reduce the funding available for other transport priorities across the city. However the expectation would be that the additional contribution would be covered by future s106 contributions from developments in the area such as York Northwest.
45. Other additional capital funding sources have been investigated but satisfactory conclusions have not yet been reached. These opportunities will be investigated further but have been excluded

from the bid due to their current uncertainty and the requirement for all funding to be underwritten by the Council.

46. The New Homes Bonus is a new funding arrangement designed to create a fiscal incentive to encourage local authorities to facilitate housing growth and will sit alongside the existing planning system to deliver the vision and objectives of the community and spatial strategy. It will assist with issues such as service provision and infrastructure delivery and mitigate the strain caused by population increase - transport improvements can form part of this.
47. The New Homes Bonus fund is provided in the context of reducing grants from central government which will have significant implications on the Council's total funding availability, both revenue and capital. There are concerns if too many commitments were identified against this fund at an early stage given the uncertainty and wider picture of public sector funding reductions.
48. Nationally DCLG has set aside £1b over the CSR period for NHB, including £200m in 2011/12 and £250m for each of the following years (funding beyond those levels will come from formula grant).
49. The expectation is that the NHB will be paid for 6 years as an unringfenced grant through Section 31 of the Local Government Act 2003. Funding for the first 2 years is confirmed.
50. Locally CYC received £714,000 for year 1 (2010/11) and this could result in a total payment of £4.28m over 6 years based on a net change in housing stock of +468 homes (a relatively low level of housebuilding compared to recent years). Given market conditions this provides a sensible planning level.
51. Over the next 6 years, based on 468 net additions to the housing stock each year and assuming the fund continues after the first 2 years, CYC would receive up to £15m of NHB funding (this is based on £714,000 being received each year for six years and the same amount being received again for 5,4,3,2 and 1 years respectively).
52. Guided by the LDF Core Strategy draft Infrastructure Delivery Plan a proposed CYC NHB model is being developed along the lines of
 - The additional payment on affordable housing being directly re-invested in affordable homes

- A top slice is taken to contribute to the provision of community facilities
- A proportion is invested in bringing empty homes forward
- The bulk of the funding is targeted at bringing new housing development forward (through a viability fund approach to enable/bring forward delivery) and at delivering critical transport infrastructure
- Over the early years a larger proportion (eg two thirds) would be prioritised towards housing viability as this would maximise future levels of new homes bonus
- The annual amount targeted at critical transport infrastructure would taper up over the six years (eg up to two thirds by the end of the six year period and of a larger total)

53. A separate paper will be presented to Members in the Autumn identifying options for the use of the fund. Council approval would be required to use this new funding source for the Access York Project at this stage.

Prudential Borrowing

54. Prudential borrowing could be used to meet any shortfall if it was decided not to allocate the full amount from the New Homes Bonus or if the New Homes Bonus was not received after 2012/13. In the worse case scenario all of the allocation identified to be sourced from the New Homes Bonus (up to £5m) would have to be replaced by Prudential Borrowing. The Prudential Borrowing would require additional revenue funds to cover repayments (Approx. £450k per year would be required to borrow £5m). Owing to the current revenue position additional equivalent savings would need to be identified to cover these repayments.

55. Any cost overruns on the project would also have to be covered by Council funds from the sources identified above. The Council will need to commit that any shortfall in funding is met from prudential borrowing, and agree to meet any consequential revenue implications that arise.

Revenue Implications

56. In addition to the Prudential Borrowing repayments some of the new sites may need revenue subsidy to pay for any shortfall in the operating costs. The existing Park & Ride sites operate on the basis of a license fee paid to the council. Long term income will be dependent on future procurement exercises.
57. It is expected that the Clifton Moor site would need revenue support as the fare revenues are not expected to cover the cost of operating the site. Owing to initial lower patronage levels support may also be required for the Poppleton Bar site. It is anticipated that the new Askham Bar site will operate without subsidy with additional revenues used to support the other sites.

Option 1 Funding

58. Option 1 would need additional Council Resources of approximately £6m to achieve both of the targeted contribution levels. This additional contribution level would not be possible without impacting on the council's ability to deliver other priorities.
59. The £6m additional funding projected to be required to maximise the success of an Option 1 bid would mean, in effect, the entire Clifton Moor site would be Council funded. Increased capital and revenue risks would be incurred if this site was progressed. A separate decision could be taken to fund this site independently at a later date if considered to be a high priority against other Council objectives.
60. If Option 1 is progressed through the Major Scheme process approximately £1m could provisionally be funded from the LTP in the short term, subject to Cabinet approval, with the expectation that the funds would be 'paid back' from developer contributions in the A59 corridor area.
61. The remaining £5m could be funded from the New Homes Bonus. Additional funding for the Access York Project is not needed until 2013/14 at the earliest as other funding sources can be used in the early stages of the project. For the 3 site option it is anticipated that approx. £3.5m would be required in 2013/14 and £1.5m in 2014/15. This would allow the 11/12 and 12/13 NHB contributions to be used for other priorities.

Option 2 & 3 Funding

62. The level of funding required for these options is dependent on the contribution target levels to be progressed.
63. To achieve the 20% DfT contribution and 20% local contribution targets a maximum of £1.0m of additional resources is required. This could provisionally be provided from the LTP subject to Cabinet approval but would limit the progression of other Transport schemes across the City. Alternatively the New Homes Bonus could be used subject to Staffing and Urgency Committee approval.
64. To achieve the 30% Local Contribution Level additional funds would be required. The New Homes bonus could be provide the necessary maximum of approx. £2.0m. This would principally be required in 2013/14 (Approx. £1.5m) and 2014/15 (£0.5m).
65. It is anticipated that Option 3 which includes the Clifton Moor site would need additional revenue support to cover any operational shortfall.

Council Plan Priorities

66. Phase 1 of the Access York is critical to the future economic prosperity and environmental wellbeing of the city and assists in the delivery of the following Council Plan Priorities:

Get York Moving –

- Removes traffic from the city centre
- Increases capacity of the Outer Ring Road.
- Provides bus priority for Park & Ride and service bus routes to encourage transfer to sustainable transport.
- Improves access across Outer Ring Road by walking and cycling

Create jobs and grow the economy –

- Reduces impact of congestion on business
- Provides improved public transport options for staff and customers

Protect the Environment –

- Improves air quality in the city centre
- Reduces carbon emissions.

Implications

Financial

67. The financial implications are dependent on the funding option approved. Funding requirements are identified in the Bid and Funding Option section of the Report. Further reports will be presented to Members in advance of Final Approval and throughout the progress of the project.

Human Resources (HR)

68. Subject to the success of the bid it is proposed to recruit additional project management staff on fixed term contracts for the duration of the project.

Equalities

69. The work carried out will benefit everyone in the community, either because of the opportunity to use the new Park & Ride sites or because of the benefit of reduced congestion on the roads and improved air quality. Sites will be designed to incorporate measures to ensure good accessibility.

Legal

70. Dependent on the success of the bid and timing of final approval the existing Conditional Contracts for the purchase of the land for the sites may need to be extended.

Property

71. The existing Askham Bar site will become vacant as a result of the project and be available for sale. The project will increase the Council's property assets with the operator undertaking maintenance of the sites and buildings.

Risk Management

72. The financial risk to the Council is dependent on the funding option approved. The scheme has a detailed construction phase risk register which will be managed and monitored through the delivery of the project. Major risk elements such as the acquisition of land and granting of planning consent have already been resolved.

73. At this stage in the bid process the Council commits that it has the intention and means to deliver the scheme. Final commitment to fund the construction of the scheme will be required once tenders have been received for the main elements of the scheme and final approval is received from the DfT.

Recommendations

74. It is recommended that Members note the contents of the report and identify the site and funding option to recommend to the Staffing and Urgency Committee to approve. Clear recommendations need to be provided to the Committee in the following format:

- i) Recommend Option X is progressed
- ii) Recommend the approval of the funding approach identified in Option XX of Table 1 of Annex 2
- iii) Recommend the approval of the allocation of £X.Xm from within the existing Council Capital Programme
- iv) Recommend the approval of the increased allocation of LTP grant funding (to £X.Xm) to the scheme, as part of the local contribution, with the expectation that additional developer contributions will be used when received.
- v) Recommend the approval of the use of £X.Xm from the New Homes Bonus and/or Prudential Borrowing, with the actual split to be determined at a later date, with a commitment to fund any shortfall in funding from prudential borrowing, and to agree to meet any consequential revenue implications that arise.
- vi) Recommend the approval of the use of the £350k value of the Sim Hills tip site as part of the Council's contribution.
- vii) Note the additional risk to the Council, such as funding all cost overruns, which result from the changes to the DfT funding processes.
- viii) Note the increased revenue risk from operating additional Park & Ride Services.

Reason: To maximise the likelihood of a successful bid for funds from the DfT.

Contact Details

Author: **Cabinet Member Responsible for the report:**

Tony Clarke **Cllr D M Merrett**

Acting Head of Sustainable
Transport
Ext 1461

Report Y **Date** *26 August*
Approved

Specialist Implications Officer(s):

Finance: Patrick Looker Finance Manager City Strategy

Wards Affected: All

For further information please contact the author of the report

Background Papers:

- (1) Access York Phase 1 Park & Ride Development – Update Report Following Programme Entry – to the Executive 13 April 2010.
- (2) Update Report to City Strategy Decision Session – 1 Feb 2011

Annexes

Annex 1 – Site and Option Advantages and Disadvantages
Annex 2 -- Detailed Provisional Funding Allocations

Annex 1 Comparison of Sites and Options

Table 1 Comparison of Sites

Askham Bar	A59 Poppleton Bar	Clifton Moor
1100 Spaces (phase 1)	600 Spaces (phase 1)	500 spaces (phase 1)
Potential to increase to 1250	Potential to increase to 1200	Potential to increase to 600
Advantages		
<ul style="list-style-type: none"> • Existing Route - Gateway site to city from main trunk road network and population centres to West and South of city via A1/A64 • Known suppressed demand • Part of existing contract – variation required. • Increased Patronage expected with York Central Development • Over 10% contribution (up to approx. £1m) from sale of existing site and value of Sim Hills. • High Benefit to Cost Ratio 	<ul style="list-style-type: none"> • New corridor and market for travellers from Harrogate and North/North West via A1. • Includes upgrade of most congested roundabout on busiest section of ORR. • Reduces number of trips on ORR to Rawcliffe Bar. • Provides improved access and new public transport service to Northminster Business Park. • Facilitates development at British Sugar and York Central • High potential patronage growth with future York Central Development 	<ul style="list-style-type: none"> • New route serving hospital and new area of city centre (Monkgate - Goodramgate) • New express service out from City Centre to Clifton Moor business/retail park • Good Benefit to Cost Ratio (lowest of 3 sites)

	<ul style="list-style-type: none"> • Provides bus priority for public transport on Boroughbridge Road • Highest Benefit to Cost Ratio of 3 sites • Funding contributions available from developments in area 	
Disadvantages		
<ul style="list-style-type: none"> • Higher construction cost and risk due to former tip site • Existing Corridor – New market not targeted 	<ul style="list-style-type: none"> • Additional revenue cost to operate new service – market may take time to develop but expected to operate without subsidy • Spare Park & Ride capacity (except at peak times) already available at Rawcliffe Bar to north of city.. 	<ul style="list-style-type: none"> • Operational subsidy expected to be required due to limited potential market, high concessionary passenger numbers and small car park size. • Spare Park & Ride capacity available at Rawcliffe Bar (except at peak times) and Monks Cross to north and east of city • Limited potential for bus priority measures • No direct external funding contributions available

Table 2 – Broad Comparison of Site Options

	Option 1	Option 2	Option 3
	All 3 Sites	Poppleton & Askham	Poppleton & Clifton Moor
BCR (Benefit Cost Ratio)	4.3	4.7	Lower than 4.5 Additional evaluation required.
Pros	<ul style="list-style-type: none"> Keeps strategic approach Completes the P&R network – covers all key radials Needed for ‘baseline’ transport improvements All 3 sites are fundamental to addressing York’s congestion issues Provides greater scope/support for other more radical measures 	<ul style="list-style-type: none"> Targets ‘full’ site at Askham Links to A64/Leeds corridor Best BCR’s Most viable routes for operators More scope to fund Clifton from NHB & CIL Could be progressed as a phased approach (2 sites first) 	<ul style="list-style-type: none"> Targets missing northern radial route Links in hospital & YSJ Creates 2 completely new sites Scope for 2 way links to Clifton Moor Ties in with LSTF focus Could be progressed as a phased approach (2 sites first)
Cons	<ul style="list-style-type: none"> Needs greater local contributions to make scheme attractive Includes weaker BCR of Clifton Moor Site Doesn’t offer up a reduction in scope to DfT 	<ul style="list-style-type: none"> Already provision at Askham Bar No link to hospital 	<ul style="list-style-type: none"> Clifton least viable for operators There is significant spare capacity at other ‘northern’ Monks Cross & Rawcliffe Bar P&R sites (at peak times 300 from 750 spaces are free at Monks Cross and over 550 free from 1000 at Rawcliffe)

			Bar) • Doesn't address 'full to capacity' issue at Askham Bar
--	--	--	--

	Option 1	Option 1a	Option 2	Option 2a	Option 2b	Option 3	Option 3a	Option 3b	
	3 Site Package	3 Site Package Target Contributions	2 Site AB & PB	2 Site AB & PB Target Contributions	2 Site AB & PB Target Contributions	2 Site PB & CM	2 Site PB & CM Target Contributions	2 Site PB & CM Target Contributions	Comments
DfT Contribution Reduction Target		20		20	20		20	20	
Local Authority Contribution Target		30		20	30		20	30	
Funding Sources									
Council Contribution	Current Budget	Addn CYC Contrib'n	Current Budget	Addn CYC Contrib'n	Addn CYC Contrib'n	Current Budget	Addn CYC Contrib'n	Addn CYC Contrib'n	
	£	£	£	£	£	£	£	£	
10/11 costs post Programme Entry	292,000	292,000	252,000	252,000	252,000	89,000	89,000	89,000	Scheme Design Costs (Funded from LTP)
A59 Water End Maintenance	150,000	150,000	150,000	150,000	150,000	150,000	150,000	150,000	Already Included in Highways Budget
LTP	1,500,000	1,500,000	1,500,000	1,500,000	1,500,000	1,500,000	1,500,000	1,500,000	Approx. £6m Total Grant over 3 years
CYC Capital Receipt (inc. sale of Existing Askham Bar Site)	557,000	557,000	557,000	557,000	557,000	57,000	57,000	57,000	£500k Value of existing Askham Bar site assumed
Prudential Borrowing (Approved)	496,000	496,000	496,000	496,000	496,000	496,000	496,000	496,000	Approved June 2011
Value of Sim Hills Tip	350,000	350,000	350,000	350,000	350,000				Independent Valuation
Additional Council Contribution		5,000,000	0	0	2,200,000	0	0	1,700,000	Additional allocation (e.g. NHB/ Prudential Borrowing)
Developer Contributions. Provisionally funded from LTP in short term		1,000,000	0	700,000	700,000		1,000,000	1,000,000	Provisionally funded from LTP in short term. Future funding from developments in Area (York North West)
Total Council Contribution	3,345,000	9,345,000	3,305,000	4,005,000	6,205,000	2,292,000	3,292,000	4,992,000	
3rd Party Contribution									
s106 (Received)	300,000	300,000	300,000	300,000	300,000	300,000	300,000	300,000	Northminster, York Business Park etc.
s106 (Approved - not yet received)	100,000	100,000	100,000	100,000	100,000	100,000	100,000	100,000	Terrys Development
Total 3rd Party Contribution	400,000	400,000	400,000	400,000	400,000	400,000	400,000	400,000	
Total Local Contribution	3,745,000	9,745,000	3,705,000	4,405,000	6,605,000	2,692,000	3,692,000	5,392,000	
Overall Contributions									
	£	£	£	£	£	£	£	£	
Original Cost (Programme Entry)	25,521,126	25,521,126	19,574,176	19,574,176	19,574,176	13,468,784	13,468,784	13,468,784	
Total Current Bid Cost	27,631,657	27,631,657	21,921,720	21,921,720	21,921,720	17,767,553	17,767,553	17,767,553	
Proposed DfT Contribution	23,886,657	17,886,657	18,216,720	17,516,720	15,316,720	15,075,553	14,075,553	12,375,553	
Original DfT Contribution (3 Site)	22,890,000	22,890,000	22,890,000	22,890,000	22,890,000	22,890,000	22,890,000	22,890,000	
DfT Contribution Reduction	4.35%	-21.86%	-20.42%	-23.47%	-33.09%	-34.14%	-38.51%	-45.93%	
Local Authority Contribution	13.55%	35.27%	16.90%	20.09%	30.13%	15.15%	20.78%	30.35%	

Anticipated Annual Operating Surplus/Deficit	-£100k to +£100k	£50k to £250k	-£150k to -£50k
Potential Operating Subsidy Risk	Moderate	Low	High

Cost Estimates

	Original Outturn	Current Outturn	10/11 Design	Total (inc. 10/11)	Variation	
Askham Bar	7,521,834	9,661,103	203,000	9,864,103	2,342,269	
Poppleton Bar	12,052,342	12,008,616	49,000	12,057,616	5,274	
Clifton Moor	5,946,950	5,669,937	40,000	5,709,937	-237,013	
Package	25,521,126	27,339,657	292,000	27,631,657	2,110,531	

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Cabinet**6 September 2011**

Report of the Cabinet Member for City Strategy

PRELIMINARY FLOOD RISK ASSESSMENT**Summary**

1. This report requests members to approve the Preliminary Flood Risk Assessment carried out to comply with the Flood Risk Regulations (2009). This implements the requirements of the European Floods Directive, which aims to provide a consistent approach to managing flood risk across Europe.
2. City of York Council is a Lead Local Flood Authority (LLFA) as defined in the Regulations, and has responsibility for preparing the deliverables of the Flood Risk Regulations for 'local flood risk' (flooding from surface runoff, ordinary watercourses and groundwater). The Environment Agency (EA) has responsibility for preparing the deliverables of the Flood Risk Regulations for flooding from Main Rivers and the Sea.

Background

3. Members of the Economic & City Development Overview & Scrutiny Committee were informed on 5 April 2011 of progress on the preparation of the Preliminary Flood Risk Assessment, required under the Flood Risk Regulations 2009. By that date work on the PFRA was largely complete but had highlighted a possible anomaly in the number of properties at risk of flooding. The EA had produced a national assessment of surface water flood risk in the form of mapping datasets. Using this, the number of properties at risk of surface water flooding in the York area had been estimated. For a rainfall event with a 1 in 200 annual chance of occurring, 11,500 properties were assessed to be at risk from flooding to a depth of 0.1m and 1,700 at a risk of flooding to a depth of 0.3m.
4. Concerns over the magnitude of these figures had delayed the completion of the report and was being clarified with the EA, but

the initial findings were presented to the scrutiny committee in an accompanying briefing note. This concluded that there was not a significant risk of surface water, groundwater, watercourse or canal flooding in the City of York area, assessed in accordance with the national guidance. "i.e. more than 30,000 properties affected."

5. The committee resolved that the report and additional briefing paper be noted, to enable an agreed PFRA report to subsequently be presented to the Executive (as it then was) and the EA in accordance with their statutory timetable. The PFRA report is now agreed with the EA with the same conclusion and is included as Annex 1.
6. The PFRA has assessed past floods that have had significant harmful consequences for human health, economic activity or the environment, or could have harmful consequences if they were to occur now. Records of past surface water flooding were reviewed, primarily those relating to the consequences of intense rainfall in June 2007 when several areas across the City were affected by very localised rainfall. Based on the evidence that was collected, no past flood events were considered to have had 'significant harmful consequences' within the Government's definition.
7. The PFRA has also considered the potential risk of future flooding, using hydraulic modelling by the EA to predict the potential impact of flooding on people, property and the environment. The events modelled are in excess of any experienced or recorded in York to date and future flood events were not considered to have 'significant harmful consequences' within the Government's definition.
8. It was also found that there was no significant risk of flooding from groundwater, canals and ordinary watercourses.
9. A comparison of the fluvial flood maps, which show flooding caused by long duration steady rainfall in the wider catchment, with the surface water flood maps, showing flooding caused by short, localised and high intensity rainfall, indicates different flooded areas, the latter almost always distant from watercourses. On this basis it was concluded that there is no interaction between surface water and river flooding due to the different type rainfall which causes each type of flooding.

10. The final stage of the PFRA process is to identify 'Flood Risk Areas' calculated by the EA using a threshold defined nationally by ministers at the Department for food and rural affairs (Defra). An indicative 'Flood Risk Area' has been identified where clusters of at least 30,000 people have been identified as being at risk of flooding from local sources. Of the ten indicative 'Flood Risk Areas' that have been identified nationally by the EA and Defra, none are located in York and City of York is not proposing to add a new 'Flood Risk Area' for the purposes of the PFRA.
11. The draft report was submitted to the Environment Agency by the required date of 22 June and has now been agreed.
12. In accordance with the Flood Risk Regulations the PFRA is to be reviewed on a six yearly cycle. To support future reviews City of York Council will:
 - Complete its Surface Water Management Plan.
 - Further develop its data recording processes and tools, including a flood incidents database and an asset register.
 - Develop a Local Flood Risk Management Strategy

This work will refine the findings of national modelling, referred to in paragraph 3, which was carried out to provide initial information on the effects of surface water flooding for the completion of the PFRA exercise. Officers concerns about the high numbers of properties shown at risk by this modelling will be addressed by these more local and focussed studies.

Consultation

13. Consultation with the EA, IDBs and YWS took place in writing the PFRA.

Options

14. There are no options to consider as the PFRA is a statutory duty on the Council.

Council Plan Priorities

15. The PFRA is a high level assessment of existing surface water flood risk and does not contain specific proposals for action.

However, used in conjunction with the Strategic Flood Risk Assessment it will be used to guide development away from flood risk areas. This assists in the delivery of three of these priorities:

Get York Moving – helps to protect critical infrastructure from flooding

Create jobs and grow the economy – managing the impact of flooding and guide development away from flood risk areas.

Protect Vulnerable People – identifying flood risk areas and potential protection.

Protect the Environment – Ensure that development takes flood risk into account.

Implications

16. There are no financial implications as Defra has provided funding through a grant of £10,000 for carrying out the PFRA. There are no Human Resources, Equalities, Legal, Crime and Disorder, Information Technology or Property implications.

Risk Management

17. Implementation of the Flood Risk Regulations is necessary to comply with the EC Floods Directive and the government would risk considerable infraction penalties in the event of non-compliance. There is a risk to the Council's reputation if it does not complete the PFRA in accordance with the required timetable.

Recommendations

18. It is recommended that Members:

- i) Approve the PFRA report

Reason: To enable the Council to meet its statutory obligation under the Flood Risk Regulations 2009.

Contact Details

Author:

Michael Tavener
Flood Risk Manager
Ext 1473

Cabinet Member Responsible for the report:

Cllr D M Merrett

Report
Approved ✓

Date 22/8/11

Specialist Implications Officer(s):

None

Wards Affected: All

For further information please contact the author of the report

Background Papers:

Flood and Water Management Act - Report of the Director of City Strategy to the Executive, 2 November 2010

Preliminary Flood Risk Assessment - Report of the Director of City Strategy to the Economic & City Development Overview & Scrutiny Committee, 25 January 2011

Preliminary Flood Risk Assessment Report of the Director of City Strategy to the Economic & City Development Overview & Scrutiny Committee on 5 April 2011

Briefing Note to Economic & City Development Overview & Scrutiny Committee on 5 April 2011

Annex 1

PFRA report



Preliminary Flood Risk Assessment

July 2011



City of York Council

Preliminary Flood Risk Assessment Report

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Abbreviations

Acronym	Definition
AStSWF	Areas Susceptible to Surface Water Flooding
CFMP	Catchment Flood Management Plan
CYC	City of York Council
Defra	Department for Environment, Food and Rural Affairs
EA	Environment Agency
EC	European Commission
FMfSW	Flood Map for Surface Water
FWMA	Flood & Water Management Act 2010
IDB	Internal Drainage Board
IUD	Integrated Urban Drainage
LDF	Local Development Framework
LLFA	Lead Local Flood Authority
LoSA	Level of Service Agreements
LPA	Local Planning Authority
LRF	Local Resilience Forum
MoU	Memorandums of Understanding
PPS25	Planning and Policy Statement 25: Development and Flood Risk
PFRA	Preliminary Flood Risk Assessment
RBD	River Basin District
RFDC	Regional Flood Defence Committee
SAB	SuDS Approving Body
SFRA	Strategic Flood Risk Assessment
SuDS	Sustainable Drainage Systems
SWMP	Surface Water Management Plan
WAG	Welsh Assembly Government
YWS	Yorkshire Water Services



Executive Summary

Under the EC Floods Directive, which has been transposed into UK law through the Flood Risk Regulations (2009), City of York Council is required to undertake a Preliminary Flood Risk Assessment (PFRA) to assess the harmful consequences of past and potential future flooding, and to identify areas of significant flood risk ('flood risk areas').

City of York Council is a Lead Local Flood Authority (LLFA) as defined in the regulations, and has responsibility for preparing the deliverables of the Flood Risk Regulations for 'local flood risk' (flooding from surface runoff, ordinary watercourses and groundwater). The Environment Agency has responsibility for preparing the deliverables of the Flood Risk Regulations for flooding from Main Rivers and the Sea.

The PFRA process is aimed at providing a high level overview of flood risk from local flood sources, including surface water, groundwater, ordinary watercourses and canals. As a LLFA, City of York Council must submit their PFRA to the Environment Agency for review by 22nd June 2011. The methodology for producing this PFRA has been based on the Environment Agency's Final PFRA Guidance and Defra's Guidance on selecting Flood Risk Areas, both published in March 2011.

The first stage of the PFRA is to assess past floods that have had significant harmful consequences for human health, economic activity or the environment, or could have harmful consequences if they were to occur now. Little information on past flooding was available but that relating to one event in 2007, caused by flooding from local sources, was collected and analysed. This provided limited information but based on the evidence that was collected; no past flood events were considered to have had 'significant harmful consequences'.

The PFRA has also considered the potential risk of future flooding. This has been based on hydraulic modelling which predicts the potential impact of flooding on people, property and the environment. The best available information on potential future floods is the national Surface Water maps produced by the Environment Agency. This has been used to inform an assessment of the numbers and types of properties in York that are vulnerable to surface water flooding during an extreme rainfall event. The events modeled are in excess of any experienced or recorded in York to date.

The final stage of the PFRA process is the identification of 'Flood Risk Areas'. Indicative 'Flood Risk Areas' have been calculated by the Environment Agency using a threshold defined nationally by ministers at the Department for food and rural affairs (Defra). An indicative 'Flood Risk Area' has been identified where clusters of at least 30,000 people have been identified as being at risk of flooding from local sources.

Of the ten indicative 'Flood Risk Areas' that have been identified nationally by the Environment Agency and Defra, none are located in York and City of York is not proposing to add a new 'Flood Risk Area' for the purposes of the PFRA.



1 Introduction

1.1 Preliminary Flood Risk Assessment

The chief drivers behind the preparation of the PFRA report are two sets of new legislation: the Flood Risk Regulations (The Regulations), which came into force on the 10th December 2009, and the Flood & Water Management Act (FWMA) which gained Royal Assent on the 8th April 2010. Under these pieces of legislation, all Unitary Authorities, and in two-tier systems, all County Councils, are designated a Local Lead Flood Authority (LLFA) and have formally been allocated a number of key responsibilities with respect to local flood risk management. A full description of these responsibilities is provided in Chapter 2.

The purpose of the Flood Risk Regulations was to transpose the EC Floods Directive (Directive 2007/60/EC on the assessment and management of flood risk) into domestic law in England and Wales and to implement its provisions. In particular it places duties on the Environment Agency and LLFAs to prepare a number of documents including:

- Preliminary Flood Risk Assessments;
- Flood hazard and flood risk maps;
- Flood Risk Management Plans.

Table 1-1 shows the elements of work required from City of York Council under the Flood Risk Regulations 2009, along with the timescales of their respective delivery. The first two elements of work are covered by the preparation of this PFRA report.

Table 1-1: Elements of Work required under the Flood Risk Regulations 2009

22 June 2011	Prepare Preliminary Assessment Report.	<i>The PFRA should focus on local flood risk from surface water, groundwater, ordinary watercourses and canals.</i>
22 June 2011	On the basis of the PFRA, identify Flood Risk Areas.	<i>Flood Risk Areas are areas of significant risk identified on the basis of the findings of the PFRA, national criteria set by the UK Government Secretary of State and guidance provided by the Environment Agency.</i>
22 June 2013	Prepare Flood Hazard Maps and Flood Risk Maps for each Flood Risk Area.	<i>Used to identify the level of hazard and risk of flooding within each Flood Risk Area to inform Flood Risk Management Plans.</i>
22 June 2015	Prepare Flood Risk Management Plans for each Flood Risk Area.	<i>Plans setting out risk management objectives and strategies for each Flood Risk Area.</i>



The required scope of this PFRA is to consider past flooding and possible future flooding from the following local flood sources:

- Surface water;
- Groundwater;
- Ordinary watercourses; and
- Canals.

It is also required that the PFRA report must consider floods which have significant harmful consequences for human health, economic activity and the environment.

The regulations do not require a LLFA to include in its PFRA report details of flooding associated with the sea, main rivers and reservoirs as this is the responsibility of the Environment Agency, unless it is considered that it may affect flooding from one of the sources listed above.

1.2 Aims and objectives

The PFRA is a high level screening exercise to identify areas of most significant flood risk across Europe. The aim of this PFRA is to provide an assessment of local flood risk across the study area, including information on past floods and the potential consequences of future floods.

The key objectives can be summarised as follows:

- Identify relevant partner organisations involved in future assessment of flood risk; and summarise means of future and ongoing stakeholder engagement;
- Describe arrangements for partnership and collaboration for ongoing collection, assessment and storage of flood risk data and information;
- Provide a summary of the systems used for data sharing and storing, and provision for quality assurance, security and data licensing arrangements;
- Summarise the methodology adopted for the PFRA with respect to data sources, availability and review procedures;
- Assess historic flood events within the study area from local sources of flooding (including flooding from surface water, groundwater and ordinary watercourses), and the consequences and impacts of these events;
- Establish an evidence base of historic flood risk information, which will be built up on in the future and used to support and inform the preparation of York's Local Flood Risk Strategy;
- Assess the potential harmful consequences of future flood events within the study area;
- Review the provisional national assessment of indicative Flood Risk Areas provided by the Environment Agency and provide explanation and justification for any amendments required to the Flood Risk Areas.

1.3 Study Area

The study area for this PFRA is defined by the administrative boundary of City of York Council, a small Unitary Authority located in the flat Vale of York in North Yorkshire. The geographical extent of this area is shown in figure 1.

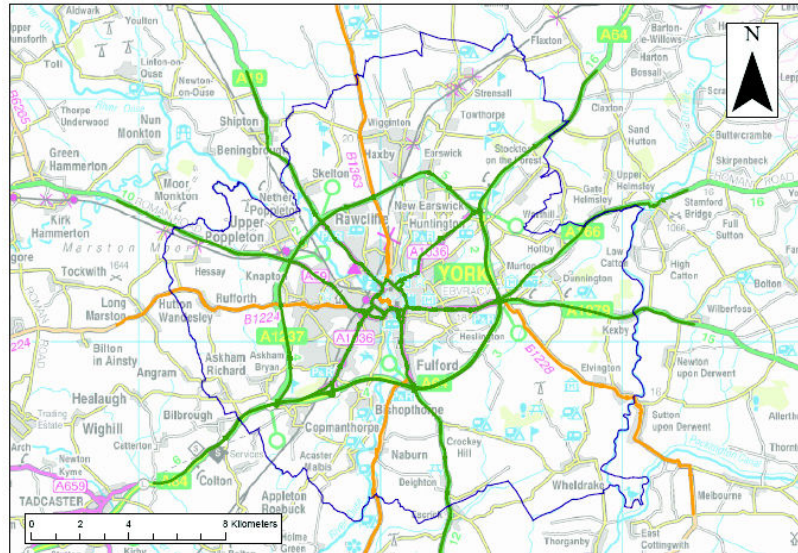


Figure 1 – Geographical Extent of City of York Unitary Authority

In April 1996 York City Council became the larger City of York Council Unitary Authority, covering an area of approximately 275 km², with its boundaries extended to include a rural belt with many villages of various sizes which were formerly within the Ryedale, Selby and Harrogate District Council areas. It is bordered by North Yorkshire County Council on its northern, western and southern boundaries, and by East Riding of Yorkshire Council on its eastern boundary, which is formed by the river Derwent. The study area has no coastline. The geographical context of the authority area is shown in figure 2.

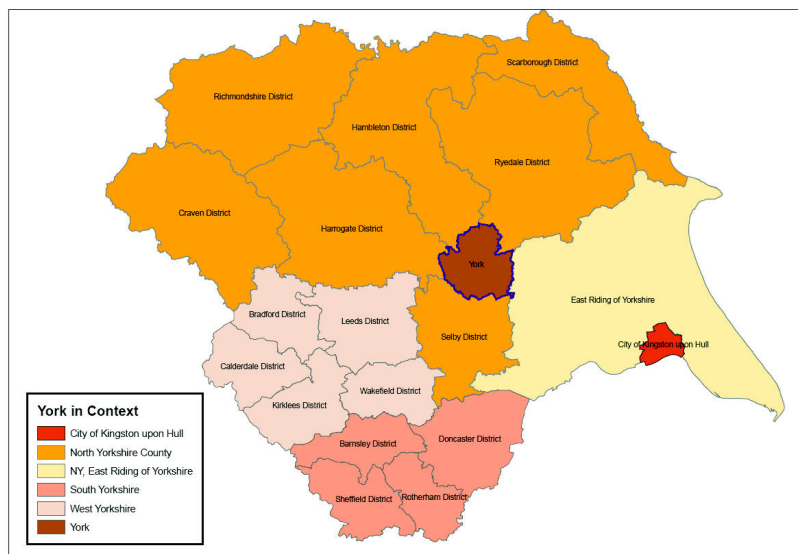


Figure 2 – Geographical Context of City of York Unitary Authority



The study area is within the Humber Basin district. The majority is within the Ouse catchment with a strip near the eastern boundary being in the Derwent catchment. It is within the Yorkshire and North East Environment Agency Region and is represented on the Yorkshire Regional Flood and Coastal Committee (YRFCC) to which it pays a levy. The area is served by one water company, Yorkshire Water Services.

The study area is overlapped by four Internal Drainage Boards, Ainsty (2008), Foss (2008), Kyle and Upper Ouse, and Ouse and Derwent. The Council pays a Special Levy to all of these and is able to nominate members, though not all of these places are currently taken. One Council officer has been a nominated member of all Boards since shortly after the creation of the Unitary authority.



2 Lead Local Flood Authority responsibilities

The preparation of a PFRA is one of several responsibilities of LLFAs under the new legislation. This section provides a brief overview of other responsibilities the Council is obliged to fulfill under their role as a LLFA.

2.1 Coordination of Flood Risk Management

In his review of the summer 2007 flooding, Sir Michael Pitt stated *“the role of local authorities should be enhanced so that they take on responsibility for leading the coordination of flood risk management in their areas”*. As the designated LLFA, CYC is therefore responsible for leading local flood risk management in its area.

It is well known that York suffers frequent flooding from the rivers Ouse and Foss, and to a lesser extent the river Derwent. The effects are well recorded, predictable and subject to a well rehearsed response plan. Because of this there is a longstanding relationship between the various partners involved, and both the River Flood Emergency Plan and Multi Agency Plan are reviewed annually.

Due to the increasing frequency of non river flooding, these reviews include discussions of the effects of surface water flooding and response. In addition to the various Directorates within the Council and the emergency services the participants are:

2.1.1 The Environment Agency

The Council has had a good working relationship with the Environment Agency since its inception in 1996, and with its predecessors before that. Its drainage engineers have always worked closely with the Agency’s officers in all aspects of flood risk management, particularly in managing the frequent fluvial flood events that affect York and also in liaison over planning issues.

2.1.2 Internal Drainage Boards

There are four Internal Drainage Boards around York to which the council pays a special levy and may nominate members. Since 1998 one of these nominees has been a council drainage engineer and as a result the council's drainage engineers enjoy a good working relationship with all of the Boards. Within their Districts the IDBs are responsible for managing flood risk from ordinary watercourses.

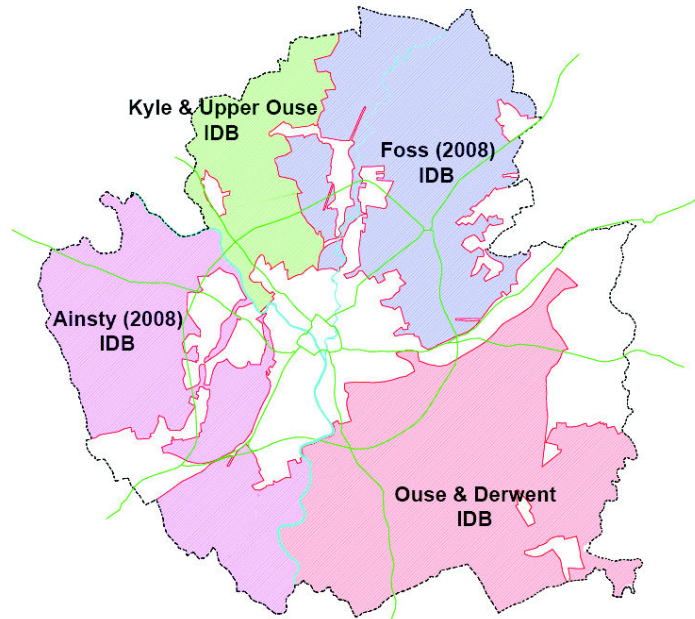


Figure 3 – IDB Districts

2.1.3 Yorkshire Water Services Ltd

Until 1998 the council were sewerage agents for YWS and engineers familiar with the network are still employed by the council in the drainage team. Since the loss of the agency they have continued to liaise with YWS engineers in investigating drainage problems and this relationship has been strengthened by the signing of an information sharing protocol following the enactment of the Flood and Water Management Act 2010.

The Council is a member of the North Yorkshire Flood Risk Partnership, comprising CYC and NYCC elected members and officers, YWS, EA, IDB and the RFCC. This meets quarterly.

Neither the Council's own area nor the immediate surrounding areas have suffered surface water flooding on a significant scale at any location. Localised discrete areas have been recorded to flood from more intense rainfall events, the locations of which are largely confirmed by the EA mapping. Many of these have already been proactively investigated by the Council with the EA, IDB and YWS in conjunction with local ward members, parish councils and residents as necessary. These are continuing to be investigated in the ongoing Surface Water Management Plan.



2.2 Communication with partners and the public

On the basis of the foregoing information a formal partnership has not specifically been set up as all interested parties are in regular dialogue regarding flooding issues. The Council will liaise appropriately when planning and carrying out investigations and, where considered necessary, formalise arrangements.

2.3 Further Responsibilities

Besides coordinating and leading on local flood management, there are a number of other key responsibilities that have arisen for Lead Local Flood Authorities from the Flood & Water Management Act and the Flood Risk Regulations. These responsibilities include:

- **Investigating flood incidents** – LLFAs have a duty to investigate and record details of significant flood events within their area. This duty includes identifying which authorities have flood risk management functions and what they have done or intend to do with respect to the incident, notifying risk management authorities where necessary and publishing the results of any investigations carried out.
- **Asset Register** – LLFAs have a duty to maintain a register of structures or features that are considered to have an effect on flood risk, including details on ownership and condition as a minimum. The register must be available for inspection and the Secretary of State will be able to make regulations about the content of the register and records.
- **SuDS Approving Body** – LLFAs are designated the SuDS Approving Body (SAB) for any new drainage system, and therefore must approve, adopt and maintain any new sustainable drainage systems (SuDS) within their area.
- **Local Strategy for Flood Risk Management** – LLFAs are required to develop, maintain, apply and monitor a local strategy for flood risk management in its area. The local strategy will build upon information such as national risk assessments and will use consistent risk based approaches across different local authority areas and catchments.
- **Works powers** – LLFAs have powers to undertake works to manage flood risk from surface runoff and groundwater, consistent with the local flood risk management strategy for the area.
- **Designation powers** – LLFAs, as well as district councils and the Environment Agency have powers to designate structures and features that affect flooding or coastal erosion in order to safeguard assets that are relied upon for flood or coastal erosion risk management.



3 Methodology and data review

The PFRA is a high level screening exercise used to identify areas where the risk of flooding is considered to be significant and warrants further examination and management through the production of flood risk and flood hazard maps, and flood risk management plans. It must include an assessment of past floods which had significant harmful consequences for human health, economic activity or the natural/cultural environment, or which would have harmful consequences if they reoccurred.

For the purpose of this report a consequence is defined as significantly harmful in accordance with nationally agreed criteria, which is if one or more of the following have been affected within a 1km² area:

- Greater than 200 people
- Greater than 1 critical service
- Greater than 20 non-residential properties

3.1 Methodology

Past Floods

The historic flood events for which York is well known have been due to main rivers and are outside the scope of this report. Information on past surface water flooding was sought within the LLFA, and from parish councils, IDBs, the Environment Agency, YWS and Network Rail. The only source of information related to an event in 2007, following which the council had actively obtained information and in some locations carried out investigations with partner organisations.

Future Floods

The PFRA must also include an assessment of the possible consequences of future floods (also known as potential floods). At the national scale the Environment Agency has produced two surface water flood maps:

- Environment Agency 'Areas Susceptible to Surface Water Flooding' national map (AStSWF) – this map, which covers England and Wales, was released in June 2009 to provide a general indication of areas which are more likely to suffer from surface water flooding, and;
- Environment Agency 'Flood Map for Surface Water' national map (FMfSW) – this map, which covers England and Wales, was released in November 2010 and provides a revised approach to mapping surface water flooding including accounting for the presence of drainage systems.

Surface Water Management Plan

A SWMP is currently being carried out covering the whole of the Council's area to improve the authority's understanding of surface water issues. The data referred to above has been used as a basis for this study.



3.2 Data Sources

Available data is summarised in tables 3-1 and 3-2.

Table 3-1: Data Sources within City of York Council.

CYC Department	Data	Description
Structures & Drainage Team	2007 Summer floods	Spreadsheet converted to GIS shape file. Position and extents validated by drainage engineer.
Communities & Neighbourhood Services	2007 Summer Floods – call out records	Spreadsheet converted to GIS shape file.
Structures & Drainage Team	2007 – 2010 Drainage Investigations	Spreadsheet converted to GIS shape file. Position and extents validated by drainage engineer.

Table 3-2: Data Sources - External Organisations.

Organisation	Data	Description
Environment Agency	Areas Susceptible to Surface Water Flooding	First generation Surface Water Flooding maps. Only 2 of the 3 bandings were used – Less and Intermediate susceptibility.
	Flood Map for Surface Water	Second generation Surface Water Flooding maps. Issued December 2010. Mapping for the 1 in 200 event was used in 2 depth bandings (greater than 0.1m and greater than 0.3m)
	Areas Susceptible to Ground Water Flooding	Made up of 1 km ² areas showing percentage of the area susceptible to flooding. Only those squares where the area at risk exceeded 75% were included in the analysis.
	National Receptors Dataset	Dataset of receptors that were used to develop subsets of receptors with local significance in respect of social, economic and cultural significance.
	Indicative Flood Risk Areas	Identified by national EA analysis
	Places Above the Flood Risk Threshold	Identified by national EA analysis
	Registered Parks and Gardens at Risk from Surface Water Flooding	Identified by national EA analysis
	Ouse and Derwent Catchment Management Plans	Provide an overview of all types of inland flood risk in each river catchment with recommendations for risk management now and over the next 50 – 100 years.
Ordnance Survey	Basemaps	Including Mastermap
Yorkshire Water Services	DG5 Records	Provided as a GIS shape file. Recorded incidents of network exceedance.
	Sewer Network Records	Surface Water, combined and foul, including Ex-section 24 sewers.



3.3 Data Analysis

The records of historic flooding were descriptive and were first converted into a geo-referenced format. This made it possible to overlay this information with surface water flood maps to confirm the link between the incident and a surface water flooding source. It also enabled the identification of specific, locally significant receptors by comparison with the National Receptors dataset.

A similar approach was taken with the assessment of future flooding where flood risk sources used were;

- Flood Map for Surface Water Flooding – 1 in 200 event with flooding greater than 0.1m.
- Flood Map for Surface Water Flooding – 1 in 200 event with flooding greater than 0.3m.

3.4 Quality Assurance, Security and Data Restrictions

A datashare protocol has been set up with YWS prior to the data exchange for this study. This format will be used in future to form the basis of agreements with other partners as necessary.

As part of this study, records were reviewed by the council's drainage engineers, but there is no formal method at present for recording the confidence in each data item.

Datasets from external partners and those developed in house are held in the corporate data repository, although as data owners of the FRM datasets the drainage team determine security access. The data is not accessible to view across the authority or in public sites but on the engineering web browser which is restricted through a secure user list and CYC log-in credentials.

4 Past flood risk

4.1 Surface Water Flooding

The Council has limited records of past surface water flooding but there is no evidence of significant flooding, as defined in chapter 3. The most comprehensive records relate to the consequences of intense rainfall in June 2007 when areas in Haxby, Wigginton, Rufforth, Strensall, Clifton, Rawcliffe, Acomb and Holgate were affected by very localised rainfall events ranging from 1 in 7 to 1 in 100 year return period. These records show that 138 locations reported flood related problems, of which 7 were believed to be habitable properties suffering from internal flooding. The flooding mostly affected roads where the rainfall exceeded the drainage infrastructure design capacity of 1 in 30 years. These flooding records correlated well with those of Yorkshire Water Services. There are no other records available from other sources.

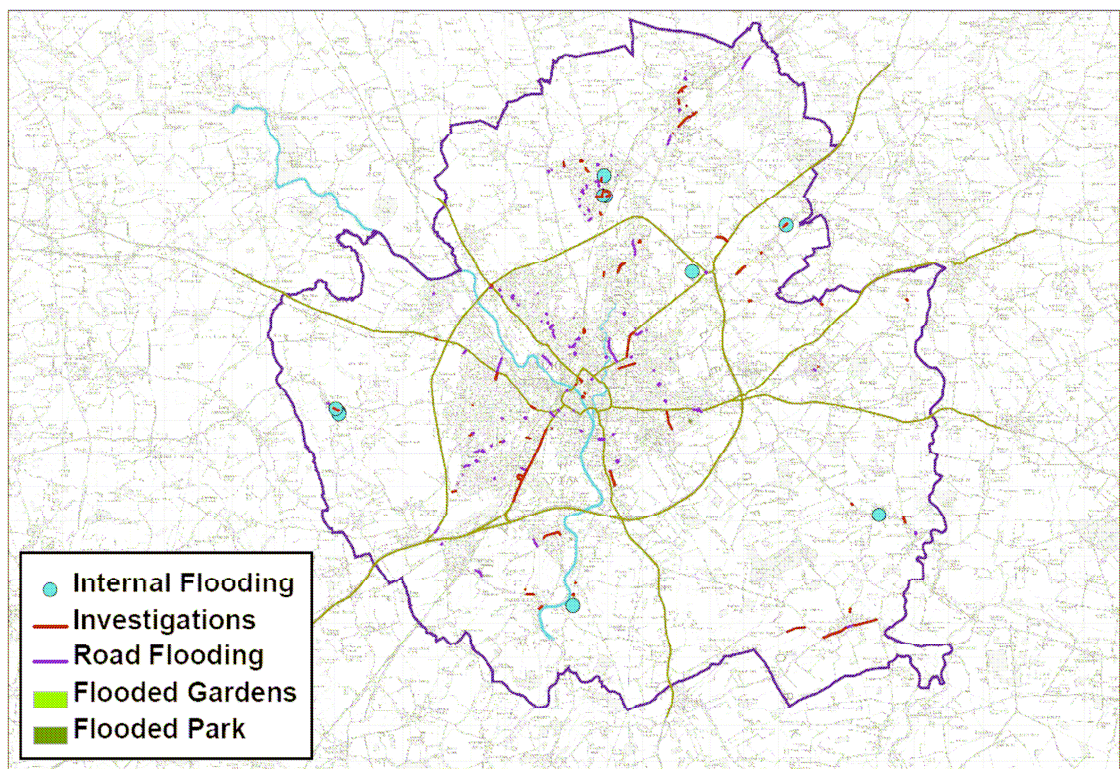


Figure 4 – Historic Recorded Flooding (2007)

4.2 Groundwater Flooding

Groundwater flooding occurs as a result of water rising up from the underlying aquifer or from water flowing from abnormal springs. This tends to occur after long periods of sustained high rainfall, and the areas at most risk are often low-lying where the water table is more likely to be at shallow depth. Groundwater flooding is known to occur in areas underlain by major aquifers, although increasingly it is also being associated with more localised floodplain sands and gravels.

The British Geological Survey maps show the bedrock in the area to consist of the Sherwood Sandstone group, a thick soft sandstone of Triassic age that forms the centre of the Vale of York. This is always classified as a Major Aquifer. Superficial deposits overlaying the sandstone consist predominantly of sands and gravels, with some clay and till. Bands of alluvium deposits intersect the City of York along the path of the River Ouse and River Foss.

The drift deposits overlying the Sherwood Sandstone are classified as a Minor Aquifer, where the drift is relatively permeable, and a Non-Aquifer, where the drift deposits are fairly thick and have low permeability.

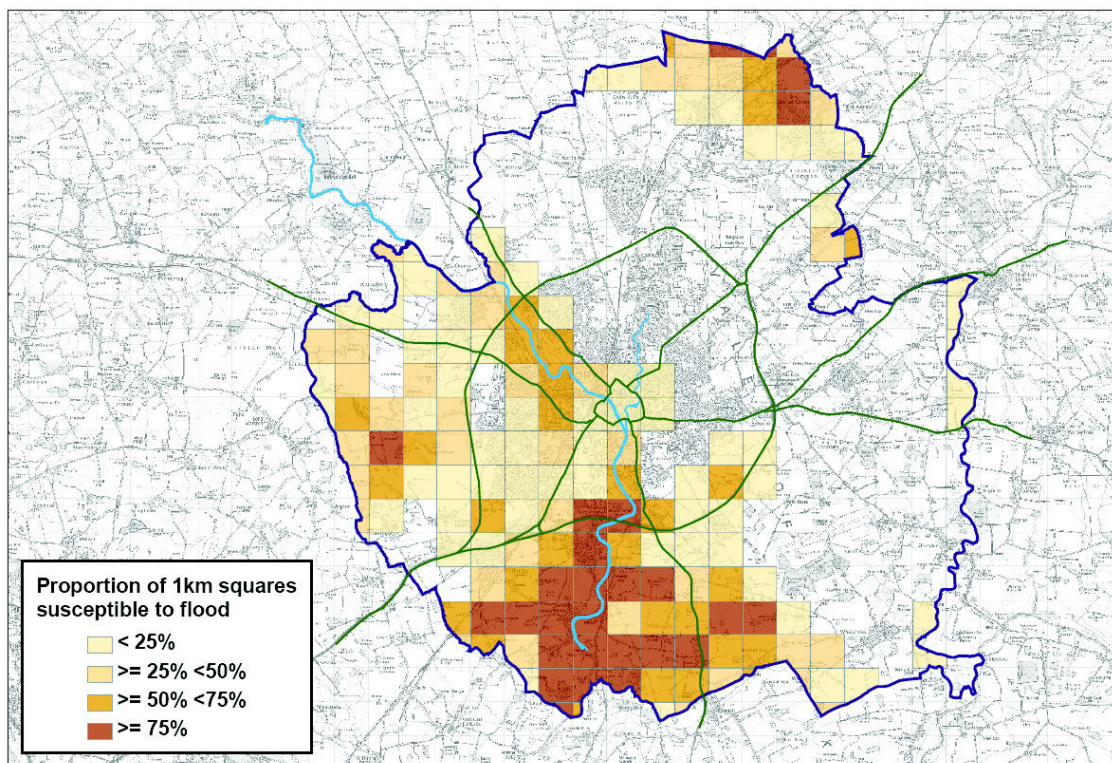


Figure 5 – Groundwater Flooding Map

Although the above map suggests a potential for groundwater flooding, the Council has no record of areas where groundwater emergence is known to be a cause of flooding.

4.3 Canal and Ordinary Watercourse Flooding

There are no artificial canals in the York area though the river Foss is a canalised main river. The effects of it flooding are recorded by the Environment Agency in their fluvial flooding mapping which falls outside this assessment.

In 2006 ordinary watercourses with potential to cause property flooding were designated main river. As a result the lower reaches of Blue Beck, Burdyke and Holgate Beck, all tributaries of the Ouse, and Tang Hall Beck and Osbaldwick Beck, tributaries of the Foss are now the responsibility of the EA. Upstream lengths of these watercourses and their tributaries are designated ordinary watercourses and are the responsibility of the Council or appropriate IDB.

The EA's Detailed River Network (DRN) showing all rivers and watercourses is reproduced as Figure 6, and Figure 3 shows the IDB districts.



Figure 6 – Detailed River Network



Within the drainage districts significant ordinary watercourses are:-

1. Flowing into the Ouse:

- Blue Beck, draining residential and commercial development in Rawcliffe and Clifton Moor north west of the city, the responsibility of Kyle and Upper Ouse IDB to Rawcliffe Lake. The lake is the responsibility of YWS and its level is controlled by them. Downstream of this to the Ouse Blue Beck is main river.
- Burdyke, draining residential and commercial development in Clifton north of the city, to the south of Bootham Stray, the responsibility of Kyle and Upper Ouse IDB. Downstream of this point to the Ouse is main river, including Burdyke pumping station.
- Holgate Beck, draining residential development in Woodthorpe, Acomb and Holgate west of the city to the north of Hob Moor, the responsibility of Ainsty (2008) IDB. Downstream of this point to the Ouse is main river including Holgate Beck pumping station.
- Germany Beck, draining residential development in parts of Heslington and Fulford including the existing and new university campuses, along with agricultural land east of the city to the River Ouse south of Fulford. The entire length is the responsibility of Ouse and Derwent IDB.

2. Flowing into the Foss:

- Westfield Beck, draining areas of residential development in Haxby, Wigginton and New Earswick north of the city to join the Foss south of New Earswick. This is the responsibility of Foss (2008) IDB. Westfield Beck pumping station, owned by YWS, diverts excess flows from the Haxby and Wigginton catchments to the river Foss to protect the downstream village of New Earswick from flooding.
- South Beck, draining Monk's Cross Retail Park and residential development in Huntington north east of the city. The upstream of length is the responsibility of Foss (2008) IDB and final 350 m to the Foss is the responsibility of CYC.
- Tang Hall Beck, draining residential development in Tang Hall and agricultural land in the upper catchment around Stockton on Forest north east of the city, the responsibility of Foss (2008) IDB to the outskirts of Heworth. Downstream is main river.
- Osbaldwick Beck, draining residential development in Osbaldwick and agricultural land in the upper catchment around Holtby and Murton east of the city, the responsibility of Foss (2008) IDB to the outskirts of Tang Hall. Downstream is main river.

3. Flowing into the Derwent:

- Elvington Beck draining residential development and agricultural land to the west of the village of Elvington, including part of the former airfield which is now in commercial and leisure use. The entire length is the responsibility of Ouse and Derwent IDB including the pumping station at the confluence of the beck and the river Derwent.



The main river reaches of Blue Beck, Burdyke, Holgate Beck, Tang Hall Beck and Osbaldwick Beck, and the ordinary watercourse Elvington Beck have all flooded property due to backing up from the Rivers Ouse, Foss and Derwent. This is fluvial flooding and therefore outside the scope of this report.

There is no evidence of historic flooding from the ordinary watercourses in the outlying rural areas covered by the four Internal Drainage Boards.

In the suburban areas,

- Westfield Beck west of Haxby reached a level in June 2007 high enough to flood gardens and roads. There were concerns that this was exacerbated by problems with Westfield Beck pumping station and the operating regime was reviewed by CYC, YWS, EA and the Foss IDB. There is confidence that its efficiency is now maximised.
- Elvington Beck has also caused surface water flooding of roads due to intense rainfall, unconnected with levels in the Derwent. Subsequent investigation revealed the cause was lack of maintenance and restricted capacity which is being addressed.

4.4 Interaction with Main Rivers and the Sea

Known surface water flooding locations are dispersed across the Council's area and recorded events do not appear to have been related to river flooding which is well documented.

4.5 Past flooding – Conclusions

On the basis of the available past flooding data, as summarised above, no historical flood events are considered to have had "significant harmful consequences" and therefore none will be recorded in Annex 1 of the Preliminary Assessment Spreadsheet. The existing database will be added to, as events occur to support future PFRAs and CYC's Local Flood Risk Management Strategy.

5 Future flood risk

5.1 Surface Water Flooding

There is no local information currently available on surface water flood risk in York but a Surface Water Management Plan is currently underway covering the whole administrative area. The results from this study will be used to support the next cycle of the PFRA process and the production of flood risk hazard and flood risk maps.

The Environment Agency has produced a national assessment of surface water flood risk in the form of two national mapping datasets. The first generation national mapping, Areas Susceptible to Surface Water Flooding (ASStWF), contains three susceptibility bandings for a rainfall event with a 1 in 200 chance of occurring. The national methodology has since been updated to produce the Flood Map for Surface Water (FMfSW), a revised model containing two flood events (1 in 30 annual chance and 1 in 200 annual chance) and two depth bandings (greater than 0.1m and greater than 0.3m).

The Flood Map for Surface Water is considered to be the best representation and is included as Figure 7 highlighting areas at risk of surface water flooding in the future.

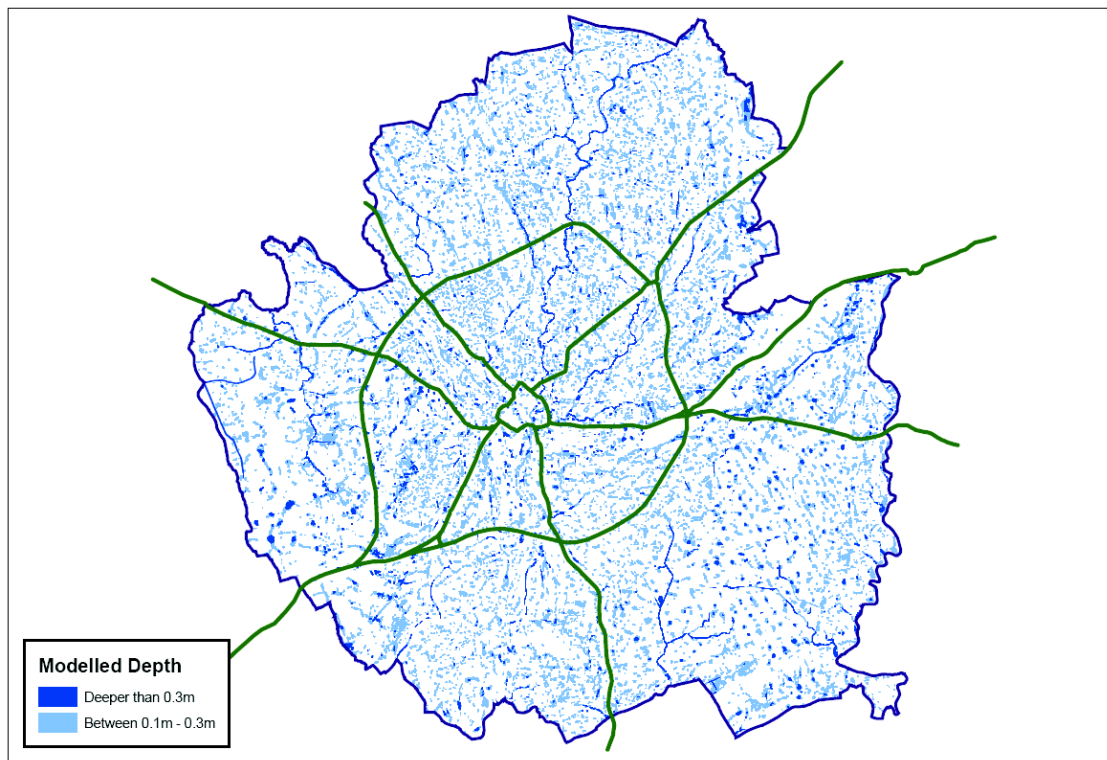


Figure 7– Flood Map for Surface Water 1 in 200 Year Event

Using this dataset, the number of properties at risk of surface water flooding in the York area has been estimated by the EA. For a rainfall event with a 1 in 200 annual chance of occurring, 11,500 properties are at risk from flooding to a depth of 0.1m and 1,700 are at a risk of flooding to a depth of 0.3m. The predicted flooding locations are dispersed throughout the area and it is considered unlikely that this number of properties would be affected simultaneously as this type of rainfall is usually very localised.

5.2 Groundwater Flooding

There is no local information available which provides evidence on future groundwater flood risk. The Environment Agency has produced a national dataset, Areas Susceptible to Groundwater Flooding, (Figure 5) and this has been used to form the basis of the assessment of future flood risk from groundwater. Groundwater emergence is not believed to be an issue.

5.3 Canals and Ordinary Watercourse Flooding

The EA's Flood Map shows the extent of fluvial flooding from the rivers Ouse and Derwent, the canalised river Foss and the enmained watercourses. It also shows the extent of flooding from ordinary watercourses. Whilst ordinary watercourse flooding largely affects rural areas, Westfield Beck in the Foss (2008) IDB area affects many properties in New Earswick. However this form of flooding is outside the scope of this report and there is no evidence of significant surface water flooding, as defined in chapter 3, at this location or from any other ordinary watercourses.

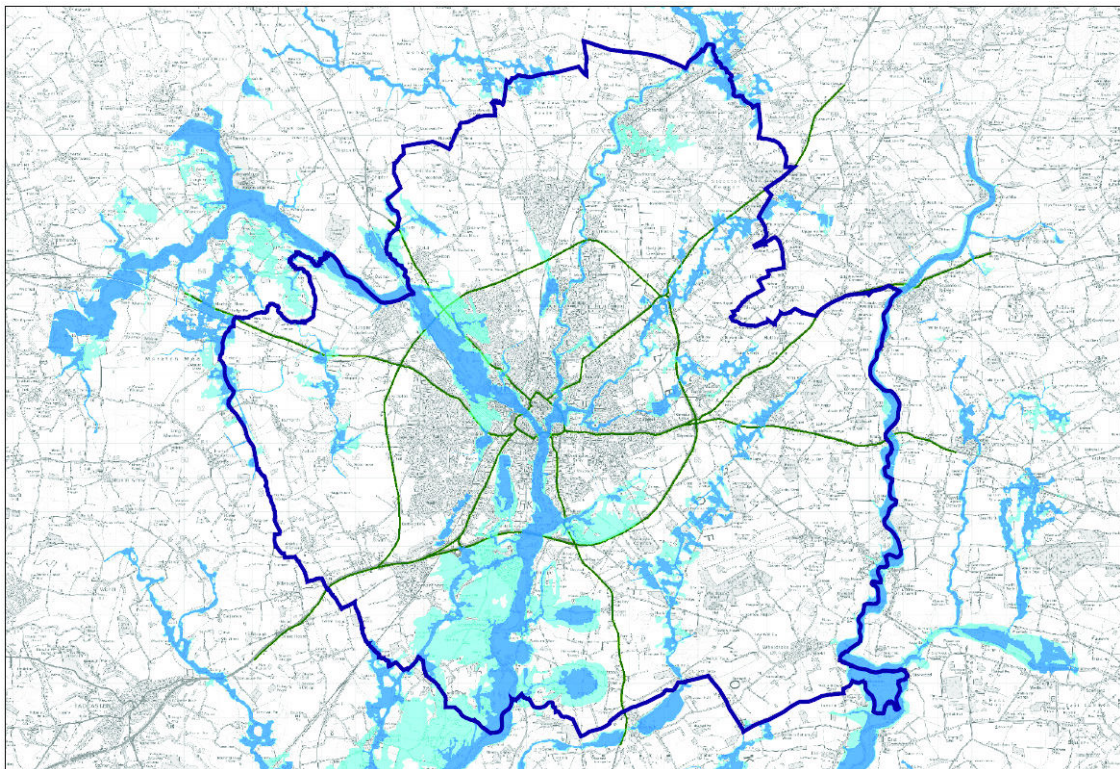


Fig 8 – Fluvial Flood Map



5.4 Interaction with Main Rivers and the Sea

An examination of the flood map for rivers and the surface water flood maps did not identify any areas where there would be a risk of surface water flooding due to an interaction with river flooding.

5.5 Locally Agreed Surface Water Information

A definition of 'locally agreed surface water information' has been considered in conjunction with the Environment Agency, Internal Drainage Boards and Yorkshire Water Services to agree what surface water information best represents local conditions.

As there is no local information on future flooding available, the 'locally agreed surface water information' is the Flood Map for Surface Water dataset, which gives an overview of the future flood risk from surface water across York and is considered to be the most appropriate source of information.

The Surface Water Management Plan currently in preparation is expected to provide more accurate information on future flood risk and will be used to update locally agreed surface water information in subsequent cycles of the PFRA process.



6 Effects of Climate Change and Long Term Developments

6.1 The impacts of climate change

6.1.1 The Evidence

There is clear scientific evidence that global climate change is happening now. It cannot be ignored.

Over the past century around the UK we have seen sea level rise and more of our winter rain falling in intense wet spells. Seasonal rainfall is highly variable. It seems to have decreased in summer and increased in winter, although winter amounts changed little in the last 50 years. Some of the changes might reflect natural variation, however the broad trends are in line with projections from climate models.

Greenhouse gas (GHG) levels in the atmosphere are likely to cause higher winter rainfall in future. Past GHG emissions mean some climate change is inevitable in the next 20-30 years. Lower emissions could reduce the amount of climate change further into the future, but changes are still projected at least as far ahead as the 2080s.

We have enough confidence in large scale climate models to say that we must plan for change. There is more uncertainty at a local scale but model results can still help us plan to adapt. For example we understand rain storms may become more intense, even if we can't be sure about exactly where or when. By the 2080s, the latest UK climate projections (UKCP09) are that there could be around three times as many days in winter with heavy rainfall (defined as more than 25mm in a day). It is plausible that the amount of rain in extreme storms (with a 1 in 5 annual chance, or rarer) could increase locally by 40%.

6.1.2 Key Projections for Humber River Basin District

If emissions follow a medium future scenario, UKCP09 projected changes by the 2050s relative to the recent past are

- Winter precipitation increases of around 12% (very likely to be between 2 and 26%)
- Precipitation on the wettest day in winter up by around 12% (very unlikely to be more than 24%)
- Relative sea level at Grimsby very likely to be up between 10 and 41cm from 1990 levels (not including extra potential rises from polar ice sheet loss)
- Peak river flows in a typical catchment likely to increase between 8 and 14%

6.1.3 Implications for Flood Risk

Climate changes can affect local flood risk in several ways. Impacts will depend on local conditions and vulnerability.

Wetter winters and more of this rain falling in wet spells may increase river flooding. More intense rainfall causes more surface runoff, increasing localised flooding and erosion. In turn, this may increase pressure on drains, sewers and water quality. Storm



intensity in summer could increase even in drier summers, so we need to be prepared for the unexpected.

Drainage systems in the district have been modified to manage water levels and could help in adapting locally to some impacts of future climate on flooding, but may also need to be managed differently. Rising sea or river levels may also increase local flood risk inland or away from major rivers because of interactions with drains, sewers and smaller watercourses. Even small rises in sea level could add to very high tides so as to affect places a long way inland.

Where appropriate, we need local studies to understand climate impacts in detail, including effects from other factors like land use. Sustainable development and drainage will help us adapt to climate change and manage the risk of damaging floods in future.

6.1.4 Adapting to Change

Past emission means some climate change is inevitable. It is essential we respond by planning ahead. We can prepare by understanding our current and future vulnerability to flooding, developing plans for increased resilience and building the capacity to adapt. Regular review and adherence to these plans is key to achieving long-term, sustainable benefits.

Although the broad climate change picture is clear, we have to make local decisions for uncertainty. We will therefore consider a range of measures and retain flexibility to adapt. This approach, embodied within flood risk appraisal guidance, will help to ensure that we do not increase our vulnerability to flooding.

6.2 Long Term Developments

It is possible that long term developments might affect the occurrence and significance of flooding. However current planning policy aims to prevent new development from increasing flood risk.

In England, Planning Policy Statement 25 (PPS25) on development and flood risk aims to "ensure that flood risk is taken into account at all stages in the planning process to avoid inappropriate development in areas at risk of flooding, and to direct development away from areas at highest risk. Where new development is, exceptionally, necessary in such areas, policy aims to make it safe without increasing flood risk elsewhere and where possible, reducing flood risk overall."

Adherence to Government policy ensures that new development does not increase local flood risk. However, in exceptional circumstances the Local Planning Authority may accept that flood risk can be increased contrary to Government policy, usually because of the wider benefits of a new or proposed major development. Any exceptions would not be expected to increase risk to levels that are "significant" (in terms of the Government's criteria).

7 Identification of Flood Risk Areas

7.1 Overview

The PFRA is a high level screening exercise to identify the areas of greatest flood risk across Europe. To ensure a consistent national approach Defra has identified significance criteria and thresholds to be used in defining flood risk areas. Guidance on applying these thresholds is available in the Defra document “Selecting and reviewing Flood Risk Areas for local sources of flooding”. This sets out agreed key risk indicators and threshold values that must be used to determine Flood Risk Areas.

7.2 Review of Indicative Flood Risk Area

In England the following process has been undertaken by the Environment Agency to identify “flood risk areas”:

- England has been divided up into a 1km² grid
- The Environment Agency ‘Flood Map for Surface Water’ (> 0.3m depth of flooding) has been used to count the number of people, number of non-residential properties and number of critical services at risk of surface water flooding within the 1km² cell.
- Where a 1 km² cell has more than 200 people and / or more than 20 non-residential properties and / or one or more critical service at risk of surface water flooding the cell is classified as a ‘place above the flood risk thresholds’.
- Clustering analysis has been undertaken to identify clusters of 1 km² cells which are ‘places above flood risk thresholds’, and
- Where a cluster contains more that 30,000 people at risk of surface water flooding this has been classified as an ‘indicative flood risk area’.

Using this criteria there are ten ‘Flood Risk Areas’ in England, none of which are in York.

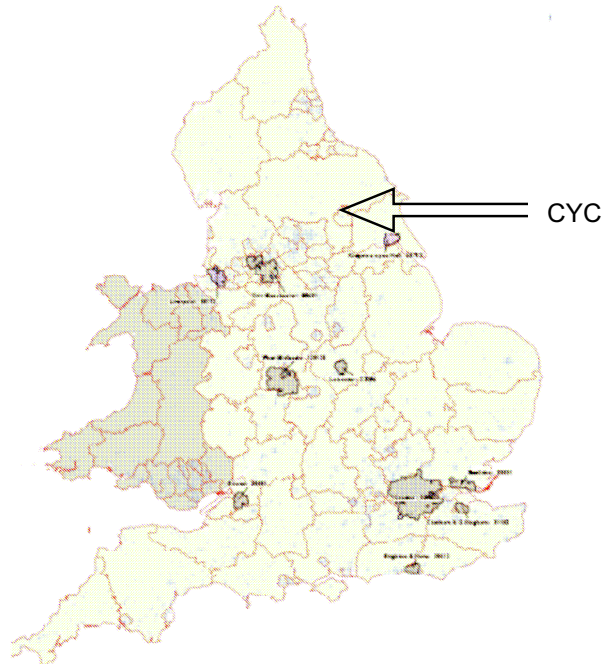


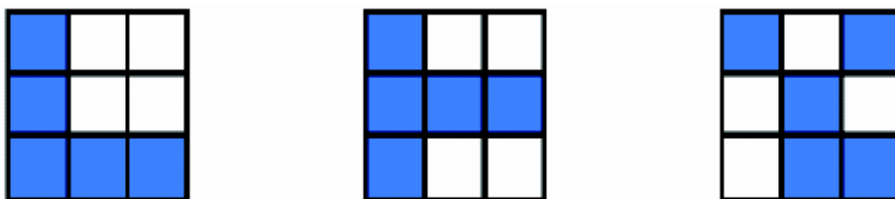
Figure 9 – EA Flood Risk Areas

The EA used the above criteria to identify locally significant flood risk locations for consideration by LLFAs on the basis of local knowledge. Six of these 1km² areas fall within the CYC authority boundary. Four are in the City centre, one around the A59 north of Acomb, and one west of New Earswick.



Figure 10 – Flood Risk Locations Identified by the EA

Where a cluster contains more that 30,000 people at risk of surface water flooding this has been classified as an 'indicative flood risk area'. Examples of qualifying clusters are shown below.



Example of qualifying clusters

As shown in figure 10, no clusters of 30,000 people have been identified using the locally agreed surface water data for CYC. As such no amendments are proposed to the indicative flood risk areas. York has not been identified as an Indicative Flood Risk Area. Therefore no information has been inserted in Annex 3 of the spreadsheet.



8 Next steps

8.1 Future Management Arrangements

In accordance with the Flood Risk Regulations the PFRA is to be reviewed on a six yearly cycle. To support future reviews City of York Council will:

- Complete its Surface Water Management Plan.
- Further develop its data recording processes and tools – including a flood incidents database and an asset register.
- Develop a Local Flood Risk Management Strategy



9 References

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City of York Council Strategic Flood Risk Assessment, 2011

10 Annexes

- Annex 1 - Records of past floods and their significant consequences (preliminary assessment report spreadsheet)
- Annex 2 - Records of future floods and their consequences (preliminary assessment report spreadsheet)
- Annex 3 - Records of Flood Risk Areas and their rationale (preliminary assessment report spreadsheet)
- Annex 4 - Review checklist
- Annex 5 - GIS layer of flood risk area(s) if one/any exist

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Cabinet
6th September 2011
Report of the Cabinet Member for Corporate Services
Local Government Finance Update
Summary

1. The purpose of this report is to provide an update on a range of issues relating to Local Government Finance, including
 - the Local Government Resource Review
 - Business Rates Consultation
 - a review of alternative forms of capital finance

Local Government Resource Review

2. The Coalition Government's October 2010 Spending Review and subsequent Localism Bill announced a raft of policy changes for Local Government, both in terms of the way services will be provided and how they will be funded. Government has made clear that its priorities are to reduce the financial deficit, deliver economic growth, both nationally and locally, and reform public services. The Local Growth white paper highlighted the Local Government Resource Review and the Terms of Reference for Phase 1 were published in March 2011, focusing on the retention of business rates and council tax benefit localisation. These are attached at Annex 1 for information.
3. The current funding of the council's net budget is set out below:

	2011-12	2011-12
	£k	£k
Revenue Support Grant	11,751	
Redistributed Business Rates	<u>38,017</u>	
Total Formula Grant		49,768
Council tax income		73,132
Collection Fund Surplus		1,000
Council net revenue budget		123,900

4. Council Tax is set locally at the discretion of local authorities based on individual need, albeit within the bounds of centrally set capping limits. Formula Grant is allocated from Central Government based on a series of highly complex formulae that is supposed to reflect each area's need. It is comprised of centrally funded Revenue Support Grant (RSG) and redistributed business rates, which leads to the issue of massive disparity in some cases between what a local authority collects and what it eventually receives back
5. The advantages of the current system are often cited as:
 - stability of resources from one year to the next,
 - support for poorer areas is guaranteed via the redistribution of business rates collected in more affluent areas.
6. The disadvantages of the system can be summarised as:
 - disparity between total local resources and eventual settlement resulting in each local authority being financially dependent on Central Government,
 - coupled with strict laws over fees and charges, local authorities have little to no control over the income they generate,
 - the formulae lacks transparency and arguments persist for and against the measures used to determine 'need'.
7. The first phase of the review will consider how local authorities are funded and will include looking at ways to reduce the reliance of local government on central government funding, increase local accountability and ensure that the benefits of economic growth are reflected in the resources authorities have.

Localisation of Business Rates

8. As part of the first phase of this review, a consultation paper has been issued seeking views on the Government's proposals to introduce the local retention of business rates. It also seeks views on options for enabling authorities to carry out Tax Increment Financing within the business rates retention system. A further 8 technical papers are to be issued during August that will enable councils to calculate the actual financial impact. At the time of writing we are still awaiting sight of these

technical papers. Responses to the consultation are due by Monday 24 October 2011 and a full list of the questions asked is attached at Annex 2. The Government intends to introduce business rates retention from April 2013.

9. Business rates, although collected by local authorities, are subsequently pooled centrally by government and redistributed to local authorities (including police and fire authorities) through formula grant. The consultation paper is mainly concerned with the distribution of business rate tax revenues between individual authorities, rather than changes to the system of business rate taxation itself. Businesses will see no difference in the way they pay tax or the way the tax is set. Rate setting powers will remain under the control of central Government and the revaluation process will be unchanged.
10. The key elements of the main proposals are
 - i. With effect from 2013/14 there will be an end to the system whereby council's receive an annual funding settlement from central government.
 - ii. No changes to the system of business rate taxation itself. Rate setting powers remain under central Government control and there will be no opportunity for local authorities to set their own level of business rates.
 - iii. A business rates "target" for every council from 2013/14.
 - iv. Councils collecting more in rates than they presently receive in formula grant will be required to pay a tariff to Government, meaning that York will continue to collect much more than it eventually receives back to fund services.
 - v. If a council exceeds its business rates target it will keep some of the excess, the rest being levied to provide a safety net and for other purposes. Therefore gains are likely to be very modest with only a proportion of any gain being kept by the council to support local service delivery.
 - vi. Failure to meet the target will mean a reduction in overall resources, which might be partly offset by funding from the levy.
 - vii. Voluntary pooling arrangements could allow neighbouring authorities to smooth out volatility
 - viii. A complete "reset" every few years
 - ix. Police and Fire authority funding determined essentially as now with a revised formula from 2013/14.

11. The Government believes that the core components of the scheme, as set out in the following paragraphs, have been developed to
 - ensure a fair starting point for all local authorities;
 - deliver a strong growth incentive where all authorities can benefit from increases in their business growth
 - include a check on disproportionate benefits;
 - ensure sufficient stability in the system; and
 - include an ability to reset in the future to ensure levels of need are met.
12. The Government expects that business rates collected in England in 2013-14 and 2014-15 will be greater than it had previously set out in the 2010 spending review figures. Their proposals assume that this forecast increase in business rate revenues will be set aside and used to fund other grants to local government, including the New Homes Bonus. However, councils should benefit from growth in business rates above these forecast levels. It is not yet known what increase the Government is assuming and how likely it is that there will be any of this increase left for councils to retain locally.
13. Beyond 2014/15 Government will consider, at the next Spending Review, the total spending figures for local government with a view to more closely aligning local authority functions and responsibilities with business rates income from 2015-16.
14. The core components of the scheme are as follows:

Component 1: Setting the baseline

15. Across the country some authorities, such as York, collect business rates in excess of current formula grant funding whilst others collect substantially less. Therefore, it will not be possible to simply allow business rates to be retained where they are paid; there needs to be a high degree of re-balancing.
16. The Government consider that the most pragmatic way to achieve this is to start from each individual councils current formula grant position and so propose to use 2012-13 formula grant as the basis for constructing the baseline in the first year of the new business rates retention system. York's 2012/13 formula grant is expected to total £44.7m, which includes £0.8m damping. This means that the grant is £0.8m higher than it would normally be without any damping mechanism. This is the amount that has been included in the Medium Term Financial Forecast and therefore nothing within this consultation changes the need to make savings of

some £20m over the next 2 years, with continued savings being required in future years.

17. Clearly, given the coalition Governments stated objectives of reducing the national deficit, they need to take into account the expenditure control totals set out in the Spending Review and the paper suggests this could be done in 2 ways:
 - i. By taking individual levels of 2012/13 formula grant as the baseline position and then adjusting them in proportion to the new control totals with no further changes. This approach provides certainty and stability for the start of the business rates retention scheme. It also means that York would continue to benefit from the current £0.8m of damping included within the 12/13 formula grant allocation.
 - ii. Establish the baseline position for each local authority by applying the process used to determine their 2012-13 formula grant allocations to the local government control totals and at the same time make very limited, technical updates to the formulae. This option is more risky for York as it could mean we lose the £0.8m damping within the current formula grant allocation.

Component 2: Setting tariffs and top ups

18. To ensure a fair starting point Councils (such as York) who collect more than they are currently allocated will be expected to pay a tariff. However, in an attempt to create a strong incentive and reward authorities promoting growth, the tariff amount would remain fixed so that a proportion of business rate growth in future years would be retained by the local authority in which it occurred. Again, the paper considers 2 alternative options for fixing the tariff:
 - i. Uprate the year one tariff by RPI each year. This would result in the council having to achieve real growth in it's taxbase to see a real rise in spending ability. So, on the 2012/13 funding expectations we anticipate a tariff of some £43.2m (ie the difference between projected business rates income of £88m and the formula grant of £44.7m). If this were uprated by current RPI of 5% our tariff would increase by £2.1m, meaning that we would need to identify at least an equivalent amount in business rates growth just to stand still. If our gain were to be further reduced by the government raising a levy on any growth, we would need to find an even higher amount in growth or compensatory savings.

- ii. Retain the year one cash amounts and not uprate by RPI, offering a stronger incentive for growth. Clearly this would be a better option for council's paying a tariff.

Component 3: The incentive effect

19. This incentive effect is at the heart of the changes that business rates retention is aiming to deliver. Regardless of how the tariff is set or uprated, the council would still stand to benefit from at least some of any increase in business rates. There would also be strong incentives for effective billing and collection of business rates. York is already a high performer in this area and as we regularly collect in excess of 98% of business rates this is less of an incentive for us.

Component 4: A levy recouping a share of disproportionate benefit

20. To manage the possibility that some local authorities with high business rate taxbases could see disproportionate financial gains, government would recoup a share of disproportionate benefit through a levy and use the proceeds to help manage large, unforeseen negative volatility in individual authorities' budgets. However, the stronger the protection, the weaker the incentive effect. Further clarity is needed as to how this levy could work and the potential impact on York. Alongside any additional resources we would also take increased risks due to volatility and therefore we would need to consider increasing the level of reserves the council currently holds.

Component 5: Adjusting for revaluation

21. The paper proposes that the tariff is adjusted at revaluation, which has the effect of removing any financial gain (or loss) from wider economic uplift reflected in rental values. It also proposes to strip out from the rates retention scheme the impact of the transitional relief on local authorities' finances.

Component 6: Resetting the system

22. Whilst, as highlighted above, the tariff would remain fixed the Government wishes to retain the option of resetting the system if it felt it necessary, eg because of population movements. The paper discusses options for a full or partial reset of the system and whether it should set a fixed period of say 10 years between resets to ensure it can achieve its stated aim of encouraging long term growth in local economies. The

paper also states that the existing new burdens guidance will be reviewed, taking into account the proposals in this consultation.

23. As York currently is the 2nd fastest growing city in the UK this could mean that our population growth is not funded for a significant period of time. There is also some question around whether business rates yield bears any relation to the service needs of the local community. There are numerous other influences besides the council on business success and growth.

Component 7: Pooling

24. Local authorities could choose to form voluntary pools within the system whereby a single tariff or top up would be applied which would be the sum of all tariffs and top ups of individual authorities within the pool. This would help manage volatility and potentially increase growth across an area. The paper considers offering further rewards, in the form of allowing them to retain a greater proportion of growth or offering other incentives. All North Yorkshire authorities are net contributors and therefore our initial thoughts are that this would not offer any real advantages to York. There could be some merit in sharing a collection service to further improve collection rates. The table below sets out the assumed positions for all Yorkshire and Humber authorities.

	Total Formula Grant 2012/13 £m	NNDR (projected) 2012/13 £m	Contribution to National NNDR Pool in 2012/13 £m	Reliance on redistribution from NNDR Pool in 2012/13 £m
Barnsley	101.2	47.6	0	53.5
Doncaster	133.4	82.6	0	50.9
Rotherham	113.0	69.5	0	43.5
Sheffield	260.8	195.6	0	65.2
S YORKS	608.4	395.3	0	213.1
Bradford	252.3	135.7	0	116.6
Calderdale	75.0	55.0	0	20.0
Kirklees	146.2	102.8	0	43.4
Leeds	288.1	344.3	56.2	0
Wakefield	128.2	113.4	0	14.8
W YORKS	889.8	751.2	56.2	194.8
East Riding	93.7	82.2	0	11.4

Hull	145.0	90.7	0	54.3
NE Lincs	67.7	64.4	0	3.3
North Lincs	57.9	77.1	19.2	0
HUMBER	364.3	314.4	19.2	69
York	44.7	88.0	43.2	0
North Yorkshire	110.5	N/A*	40.4	0
Craven**	2.9	16.3		
Hambleton**	4.2	24.6		
Harrogate**	7.3	56.0		
Richmondshire**	2.9	11.2		
Ryedale**	3.1	15.0		
Scarborough**	8.0	29.3		
Selby**	4.7	31.6		
YORK & N YORKS	188.3	272		
YORKSHIRE & HUMBER	2,050.9	1,732.9	159	476.9

*NYCC does not collect business rates. This is carried out by districts as billing authorities

** Until there is clarity about how any new system would work in two-tier areas, it is not possible to calculate the impact of localisation

Source: SIGOMA

New Homes Bonus

25. The Government is committed to continuing to fund the New Homes Bonus within a business rates retention system. It proposes to deliver this commitment by fixing individual authorities' tariffs and top up amounts at a level which leaves a sufficient sum aside to fund the future cost of the New Homes Bonus. This would involve making a judgement, at the outset of the rates retention scheme, about the likely sum needed to fund future New Homes Bonus payments, which would need to take into account the latest housing growth projections and the potential level of central support available (there is £250m available for each year of the current Spending Review to 2014-15).

Tax Increment Financing

26. The Government believes that the local retention of business rates will remove the most important barrier to Tax Increment Financing schemes (TIFs), namely that local authorities are currently not permitted to retain any of their business rates and therefore could not borrow against any predicted increase in their business rates. Borrowing for Tax Increment

Financing schemes would therefore fall under the prudential system, allowing local authorities to borrow for capital projects against future predicted increases in business rates growth, provided that they can afford to service the borrowing costs out of revenue resources.

27. However, clearly such borrowing can only take place if local authorities and developers have a degree of certainty about the future tax revenue streams and whether there are sufficient guarantees that they will be retained within the authority. Issues around TIFs are explored further in paragraphs 41 to 46.

Review of alternative sources of financing

28. The next section of the report contains an analysis of a number of alternative sources of capital finance that could be available to the council in the near future. Where possible, examples of projects that have been successfully developed in other parts of the country have been included. In the wider context, the Council already has power to borrow to invest in capital works and assets so long as the cost of that borrowing was affordable and in line with principles set out in a professional Prudential Code. In exploring these alternative methods of financing, the benefits will need to be clearly identified and assessed against the cost of borrowing from the Public Works Loans Board through the Prudential Code

Local Asset Backed Vehicles (LABV)

29. A LABV is a long term partnership between the public sector and a private sector partner. There is no uniform LABV but the process typically works by the Council transferring assets (that can be on a phased basis) into a joint venture with a development company who will invest cash into the vehicle. The Council assets can be surplus, investment or operational assets. The vehicle can additionally raise funding through normal commercial routes and it might be possible for the venture to attract European Regional Development Funding (ERDF).
30. Over time the vehicle works towards securing uplift in the values of the assets under its control through financing remediation, critical infrastructure provision, securing planning permission, etc. The partnership might choose to directly develop some of the properties/ land transferred to it or it may engage with other developers. The Council typically has the option to phase the introduction of assets at agreed delivery milestones giving the Council control of its asset portfolio. The vehicle would pay the running costs of the partnership, repay any

borrowings and distribute profit to the Council and private sector partner. The key advantages of a LABV are that it facilitates the pooling of both attractive and less attractive sites and that this, along with the long term relationship with a development partner who brings commercial expertise to the relationship, then allows development that would not otherwise have taken place, or the development of sites to a higher standard. The stable nature of a LABV allows a pipeline of regeneration projects and the ability to manage them under a single umbrella organisation.

31. As an example Tunbridge Wells Borough Council progressed such an option in 2008 under the header 'Tunbridge Wells Regeneration Company' with John Laing regenerating 4 town centres over a 10 year period. A number of other LABV exist including in the North and North West however there is not currently a LABV in the region.
32. LABV may offer the Council an opportunity if a suitable portfolio of sites could be identified that would be available to transfer to such a vehicle. Consideration could be given to progressing a LABV that contains a mixture of sites. Sites that are in need of regeneration/development, which alone would not pose an attractive investment opportunity, would be mixed with sites that are attractive investment proposals. The blended investment return over the whole scheme offers a good financial return.
33. **Joint European Support for Sustainable Investment in City Areas (JESSICA)**
34. JESSICA is a policy initiative of the European Commission. A JESSICA scheme would normally fund projects through an Urban Development Fund (UDF) based on funding provided from the public (normally European Regional Development Funding - ERDF) and the private sector. An UDF can support projects (that are ERDF eligible) using a variety of funding sources including loans, equity or guarantees. An UDF is a provider of funding to allow viable schemes to proceed where the risk has been too great for mainstream institutional funding. Revenues returned to a scheme can be recycled into a second round of projects making continuous growth of such areas a possibility.
35. The number of JESSICA schemes set up in the UK is relatively limited but they are more prevalent across Europe. DCLG is keen to set up a regional JESSICA.
36. As an example the Northwest Urban Investment Fund (NWUIF) is a new £100 million fund to help support urban development projects in England's Northwest. Its purpose is to restart urban regeneration projects

that have stalled due to the economic downturn and lack of finance. The project investments will include the development of employment sites, creation of new commercial floor space, reclamation of derelict or contaminated land, and provision of site servicing and infrastructure.

37. The Northwest Urban Investment Fund has been established by the Northwest Regional Development Agency (NWDA) in partnership with the European Investment Bank (EIB), which has been appointed as Holding Fund Manager, and utilises funding from the European Regional Development Fund (ERDF). The £100m fund includes £50m from the ERDF and the equivalent match of £50m from the NWDA.
38. There are issues over how a JESSICA can be set up and the traditional UK approach of using public assets temporarily to draw down EFRD funding is no longer acceptable to the EC. This is unfortunate as a JESSICA was seen as one of the few public sector led mechanisms for supporting project delivery. The UK government is challenging the setting up conditions, although this is not likely to be concluded swiftly. We will maintain a watching brief.

Local Authority Pension Funds

39. Local Authority pension funds hold a portfolio of assets that are held for a number of objectives but primarily focus on return on investment. As an example the North Yorkshire Pension Fund (NYPF) assets of £1,345m per 2010 are split between equities (including UK, global and long term growth), gilts (both index linked and fixed) and cash. Pension funds could choose to invest a proportion of the assets it holds into schemes that would serve to benefit the local area. Pension funds already do this where the commercial return justifies investment.
40. In principle pension funds will judge projects on their commercial merits. The challenge would be to put forward a sufficient critical mass of projects (as a portfolio of projects) that will interest the pension fund. Pension funds will focus on projects that are commercially viable and have an agreeable financial rate of return with an acceptable level of risk. As with any fund focused on financial return only projects that are commercially viable will be acceptable to pension funds. The obligation to protect the interest of stakeholders means that pension funds do not undertake unnecessary risks nor support projects without an acceptable rate of return. The type of project that Pension Funds could support would be equally attractive to mainstream commercial investment funds.

41. Work on assessing the opportunities for pension fund investment in local projects was led by Yorkshire Cities, and more recently by Leeds City Region, although no definite proposals have been developed.
42. The Greater Manchester Pension Fund has taken a different approach to the traditional return on investment objective. Around 20 years ago they used £25m from the pension fund to establish the Greater Manchester Property Venture Fund. This decision was taken directly by elected members who were also trustees. Using the pension fund, the Property Fund has been able to act directly as developers, taking a project from site purchase, appointing architects, finding builders and then tenants for the completed buildings.
43. With the current concerns around local authority pension funds it would be difficult to see an opportunity for pension funds to invest in projects which do not provide an acceptable rate of return. Pension funds are worth considering as an alternative source of finance should there be evidence that normal commercial sources of funding are drying up, and there is an opportunity for investors to access pension funding through local authorities bundling up projects. The Manchester property project may be worth considering if there is an opportunity to replicate it locally.
44. A further complication in using pension funds is that our pension scheme is county wide. This means that any projects would need to be agreed by all members of the scheme and as such it is likely that they would need to be significant enough for all members to see the benefits across the county, not just within York.

Tax Increment Financing (TIF)

45. Tax Increment Financing is a mechanism that generates new income streams that the local authority can then use to fund the revenue costs of new capital finance raised (normally prudential borrowing). The new income streams are generated from the forecast growth in business rates which will potentially arise following investment from a local authority in a new area / development. Specifically the increase in business rates is used to repay the cost of finance raised.
46. The risk associated with TIF is that revenues will not materialise if new investment and businesses do not materialise. This would leave the Authority with a revenue pressure to fund the cost of borrowing with no income stream to support it. The more financially viable the site or development from a commercial perspective the less risk there is associated with the revenue streams failing to materialise.

47. TIF has been used extensively in the United States. There is also evidence that in the USA TIF (known as Accelerated Development Zones) has been a powerful tool for jump-starting regeneration.
48. The Scottish government has approved the use of TIF in the waterfront area of Edinburgh. The £84m project led by the City of Edinburgh Council will use Tax Incremental Financing (TIF) in the development of a new cruise liner terminal, lock gates, esplanade and link road.
49. Previously City of York council has been supportive of TIF and has lobbied government vigorously for its early introduction. The government's proposals for TIF are set out as part of a separate consultation paper on business rates retention. As part of the consultation government is seeking views on the issue on whether government should approve TIF projects (to reduce risk and oversupply) or they should be left to local authority discretion.
50. The availability of TIF will be central to the viability of York Central initiative proceeding.

Section 106 Planning Obligations and Community Infrastructure Levy

51. A local Authority can enter into a S106 agreement with a developer as part of the planning process. The S106 agreement provides infrastructure that relates to the demands generated by the new development and which cannot be met through planning conditions. It involves enhancement to the local authority in the wider area than just the development e.g. open space provision, transport improvements, skills development, affordable housing, etc. The S106 provisions can be supplied directly by the developer or in the form of a commuted sum. S106 agreements are not a new or alternative form of finance, however from 2014 the Community Infrastructure Levy is being considered in addition to S106 agreements.
52. The Community Infrastructure Levy (CIL) will be the preferred way to fund off site infrastructure provision, although section 106 may still be used to deal with site specific issues and affordable housing. The government is still to consult on using CIL to fund affordable homes. CIL works by setting a tariff or levy charge (usually based on a sq metre of new development) for different types of development i.e. residential, offices, business, retail, etc., which will bring greater benefit to local authority areas.

53. Whilst it is early days in the CIL process, the first six councils have recently published their drafting charging schedules. Portsmouth, for example, is proposing that each additional sq metre of residential development should be charged at £105, large retail also at £105 and small retail at £53. The challenge with CIL, and section 106, is deciding the level of charge so that it can contribute to new infrastructure provision but does not deter new and worthwhile investment. There are processes in place that can be used to allow developers to pay a reduced charge if CIL or section 106 threatens the viability of a development.

Business Rates Supplement

54. The Rates Supplementary Act 2009 allows a maximum of 2 pence supplement on business rates which can be retained to fund additional projects which promote economic development of the local area. In London, the supplement is being used to support Crossrail. It is an alternative source of finance not utilised in York and is generally considered not to have a significant role as an alternative source of income for investing in new infrastructure in the future.
55. Through the Localism Bill the government is proposing to amend the 2009 Act so that all liable businesses will be able to vote on the imposition of future business rate supplements. It is expected that this will generally result in a constraint to its introduction. There is also a view in London Boroughs that the levy is acting as a disincentive to new developments.

Financial Implications

56. Whilst the proposals outlined in this consultation paper do not have an immediate impact on this council's difficult financial position it could give some potential opportunity to access limited amounts of new funding. However, along with this comes a great deal of risk and we shall only know how much when the detailed technical papers have been published and analysed. It is unlikely that the proposals currently being consulted on will generate any significant gains to the council and any potential gain needs to be set against the potential for loss of business rate income. Whilst the localisation of business rates could create some limited opportunities for the future, the need to save £20m over the next 2 years remains.

Equalities Implications

57. The proposals outlined in the consultation relate to the redistribution of business rates. Any future budgetary impact of these proposals will be subject to an equalities impact assessment in the normal way.

Other Implications

58. There are no HR, Legal, Crime and Disorder, Information Technology, Property or other implications.

Risk Management

59. The paper outlines a number of ongoing developments in local government finance. The consultation on the localisation of business rates brings some additional financial risk. A risk assessment will be carried out on the specific proposals once the full detail has been issued.

Recommendations

60. Cabinet is asked to
- i. note that officers will continue to examine opportunities for alternative forms of capital and continue to pursue those options that will be beneficial for the authority.
 - ii. agree to delegate responsibility to the Director of Customer & Business Support Services and the Cabinet Member for Corporate Services to agree the council's detailed response to the consultation on the localisation of business rates.

Contact Details

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**Report
Approved**

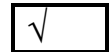


Date 26 August
2011

Andrew Crookham Principal
Accountant
Ext 2912

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



For further information please contact the authors of the report

Annex A – Phase 1 Terms of Reference

Annex B – Localisation of Business Rates consultation questions

Annex A: Terms of reference for Phase 1 of the Local Government Resource Review

The first phase of the Review will consider the way in which local authorities are funded, with a view to giving local authorities greater financial autonomy and strengthening the incentives to support growth in the private sector and regeneration of local economies.

It will look at ways to reduce the reliance of local government on central government funding, increase local accountability and ensure that the benefits of economic growth are reflected in the resources authorities have.

The review will include consideration of changes to the business rates system, and focus in particular on:

- the optimum model for incentivising local authorities to promote growth by retaining business rates, whilst ensuring that all authorities have adequate resources to meet the needs of their communities and to deliver the commitments set out in the Spending Review;
- the extent to which these proposals can set local authorities free from dependency on central funding;
- considering how to fund authorities where locally raised funding would be insufficient to meet budget requirements and control council tax levels, as well as councils who do not collect business rates, such as upper tier authorities, recognising that some parts of the country are currently more dependent on government funding;
- reviewing the scope for greater transparency and localisation of the equalisation process;
- the position of councils whose business rate yield would be significantly higher than their current spending;
- how to ensure appropriate protections are in place for business, within a framework of devolving power to the lowest level possible;

- how to deliver Tax Increment Financing proposals against a context of greater retention of business rate revenues;
- how various aspects of the business rate system, including business rate revaluation and reliefs, should be treated;
- examining the scope for further financial freedoms for local authorities, while standing up for and protecting the interests of local taxpayers; and
- the wider implications of rates retention for related policies, including the work of the Commission on the Funding of Care and Support and the Government's other incentive schemes (the New Homes Bonus and the commitment to allow communities to keep the business rates for renewable energy projects).

The Review will take account of the responses made to the questions in "Local growth: realising every place's potential". It will also conduct extensive engagement with interested parties, including businesses of all sizes, to ensure that all views and perspectives are taken into account.

Following the announcements at the Spending Review and through introduction of the Welfare Reform Bill that Government will localise Council Tax Benefit, the Review will also consider the design of the new scheme (to be launched in 2013-14) and what flexibilities local authorities should have to help keep overall council tax levels down.

The first phase of the Review will conclude by July 2011, followed by the necessary steps to implement the concluded reforms.

Annex B: Summary of consultation questions

Component 1: Setting the baseline

Q1: What do you think that the Government should consider in setting the baseline?

Q2: Do you agree with the proposal to use 2012-13 formula grant as the basis for constructing the baseline? If so, which of the two options at paragraphs 3.13 and 3.14 do you prefer and why?

Component 2: Setting the tariffs and top ups

Q3: Do you agree with this proposed component of tariff and top up amounts as a way of re-balancing the system in year one?

Q4: Which option for setting the fixed tariff and top up amounts do you prefer and why?

Component 3: The incentive effect

Q5: Do you agree that the incentive effect would work as described?

Component 4: A levy recouping a share of disproportionate benefit

Q6: Do you agree with our proposal for a levy on disproportionate benefit, and why?

Q7: Which option for calculating the levy do you prefer and why?

Q8: What preference do you have for the size of the levy?

Q9: Do you agree with this approach to deliver the Renewable Energy commitment?

Q10: Do you agree that the levy pot should fund a safety net to protect local authorities:

- i) whose funding falls by more than a fixed percentage compared with the previous year (protection from large year to year changes); or
- ii) whose funding falls by more than a fixed percentage below their baseline position (the rates income floor)?

Q11: What should be the balance between offering strong protections and strongly incentivising growth?

Q12: Which of the options for using any additional levy proceeds, above those required to fund the safety net, are you attracted to and why?

Q13: Are there any other ways you think we should consider using the levy proceeds?

Component 5: Adjusting for revaluation

Q14: Do you agree with the proposal to readjust the tariff and top up of each authority at each revaluation to maintain the incentive to promote physical growth and manage volatility in budgets?

Q15: Do you agree with this overall approach to managing transitional relief?

Component 6: Resetting the system

Q16: Do you agree that the system should include the capacity to reset tariff and top up levels for changing levels of service need over time?

Q17: Should the timings of reset be fixed or subject to government decision?

Q18: If fixed, what timescale do you think is appropriate?

Q19: What are the advantages and disadvantages of both partial and full resets? Which do you prefer?

Q20: Do you agree that we should retain flexibility on whether a reset involves a new basis for assessing need?

Component 7: Pooling

Q21: Do you agree that pooling should be subject to the three criteria listed at paragraph 3.50 and why?

Q22: What assurances on workability and governance should be required?

Q23: How should pooling in two tier areas be managed? Should districts be permitted to form pools outside their county area subject to the consent of the county or should there be a fourth criterion stating that there should always be alignment?

Q24: Should there be further incentives for groups of authorities forming pools and if so, what would form the most effective incentive?

Impact on non-billing authorities

Q25: Do you agree with these approaches to non-billing authorities?

Chapter 4: Interactions with existing policies and commitments

New Homes Bonus

Q26: Do you agree this overall approach to funding the New Homes Bonus within the rates retention system?

Q27. What do you think the mechanism for refunding surplus funding to local government should be?

Business rates relief

Q28: Do you agree that the current system of business rates reliefs should be maintained?

Chapter 5: Supporting local economic growth through new instruments

Q29: Which approach to Tax Increment Financing do you prefer and why?

Q30: Which approach do you consider will enable local authorities and developers to take maximum advantage of Tax Increment Financing?

Q31: Would the risks to revenues from the levy and reset in option 1 limit the appetite for authorities to securitise growth revenues?

Q32: Do you agree that pooling could mitigate this risk?

Q33: Do you agree that central government would need to limit the numbers of projects in option 2? How best might this work in practice?

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Cabinet

6 September 2011

Report of the Cabinet Member for Corporate Services**2011-12 Finance Monitor 1****Purpose**

1. The purpose of this report is to provide details of the headline financial performance issues for 2011-12, covering the period 1 April 2010 to 30 June 2011. The report assesses performance against budgets, progress of the council's savings programme and provides a position statement on the council's revenue reserves.

Summary

- The council is identifying early financial pressures totalling £4,288k across all directorate budgets.
- Extensive work is being carried out to ensure these pressures are mitigated by the end of the financial year to ensure that expenditure is contained within budget.

Overview

2. The council's net General Fund budget for 2011-12 is £123,900k, inclusive of £1,025k usage of reserves and balances.
3. The 2011-12 budget was the most challenging in memory, requiring some £21,036k of savings in order to reach a balanced position. The forecasts outlined in this report reflect a prudent view of how that challenge is currently being met.
4. The council's business change programme is progressing, with the majority of areas delivering as expected. At present, the programme is confirmed on track to deliver at least of 65% of its targeted financial benefits within 2011/12 with around 80% anticipated to be delivered overall, although some benefits will be realised later than planned. (This equates to approximately £7,000k and £8,500k respectively, and all of which are contained within the forecasts in Table 1). The main focus of activity is now on mitigating the remaining 20% of the benefits which are at risk through a combination of accelerating progress on other areas of the programme as

well as pure financial mitigation. Notable milestones that have been achieved include:

- Delivery of the council-wide organisational review
- Implementation of more efficient waste rounds
- Changes to Early Years provision and staffing structures
- Children's Services improvements in customer contact and administration

5. Early forecasts indicate that the council faces financial pressures of £4,288k. An overview of this forecast, on a directorate by directorate basis, is outlined in Table 1 below. The key pressures can be summarised in the following paragraphs.
6. Adults, Children & Education – In Adult Social Services increasing service demand for Independent Residential & Nursing Care and Direct Payments remain to be an issue, as well as new pressures caused by some delays in the Homecare and EPH business change programmes. In Children's Services, an increase above forecasts in the number of children under the care of the council further contributes to the pressure.
7. City Strategy – a continued shortfall in Building and Development control income compounded by in year pressures arising from the Directorate and Facilities Management service reviews.
8. Communities & Neighbourhoods – primarily driven by delays in achieving cross directorate savings taken as part of the 2011-12 budget, including the Fleet Review and reducing Agency Staff costs.

Directorate	2011-12 Net Budget	2010-11 Outturn Variance	2011-12 Monitor 1 Variance
	£'000	£'000	£'000
Adults, Children & Education	77,399	+1,579	+1,678
City Strategy (incl Facilities Mgmt)	8,797	+209	+771
Communities & Neighbourhoods	37,109	+55	+1,850
Customer & Business Support Services	3,921	-241	-11
Office of the Chief Executive	3,420	+24	-
DIRECTORATE BUDGETS	130,646	+1,626	4,288
Corporate Budgets	-6,746	-1,995	-
Mitigation Strategies to be Identified	-	-	-4,288
GROSS BUDGET	123,900	-369	0

9. Directorates are identifying strategies that will mitigate these pressures in order to contain expenditure within budget by the end of the financial year. As strategies are identified, the reported forecast will be amended accordingly in line with the council's stringent financial monitoring processes. This course of action has been successful in previous years.
10. It should be noted that a similar level of financial pressures were reported at Monitor 1 in 2010-11 and whilst the challenge of delivering the scale of savings contained in this years budget will be considerably tougher, continued determination to control costs from teams across the council should see an improved position as the financial year progresses. Corporate Management Team monitor the financial position of the council on a monthly basis and should the financial pressures not reduce sufficiently, or proposed mitigation strategies not deliver the improvement required, escalation of the issues will be raised by Director of Customer & Business Support Services to Members outside of the standard reporting schedule. The next report before Cabinet will be the Monitor 2 Finance report on 1 November 2011.

Directorate Financial Performance

11. The following sections provide further information on the financial outturn of each directorate as outlined in Table 1 above.

Adults, Children & Education

12. The Adults, Children & Education directorate is reporting early financial pressures of £1,678k, split between Adult Social Services (£1,017k) and Children's Services (£661k).
13. In Adult Social Services, pressures that have been evident in previous years related to demand for care still remain. At present, forecasted pressures centre on a greater number of referrals than anticipated in Independent Residential & Nursing Care (£577k) and a continued increase above forecast level in the number of customers taking up Direct Payments (£613k).
14. In terms of Business Change, there have been delays on two workstreams. In Homecare, there have been delays in letting the reablement contract and reconsideration of other care services options (£666k) and in EPH's, implementation delays mean that the full saving is unlikely to be achieved (net £385k).
15. However, mitigating actions have already been identified to reduce these pressures. A significant number of vacant posts are being held whilst the

Business Change workstreams continue (£806k) and delays in two Supported Living schemes (£200k).

16. In Children's Services, the number of children currently under the care of the council is considerably higher than predicted when the 2011-12 budget was set and as a result is contributing to the directorate's financial pressures. Most notably, local foster placements have increased from 162 to 175 (£209k) and Independent Fostering Agency placements have increased from 14 to 19 (£327k).
17. As well as the vacancy freeze outlined above, and a moratorium on non essential expenditure, the directorate is also assessing 2012-13 savings proposals that could be brought forward, as well as reviewing commissioning budgets and new customer/scheme developments with a view to identifying additional one-off savings for 2011-12.

City Strategy

18. The City Strategy directorate is reporting financial pressures of £771k. This position is inclusive of a £495k pressure related to cross directorate Facilities Management workstream savings, and for which officers are currently identifying mitigation options.
19. There are a number of contributory factors to the remaining reported pressure. There have been delays in the directorate's service review which will not be fully completed until the autumn resulting in an expected shortfall against the total saving of £814k (£380k) and in Planning, there are shortfalls in income in Building Control (£250k) and Development Control (£150k), which is consistent with recent years since the start of the economic downturn. It should be noted however that the council may be given powers to fix its own planning fees by the Department of Communities and Local Government and this may give opportunities to mitigate this shortfall. The directorate overspend is offset by anticipated underspends on Concessionary Fares budgets (£200k) and a surplus on parking income (£155k).
20. Vacancy management measures (currently £218k) and other expenditure controls are being enforced in order to reduce the forecast pressure by the end of the financial year.

Communities & Neighbourhoods

21. The Communities & Neighbourhoods directorate is forecasting early financial pressures of £1,850k, including £1,019k of cross directorate savings taken as part of the 2011-12 budget process.

22. The cross directorate savings pressures relate to the Fleet Review (£243k), which has been affected by additional resource requirements and the partial year effect of implementation but will deliver more financial benefit than anticipated from 2012-13, the Supplies and Services review (£200k) and Agency Staff (£269k).
23. Elsewhere in the directorate, Building Maintenance is forecasting pressures whilst new and efficient working practices are aligned to its business plan (£300k). There is a further one off pressure in Arts and Culture Education (£187k) as result of costs arising from the recent restructure.
24. In order to mitigate the pressures, the directorate is limiting expenditure to a minimum, however it is unable to do so in all circumstances, for example where contractual obligations prohibit this. Service managers are also drawing up proposals, some of which may require a political decision and will therefore be brought before the appropriate committee when necessary.

Customer & Business Support Services

25. The Customer & Business Support Services is currently reporting a projected underspend of £11k, which is primarily due to lower than anticipated costs resulting from the recent elections. The directorate will continue to try and identify other under spends which could assist in mitigating the council wide position.

Office of the Chief Executive

26. The Office of the Chief Executive directorate is currently forecasting that it will contain expenditure within budget. As with CBSS, the directorate will continue to try and identify other under spends which could assist in mitigating the council wide position.

Corporate Budgets

27. These budgets include Treasury Management activity and other corporately held funds. At present, it is anticipated that there will be no variation to budget in these areas.

Dedicated Schools Grant

28. In the DSG area there is a projected underspend of £306k against a budget of £106,642k, primarily due to lower than expected costs related to SEN

Out of City Placements. Due to the nature of the DSG, any underspend must be carried forward and added to the following year's funding with overspends either being funded from the general fund or reducing the following year's funding allocation.

Housing Revenue Account (HRA)

29. The current working balance on the HRA is £9,543k and the estimated variance against this is an underspend of £82k, which is primarily attributed to a decrease in the negative subsidy payment made to Central Government.

Reserves

30. The February 2011 Budget Report to Council stated that the minimum level for the General Fund reserve should be £6.1m (or 5% of the net budget) and following the 2010-11 outturn, where funding was applied to fund new initiatives, the reserve now stands close to this minimum level.

31. Members have to be mindful that any overspend would have to be funded from this reserve reinforcing the need to contain expenditure within budget. Should this happen the Director of Customer & Business Support Services would have no option but to recommend to Council that the reserve is reinstated to at least its minimum required level which would have implications on future budget setting cycles.

Analysis

32. The analysis of the financial position of the council is included in the body of the report.

Consultation

33. There has been extensive consultation with Trade Union groups on the ongoing implications of the council's financial situation.

Corporate Priorities

34. The information and issues included in this report demonstrate progress on achieving the priorities set out in the council's corporate strategy (2009-12).

Implications

35. The implications are:

- Financial - the financial implications are dealt with in the body of the report.
- Human Resources - there are no specific human resource implications to this report.
- Equalities - there are no specific equality implications to this report, however equalities issues are accounted for at all stages of the financial planning and reporting process.
- Legal - there are no legal implications to this report.
- Crime and Disorder - there are no specific crime and disorder implications to this report.
- Information Technology - there are no information technology implications to this report.
- Property - there are no property implications to this report.
- Other - there are no other implications to this report.

Risk Management

36. The risk management processes embedded across the council continue to contribute to managing the risk issues associated with major projects and key areas of service delivery.

Recommendations

37. Members are asked to:

- a. Note the current projected pressures of £4,288k and note that strategies are being prepared to mitigate this position.

Reason: In order to ensure expenditure is kept within budget.

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	Report Approved	√	Date	26 August 2011
Wards Affected: All				
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Cabinet

6th September 2011

Report of the Cabinet Member for Corporate Services

CAPITAL PROGRAMME – MONITOR ONE

Report Summary

1. The purpose of this report is to:
 - Inform Members of the likely outturn position of 2012/12 Capital Programme based on the spend profile and information to June 2011;
 - Inform the Cabinet of any under or overspends and seek approval for any resulting changes to the programme;
 - Inform the Cabinet of any slippage and seek approval for the associated funding to be slipped to or from the financial years to reflect this.

2. The 2011/12 – 2015/16 capital programme was approved by Council on 24th February 2011. Since then a number of amendments have taken place as reported to Cabinet in the 2010/11 Capital Programme Outturn report and the amendments made as at Council on the 30th June 2011. The changes made as result of the above papers have resulted in a current approved capital programme for 2011/12 of £66.099m, financed by £29.700m of external funding, and internal funding of £36.399m. Table 1 illustrates the movements from the start budget to the current approved position at monitor 1.

	Gross Budget £m	External Funding £m	Internal Funding £m
Original Budget Approved by Council at 24 Feb 2011	58.029	22.356	35.673
Amendments from 2010/11 Outturn report	9.726	7.344	2.382
Amendments from June Council Meeting	(1.656)	0.000	(1.656)
Current Approved Capital Programme	66.099	29.700	36.399

Table 1 Current Approved Capital Programme

Consultation

3. The capital programme was developed under the Capital Resource Allocation Model (CRAM) framework and agreed by Council on 24 February 2011. Whilst the capital programme as a whole is not consulted on, the individual scheme proposals and associated capital receipt sales do follow a consultation process with local Councillors and residents in the locality of the individual schemes.

Summary of Key Issues

4. An increase of £5.436m is detailed in this monitor that results in a revised capital programme budget from £66.099m to £71.535m.
5. The net increase of £5.436m made up of:
- Adjustments to schemes increasing budgeted expenditure by £1.587m.
 - Net re-profiling of £3.849m of schemes from future years to the current year

Table 2 outlines the variances reported against each portfolio area.

Directorate	Department	Current Approved Budget £m	Projected Outturn £m	Variance £m
ACE	Children's Services	15.128	15.413	0.285

ACE	Adult Social Services	0.722	1.103	0.381
CANS	Communities and Culture	5.969	5.454	(0.515)
CANS	Environment	5.347	5.347	0.000
CANS	Housing	13.642	13.950	0.308
City Strategy	City Strategy (P&T)	6.380	6.973	0.593
City Strategy	City Strategy (Admin Accom)	11.366	4.364	15.730
City Strategy	Community Stadium	4.000	4.000	0.000
City Strategy	City Strategy (Economic Development)	0.058	0.058	0.000
City Strategy	Property Services	2.054	2.269	0.215
CBSS	IT Development Plan	1.133	1.108	(0.025)
CBSS	Miscellaneous (Contingency etc)	0.300	(0.130)	(0.170)
	Total	66.099	71.535	5.436

Table 2 Capital Programme Forecast Outturn 2011/12

6. To the mid point in August there was £14.2m of capital spend representing 19.95% of the revised monitor 1 budget.

Analysis

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

ACE - Education and Children's Services

Adjustments

8. The Primary School Strategic Programme scheme will increase by £285k from £4,132k to £4,417k in 11/12 as a result of this monitor. Phase 1 of the new Clifton-with-Rawcliffe Primary is complete with the new school handed over on 25/07/2011. Phase 2 - the demolition of the old school and landscaping and external works is due to be completed by the middle of November 2011. The new Our Lady

Queen of Martyrs Primary is progressing with Phase 1, the completion of the new school, due in early December 2011. The demolition of the old school and the landscaping and external works are scheduled for completion in mid-April 2012. The scheme budget has been updated to reflect devolved formula capital contributions being held by the two schools in support of these schemes therefore the increase funded from external grant.

ACE – Adult Social Services

Adjustments

9. Health and Safety Works at Social Services Establishments will increase by £381k from £174k to £555k in 11/12 as a result of this monitor. The increase is externally funded by the Social Care Capital Grant received and will be used to support the three key areas of personalisation, reform and efficiency.

CANS – Communities and Culture

Re-profiling

10. The York Pools Strategy group of schemes will decrease by £150k from £3,230 to £3,080 in 11/12. The corresponding increase is in 12/13. The University of York have begun to draw down the funding in relation to the pool contribution from the Council but 5% of funding that relates to retention will not be drawn down until 2012/13 (July 2012 expected completion) therefore the budget needs reprofiling to reflect the revised spend profile.
11. Explore History @ York scheme will decrease by £365k from £490k to £125k in 11/12, the corresponding increase is in 12/13. The budget reprofiling is due to an extended timetable as a result of bidding for a larger amount of lottery funding than first planned, the second stage decision is due in March 2012.

CANS – Housing & Public Protection

Adjustments

12. Modernisation of Local Authority Homes will increase by £217k from £920k to £1,137k. Part of this is attributable to the consolidation of Repairs to Local Authority Schemes that will form part of the

Modernisation header and will decrease from £131k to £0k. The increase of £86k over and above the £131k for Modernisation of Local Authority Homes is as a result of new funding. In addition to the above scheme increase of £217k, the Local Authority Homes Schemes funding elements of £1,250k revenue contributions and £125k HCA grant, and the Water Mains Upgrade funding of £333k is proposed to be replaced with Housing Revenue Account capital receipts.

13. The receipt is that received from the redevelopment of the Discus bungalows site and are by regulation, ring-fenced for housing use. It is recommended that it is used in order to reduce the revenue contribution of £1.2m from the HRA which will allow more flexibility when planning the use of HRA resources in the upcoming self financing business plan.
14. A number of other minor variations as set out in the annex are required as set in Annex 1
15. A request is made to increase the use of prudential borrowing Travellers Site Electricity Units by £38k, the revenue cost of the borrowing to be covered from existing revenue budgets as a result of the savings made by introducing the meters.
16. A request is made to add the Howe Hill Hostel Scheme totalling £50k. This scheme is required to implement the young person's foyer scheme. The implementation of the scheme was a commitment in the 11/12 budget and it will save ACE from future increases in expenditure on looked after children. It will be funded by RTB receipts received in 11/12 and are not committed elsewhere within the housing programme.

City Strategy (Planning and Transport)

Adjustment

17. The Local Transport Plan programme will increase by £593k from £2,483k to £3,076k in 11/12. The addition is funded in its entirety from external resources and reflects the new level of works profiled to match the new funding.

City Strategy - Administrative Accommodation

Re-profiling

18. The administrative accommodation project will increase by £4,364k from £11,366k to £15,730k in 11/12. This in year increase relates to the profile of the construction budget updated. The profile was finalised during March 2011 and the 11/12 budget requirement notified to the Accommodation Project Board in the March 2011 report. The overall project budget remains at the £43.8m approved at Executive June 2008.

City Strategy – Property Services

Adjustments

19. Both the Fire Safety Regulations Adaptations schemes and Removal of Asbestos schemes will increase by £40k respectively in 11/12. These 2 schemes are to be funded from a corresponding decrease of £80k from the Property Compliance budget in 11/12.
20. Other adjustment in property services all request the use of the contingency fund.
The contingency fund is approved by Full Council as part of the Capital Programme Strategy before the beginning of each financial year. It totals £300k and is used to fund urgent schemes that occur in the year, that could not be foreseen. Use of the contingency fund requires approval by Council.
21. The schemes that request contingency funding are list here and detailed below
- (a) St Clements Hall - £30k
 - (b) 29 Castlegate - £35k
 - (c) Decent Homes standard - £69k
 - (d) Fishergate Postern - £20k
 - (e) Castle Mills Car Park - £16k
22. If all schemes that are requesting use of the £300k contingency fund are approved, then £170k will be allocated leaving a balance on the contingency fund of £130k. *The contingency fund is already included in the capital programme and the revenue implications are supported in the treasury management budget*
23. A request is made to use £30k of the capital contingency budget to fund the final element of St Clements Hall costs. This is the final bill

for all works incurred bringing the asset into use as set out in the 10/11 outturn report

24. A request is made to use £35k of the capital contingency budget to fund works at 29 Castlegate (the Youth Headquarters building). The repairs required to the rear conservatory with appropriate contractors is estimated to cost £35,000. The building is Grade II Listed and currently forms part of the Commercial Property Portfolio. There is limited revenue budget of £24k for the commercial portfolio which is allocated to be used for winter maintenance and reactive repairs. In order to maintain the functionality of the frontline service for young people at 29 Castlegate and to prevent further deterioration and loss to equipment etc, £35k is required from the contingency fund.
25. A request is made to use £69k of the capital contingency budget to fund works required to bring the residential properties in education, leisure and property services up to the Decent Home Standard. The Decent Homes Standard has already achieved by the HRA in their properties. The target for meeting this standard was set by the Government as 2010. There are 7 properties, 2 in leisure, 2 in Property services and 3 in schools, that detail the required works.
26. Attached at Annex B is a list of the 7 properties, including the detailed work and the cost breakdown.
27. The estimated cost of the total works is £79k; of which leisure can contribute £6k and property service £4k in 2011/12. The schools are unable to allocate any funding. Therefore funding required from the contingency fund is £69k.
28. A request is made to use £20k of the capital contingency budget for essential repair works to Fishergate Postern. Fishergate postern is a 4 storey Grade 1 listed rectangular stone tower, the works total £55k of which Friends of York Walls are contributing £35k and CYC £20k. The repair works include installing services (electricity, water, WC, kitchen), Fire proofing the building (installing partitions to each floor, insulation & plaster board ceilings) and the external oak front door.
29. The risk that the scheme will not proceed is that the scheduled Monument consent isn't granted for the scheme and Friends of York Walls are unsuccessful in their bid to gain funds from Heritage Lottery Fund.

30. Castle Mills Car Parks is requesting £16k funding from the contingency fund. The Car park is situated at the south side of Piccadilly. There is a small building within the car park which was formerly offices, and is boarded over. Water ingress and pigeon etc infestation have rendered this building a danger. Sheets may come off in high winds, and it is also a danger to any trespassers. This small building needs to be demolished. The cost of demolition and making good is estimated at £14,000, plus fees of £2,000. The site can then be used for parking, which will create 5 additional car parking spaces; the additional income raised will be approximately £500 p.a.

Summary

31. As a result of the changes highlighted above the revised 5 year capital programme is summarised in Table 3.

Gross Capital Programme	2011/12	2012/13	2013/14	2014/15	2015/16	Total
	£m	£m	£m	£m	£m	£m
Current Programme	66.099	56.349	29.368	21.471	11.563	184.850
<u>Adjustments :</u>						
ACE - Children's Services	0.285					0.285
ACE – Adult Social Services	0.381					0.381
CANS – Leisure and Culture	(0.515)	0.515				0.000
CANS - Neighbourhood Services						0.000
CANS – Housing	0.308					0.308
City Strategy - P&T	0.593					0.593
City Strategy - Admin Accom	4.364	(4.364)				0.000
City Strategy - (Economic Development)						0.000
City Strategy - Property Services	0.215					0.215
IT Development Plan	(0.025)					(0.025)

Miscellaneous (Contingency etc)	(0.170)					(0.170)
Revised Programme	71.535	52.500	29.368	21.471	11.563	186.437

Table 3 Revised 5 Year Capital Programme

Funding the 2011/12 – 2015/16 Capital Programme

32. The 2011/12 capital programme of £66.099m is currently being funded from £29.700m external funding and £36.399m of internal funding. The internal funding is comprised of revenue contributions, supported capital expenditure, venture fund, right to buy receipts, capital receipts and prudential borrowing.

33. Table 4 shows the projected call on Council resources going forward.

	2011/12	2012/13	2013/14	2014/15	2015/16	Total
	£m	£m	£m	£m	£m	£m
Gross Capital Programme	71.535	52.500	29.368	21.471	11.563	186.437
Funded by:						
External Funding	30.335	27.978	21.868	15.537	7.206	102.924
Council Controlled Resources	41.200	24.522	7.500	5.934	4.357	83.513
Total Funding	71.535	52.500	29.368	21.471	11.563	186.437

Table 4 – 2011/12 –2015/16 Capital Programme Financing

34. The budgeted capital receipts forecast for 11/12 onwards was estimated at £18.460m, £14.110m of general receipts and £4.350m of administrative accommodation earmarked receipts.

35. Current forecasts indicate that the target for general capital receipts of £14.110m over the next 5 years may not be achieved as a result of the current economic market environment. However, due to the volatility in the economy, there is still the possibility that there will be an upturn in the market. Attached at Annex C is a list of potential capital receipts. The capital receipts position will continue to be monitored and reported at the earliest opportunity.

36. Equally, there is the potential that the earmarked administrative accommodation capital receipts of £4.350m will not meet the level

incorporated in the financial viability model. The administrative accommodation finance model is under review to make further savings and a further report will be brought in the Autumn.

Corporate Priorities

37. The capital programme is decided through a formal process, using a Capital Resource Allocation Model (CRAM). CRAM is a tool used for allocating the Council's scarce capital resources to schemes that contribute toward the achievement of the corporate strategy.

Implications

Financial Implications

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

Human Resources Implications

39. There are no HR implications as a result of this report

Equalities Implications

40. There are no equalities implications as a result of this report

Legal Implications

41. There are no legal implications as a result of this report

Crime and Disorder

42. There are no crime and disorder implications as a result of this report

Information Technology

43. There are no information technology implications as a result of this report

Property

44. The property implications of this paper are included in the main body of the.

Risk Management

45. The capital programme is regularly monitored as part of the corporate monitoring process. In addition to this the Corporate Asset Management Group (CAMG) meets regularly to plan monitor and review major capital receipts to ensure that all capital risks to the Council are minimised.

Recommendations

46. The Cabinet is requested to:

- Recommend to Full Council the net adjustments of an increase of £5.436k in 2011/12 and reduction of £3.849k in 2012/13 detailed in the report and contained in Annex A.
- Note the 2011/12 revised budget of £71.535m as set out in paragraph 4 and Table 2.
- Note the restated capital programme for 2010/11 – 2014/15 as set out in paragraph 26, Table 3 and detailed in Annex A.
- Recommend to Full Council to approve the increase in the travellers electricity units scheme (para 15) by £38k, funded by prudential borrowing and supported by existing revenue budgets
- Recommend to Full Council to approve the Howe Hill Hostel scheme (para 16) to the capital programme at £50k to be funded from RTB capital receipts not committed elsewhere in the housing capital programme.
- Recommend to Full Council to approve the use of the contingency fund at £300k to fund the following schemes at a total of £170k:

St Clements Hall – para 23 - £30k

29 Castlegate – para 24 - £35k

Decent Homes standard – para 25-27 - £69k

Fishergate Postern – para 28-29 - £20k

Castle Mills Car Park – para 30 - £16k

The £300k contingency fund is already included in the capital programme and the revenue implications, supported from the treasury management budget.

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

Contact Details

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	Report Approved	Date	<i>26 August 2011</i>
Wards Affected: All			
<i>For further information please contact the authors of the report</i>			

Background Papers:

Budget Control 2011
Departmental Capital Pro-forma

Annexes

Annex A – Restated Capital Programme 2011/12 to 2015/16
Annex B – Estimated cost of Properties to achieve Decent Homes Standard
Annex C – List of Capital Receipts

Capital Programme 2011/12 - 2015/16	2011/12 Budget Amend 30/06/11 £000	2011/12 Mon 1 Adj £000	2011/12 Mon 1 Slippage £000	2011/12 Revised Budget £000	2011/12 Budget Amend 30/06/11 £000	2011/12 Mon 1 Adj £000	2011/12 Mon 1 Slippage £000	2012/13 Revised Budget £000	2011/12 Mon 1 Adj £000	2011/12 Mon 1 Slippage £000	2011/12 Revised Budget £000	2011/12 Mon 1 Adj £000	2011/12 Mon 1 Slippage £000	2014/15 Revised Budget £000	2011/12 Mon 1 Adj £000	2011/12 Mon 1 Slippage £000	2015/16 Revised Budget £000	Gross Capital Programme To be Funded 11/12 - 15/16 £000
ACE - Children's Services																		
NDS Devolved Capital				475				475			475			475			0	1,900
- External Funding	0	0	0	475	0	0	0	475	0	0	475	0	0	0	0	0	0	1,900
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Targeted Capital Fund 14-19 Diploma				3,428				3,428			3,428			3,428			0	3,428
- External Funding	0	0	0	3,428	0	0	0	3,428	0	0	3,428	0	0	0	0	0	0	3,428
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
NDS Modernisation				2,801				2,774			2,774			2,774			0	11,123
- External Funding	0	0	0	2,801	0	0	0	2,774	0	0	2,774	0	0	2,774	0	0	0	11,123
- Internal Funding	0	0	0	2,774	0	0	0	2,774	0	0	2,774	0	0	0	0	0	0	11,096
- External Funding	0	0	0	27	0	0	0	27	0	0	27	0	0	0	0	0	0	27
- Internal Funding	0	0	0	223	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Schools Access Initiative				223				0			0			0			0	223
- External Funding	0	0	0	223	0	0	0	0	0	0	0	0	0	0	0	0	0	223
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Primary School Strategic Programme				4,417				0			0			0			0	4,417
- External Funding	0	285	0	4,417	0	0	0	0	0	0	0	0	0	0	0	0	0	4,417
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Joseph Rowntree One School Pathfinder				3,317				0			0			0			0	3,317
- External Funding	0	0	0	3,317	0	0	0	0	0	0	0	0	0	0	0	0	0	3,317
- Internal Funding	0	0	0	1,100	0	0	0	0	0	0	0	0	0	0	0	0	0	1,100
Aiming high for disabled children short breaks				120				0			0			0			0	120
- External Funding	0	0	0	120	0	0	0	0	0	0	0	0	0	0	0	0	0	120
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
City-Wide Diploma Exemplar Facility at Manor School				624				0			0			0			0	624
- External Funding	0	0	0	624	0	0	0	0	0	0	0	0	0	0	0	0	0	624
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Applefields School - Co Location				396				0			0			0			0	396
- External Funding	0	0	0	396	0	0	0	0	0	0	0	0	0	0	0	0	0	396
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Basic Need				2,334				2,334			2,334			2,334			0	9,336
- External Funding	0	0	0	2,334	0	0	0	2,334	0	0	2,334	0	0	2,334	0	0	0	9,336
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL GROSS EXPENDITURE	0	285	0	15,413	0	0	0	5,583	0	0	5,583	0	0	5,583	0	0	0	32,162
TOTAL EXTERNAL FUNDING	0	285	0	14,063	0	0	0	5,583	0	0	5,583	0	0	5,583	0	0	0	30,812
TOTAL INTERNAL FUNDING	0	0	0	1,350	0	0	0	0	0	0	0	0	0	0	0	0	0	1,350
ACE - Social Services																		
Joint Equipment Store				105				105			105			105			105	525
- External Funding	0	0	0	105	0	0	0	105	0	0	105	0	0	105	0	0	0	525
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Information Management Improvements				45				0			0			0			0	45
- External Funding	0	0	0	45	0	0	0	0	0	0	0	0	0	0	0	0	0	45
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Disabled Support Grant				130				140			140			160			170	750
- External Funding	0	0	0	130	0	0	0	140	0	0	140	0	0	160	0	0	170	750
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Telecare Equipment				250				250			250			250			250	1,250
- External Funding	0	0	0	250	0	0	0	250	0	0	250	0	0	250	0	0	0	1,250
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Adults Social Care IT grant				18				0			0			0			0	18
- External Funding	0	0	0	18	0	0	0	0	0	0	0	0	0	0	0	0	0	18
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Health and Safety Works at Social Services Establishments				555				0			0			0			0	555
- External Funding	0	381	0	555	0	0	0	0	0	0	0	0	0	0	0	0	0	555
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL GROSS EXPENDITURE	0	381	0	1,103	0	0	0	495	0	0	505	0	0	515	0	0	525	3,143
TOTAL EXTERNAL FUNDING	0	381	0	618	0	0	0	495	0	0	505	0	0	515	0	0	0	618
TOTAL INTERNAL FUNDING	0	0	0	485	0	0	0	0	0	0	0	0	0	0	0	0	525	2,525
ACE TOTALS																		
TOTAL GROSS EXPENDITURE	0	666	0	16,516	0	0	0	6,078	0	0	6,088	0	0	6,088	0	0	525	35,305
TOTAL EXTERNAL FUNDING	0	666	0	14,681	0	0	0	5,583	0	0	5,583	0	0	5,583	0	0	0	31,430
TOTAL INTERNAL FUNDING	0	0	0	1,835	0	0	0	495	0	0	505	0	0	515	0	0	525	3,875

Capital Programme 2011/12 - 2015/16	2011/12 Budget Amend 30/06/11 £000	2011/12 Mon 1 Adj £000	2011/12 Mon 1 Slippage £000	2011/12 Revised Budget £000	2011/12 Mon 1 Adj £000	2011/12 Mon 1 Slippage £000	2012/13 Revised Budget £000	2011/12 Mon 1 Adj £000	2011/12 Mon 1 Slippage £000	2013/14 Revised Budget £000	2011/12 Mon 1 Adj £000	2011/12 Mon 1 Slippage £000	2014/15 Revised Budget £000	2011/12 Mon 1 Adj £000	2011/12 Mon 1 Slippage £000	2015/16 Revised Budget £000	Gross Capital Programme To be Funded 11/12 - 15/16 £000
City Centre Damaged Bins Replacement	75	0	0	75	0	0	0	0	0	0	0	0	0	0	0	0	75
- External Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	75	0	0	75	0	0	0	0	0	0	0	0	0	0	0	0	75
Capitalisation of Revenue Items	222	0	0	222	0	0	0	0	0	0	0	0	0	0	0	0	222
- External Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	222	0	0	222	0	0	0	0	0	0	0	0	0	0	0	0	222
Single Occupancy Recycling Containers	150	0	0	150	0	0	0	0	0	0	0	0	0	0	0	0	150
- External Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	150	0	0	150	0	0	0	0	0	0	0	0	0	0	0	0	150
DCSP Wave 2 Playbuilder Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
- External Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL GROSS EXPENDITURE	-2,053	0	0	5,347	0	0	5,990	0	0	3,456	0	0	3,384	0	0	3,747	21,924
TOTAL EXTERNAL FUNDING	0	0	0	1,790	0	0	1,756	0	0	1,756	0	0	1,684	0	0	2,047	9,580
TOTAL INTERNAL FUNDING	-2,053	0	0	3,044	0	0	4,200	0	0	1,700	0	0	1,700	0	0	1,700	12,344
CANS - Housing & Public Protection																	
Modernisation of Local Authority Homes																	
- External Funding	0	0	0	0	0	0	1,305	0	0	652	0	0	671	0	0	507	4,272
- Internal Funding	0	217	0	1,137	0	0	1,305	0	0	652	0	0	671	0	0	507	4,272
Repairs to Local Authority Properties																	
- External Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	-131	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Assistance to Older & Disabled People																	
- External Funding	0	0	0	0	0	0	300	0	0	300	0	0	300	0	0	300	1,505
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
MRA Schemes																	
- External Funding	0	114	0	5,892	0	0	4,368	0	0	5,200	0	0	4,997	0	0	4,459	24,916
- Internal Funding	0	0	74	5,852	0	0	4,368	0	0	5,200	0	0	4,997	0	0	4,459	24,876
Local Authority Homes																	
- External Funding	0	-125	0	2,340	0	0	0	0	0	0	0	0	0	0	0	0	2,340
- Internal Funding	0	125	0	1,375	0	0	0	0	0	0	0	0	1,333	0	0	0	1,375
Water Mains Upgrade																	
- External Funding	0	-333	0	333	0	0	1,413	0	0	1,453	0	0	1,333	0	0	0	4,532
- Internal Funding	0	0	333	0	0	0	1,413	0	0	1,453	0	0	1,333	0	0	0	0
Building Insulation Programme																	
- External Funding	0	0	0	700	0	0	0	0	0	0	0	0	0	0	0	0	700
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Housing Grants & Associated Investment (Gfund)																	
- External Funding	0	78	0	180	0	0	0	0	0	0	0	0	0	0	0	0	180
- Internal Funding	0	0	78	180	0	0	0	0	0	0	0	0	0	0	0	0	0
Disabled Facilities Grant (Gfund)																	
- External Funding	0	-58	0	917	0	0	1,025	0	0	1,075	0	0	1,125	0	0	1,175	5,317
- Internal Funding	0	0	-58	442	0	0	550	0	0	600	0	0	650	0	0	700	2,942
Sub Regional Lettings Scheme (Gfund)																	
- External Funding	0	0	0	475	0	0	475	0	0	475	0	0	475	0	0	475	2,375
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Travellers Sites Electricity Units (Gfund)																	
- External Funding	0	38	0	184	0	0	0	0	0	0	0	0	0	0	0	0	184
- Internal Funding	0	0	38	184	0	0	0	0	0	0	0	0	0	0	0	0	0
Air Quality Monitoring (Gfund)																	
- External Funding	0	0	0	85	0	0	0	0	0	0	0	0	0	0	0	0	85
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Crematorium (Gfund)																	
- External Funding	0	0	0	1,716	0	0	0	0	0	0	0	0	0	0	0	0	1,716
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Howe Hill Hostel (Gfund)																	
- External Funding	0	0	0	50	0	0	0	0	0	0	0	0	0	0	0	0	50
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL GROSS EXPENDITURE	0	308	0	13,950	0	0	8,411	0	0	8,680	0	0	8,426	0	0	6,441	45,908
TOTAL EXTERNAL FUNDING	0	-364	0	7,833	0	0	4,918	0	0	5,800	0	0	5,647	0	0	5,159	29,159
TOTAL INTERNAL FUNDING	0	672	0	6,315	0	0	3,493	0	0	2,880	0	0	2,779	0	0	1,282	16,749
CANS TOTALS																	
TOTAL GROSS EXPENDITURE	-2,053	308	-515	24,751	0	0	15,802	0	0	12,136	0	0	11,810	0	0	10,188	74,687
TOTAL EXTERNAL FUNDING	0	-364	-148	10,624	0	0	7,111	0	0	7,556	0	0	7,331	0	0	7,206	39,828
TOTAL INTERNAL FUNDING	-2,053	672	-367	14,127	0	0	8,691	0	0	4,580	0	0	4,479	0	0	2,982	34,859

Capital Programme 2011/12 - 2015/16	2011/12 Budget Amend 30/06/11 £000	2011/12 Mon 1 Adj £000	2011/12 Mon 1 Slippage £000	2011/12 Revised Budget £000	2011/12 Budget Amend 30/06/11 £000	2011/12 Mon 1 Adj £000	2011/12 Mon 1 Slippage £000	2012/13 Revised Budget £000	2011/12 Mon 1 Adj £000	2011/12 Mon 1 Slippage £000	2013/14 Revised Budget £000	2011/12 Mon 1 Adj £000	2011/12 Mon 1 Slippage £000	2014/15 Revised Budget £000	2011/12 Mon 1 Adj £000	2011/12 Mon 1 Slippage £000	2015/16 Revised Budget £000	Gross Capital Programme To be Funded 11/12 - 15/16 £000
City Strategy (Planning & Transport)																		
Local Transport Plan (LTP)																		
- External Funding	0	593	0	3,076	0	0	0	1,952	0	0	1,952	0	0	2,623	0	0	0	9,603
- Internal Funding	0	446	0	2,295	0	0	0	1,952	0	0	1,952	0	0	2,623	0	0	0	8,822
York City Walls - Repairs & Renewals (City Walls)																		
- External Funding	0	147	0	781	0	0	0	142	0	0	90	0	0	90	0	0	0	781
- Internal Funding	0	0	0	134	0	0	0	142	0	0	90	0	0	90	0	0	0	456
Access York																		
- External Funding	203	0	0	3,703	0	0	0	14,875	0	0	6,784	0	0	0	0	0	0	25,362
- Internal Funding	0	0	0	2,700	0	0	0	13,332	0	0	6,777	0	0	0	0	0	0	22,809
Minster Piazza																		
- External Funding	0	0	0	0	0	0	0	250	0	0	0	0	0	0	0	0	0	250
- Internal Funding	0	0	0	0	0	0	0	250	0	0	0	0	0	0	0	0	0	0
Leeman Road Flood Defences																		
- External Funding	0	0	0	0	356	0	0	1,356	0	0	0	0	0	0	0	0	0	1,356
- Internal Funding	0	0	0	0	356	0	0	1,356	0	0	0	0	0	0	0	0	0	0
Road and Footpath Repairs																		
- External Funding	60	0	0	60	0	0	0	0	0	0	0	0	0	0	0	0	0	60
- Internal Funding	60	0	0	60	0	0	0	0	0	0	0	0	0	0	0	0	0	60
TOTAL GROSS EXPENDITURE	263	593	0	6,973	356	0	0	18,575	356	0	8,826	0	0	2,713	0	0	0	37,087
TOTAL EXTERNAL FUNDING	0	446	0	4,995	0	0	0	15,284	0	0	8,729	0	0	2,623	0	0	0	31,631
TOTAL INTERNAL FUNDING	263	147	0	1,978	356	0	0	3,291	356	0	97	0	0	90	0	0	0	5,456
City Strategy (Admin Accom)																		
Admin Accom																		
- External Funding	0	0	4,364	15,730	0	0	-4,364	10,542	0	0	1,468	0	0	0	0	0	0	27,740
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL GROSS EXPENDITURE	0	0	4,364	15,730	0	0	-4,364	10,542	0	0	1,468	0	0	0	0	0	0	27,740
TOTAL EXTERNAL FUNDING	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL INTERNAL FUNDING	0	0	4,364	15,730	0	0	-4,364	10,542	0	0	1,468	0	0	0	0	0	0	27,740
City Strategy (Community stadium)																		
Community Stadium																		
- External Funding	0	0	0	4,000	0	0	0	0	0	0	0	0	0	0	0	0	0	4,000
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
City Strategy (Economic Development)																		
Small Business Workshops																		
- External Funding	0	0	0	58	0	0	0	0	0	0	0	0	0	0	0	0	0	58
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL GROSS EXPENDITURE	0	0	0	58	0	0	0	0	0	0	0	0	0	0	0	0	0	58
TOTAL EXTERNAL FUNDING	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL INTERNAL FUNDING	0	0	0	58	0	0	0	0	0	0	0	0	0	0	0	0	0	58
City Strategy - Property																		
Property Key Components (H&S)																		
- External Funding	0	0	0	27	0	0	0	0	0	0	0	0	0	0	0	0	0	27
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Health & Safety / DDA																		
- External Funding	0	0	0	8	0	0	0	0	0	0	0	0	0	0	0	0	0	8
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Fire Safety Regulations - Adaptations																		
- External Funding	0	40	0	112	0	0	0	0	0	0	0	0	0	0	0	0	0	112
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Removal of Asbestos																		
- External Funding	0	40	0	92	0	0	0	0	0	0	0	0	0	0	0	0	0	92
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
St Clements Hall Refurbishment																		
- External Funding	0	30	0	30	0	0	0	0	0	0	0	0	0	0	0	0	0	30
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Urgent River Bank Repairs																		
- External Funding	0	0	0	15	0	0	0	0	0	0	0	0	0	0	0	0	0	15
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Accomb Office																		
- External Funding	0	0	0	0	-1,394	0	0	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	0	0	0	-1,394	0	0	0	0	0	0	0	0	0	0	0	0	0

Capital Programme 2011/12 - 2015/16	2011/12 Budget Amend 30/06/11 £000	2011/12 Mon 1 Adj £000	2011/12 Mon 1 Slippage £000	2011/12 Revised Budget £000	2011/12 Budget Amend 30/06/11 £000	2011/12 Mon 1 Adj £000	2011/12 Mon 1 Slippage £000	2012/13 Revised Budget £000	2011/12 Mon 1 Adj £000	2011/12 Mon 1 Slippage £000	2013/14 Revised Budget £000	2011/12 Mon 1 Adj £000	2011/12 Mon 1 Slippage £000	2014/15 Revised Budget £000	2011/12 Mon 1 Adj £000	2011/12 Mon 1 Slippage £000	2015/16 Revised Budget £000	Gross Capital Programme To be Funded 11/12 - 15/16 £000
Mansion House External Repairs				4														4
- External Funding	0	0	0	0														0
- Internal Funding	0	0	0	0														0
Hungate / Peasholme Relocation				21														21
- External Funding	0	0	0	0														0
- Internal Funding	0	0	0	0														0
Riverbank repairs				692														692
- External Funding	0	0	0	0														0
- Internal Funding	0	0	0	692														692
Property Compliance (Asbestos and Fire regs)				0				80										80
- External Funding	0	0	0	0				0										0
- Internal Funding	0	0	0	0				80										80
Riverbank Repairs - Scarborough to Clifton Bridge				600														600
- External Funding	0	0	0	0														0
- Internal Funding	0	0	0	600														600
Riverbank Repairs - Blue Bridge Slipway				249														249
- External Funding	0	0	0	0														0
- Internal Funding	0	0	0	249														249
Riverbank Repairs - Marygate				0				573										573
- External Funding	0	0	0	0				0										0
- Internal Funding	0	0	0	0				573										573
Photovoltaic Energy Programme				100														100
- External Funding	0	0	0	0														0
- Internal Funding	0	0	0	100														100
Parliament Street Toilet Demolition				134														134
- External Funding	134	0	0	0														134
- Internal Funding	0	0	0	0														0
29 Castlegate Repairs				35														35
- External Funding	0	0	0	0														0
- Internal Funding	0	0	0	35														35
Decent Home Standards Works				79														79
- External Funding	0	0	0	0														0
- Internal Funding	0	0	0	79														79
Fishergate Postern				55														55
- External Funding	0	0	0	0														0
- Internal Funding	0	0	0	55														55
Castle Mills Car Park				16														16
- External Funding	0	0	0	0														0
- Internal Funding	0	0	0	16														16
TOTAL GROSS EXPENDITURE	134	215	0	2,269	-1,394	0	0	753	-1,394	0	100	0	0	100	0	0	0	3,322
TOTAL EXTERNAL FUNDING	0	35	0	35	0	0	0	0	0	0	0	0	0	0	0	0	0	35
TOTAL INTERNAL FUNDING	134	180	0	2,234	-1,394	0	0	753	-1,394	0	100	0	0	100	0	0	0	3,287
City Strategy Totals				0														
TOTAL GROSS EXPENDITURE	263	623	4,364	28,711	-1,038	0	-4,364	29,870	-1,038	0	10,394	0	0	2,813	0	0	0	71,888
TOTAL EXTERNAL FUNDING	0	446	0	4,995	0	0	0	15,284	0	0	8,729	0	0	2,623	0	0	0	31,631
TOTAL INTERNAL FUNDING	263	177	4,364	23,716	-1,038	0	-4,364	14,586	-1,038	0	1,665	0	0	190	0	0	0	40,257
CBSS - IT equipment																		
IT Equipment				1,108				750			750			750			750	4,108
- External Funding	0	0	0	0				0			0			0			0	0
- Internal Funding	0	0	0	1,108				750			750			750			750	4,108
TOTAL GROSS EXPENDITURE	0	-25	0	1,108	0	0	0	750	0	0	750	0	0	750	0	0	750	4,108
TOTAL EXTERNAL FUNDING	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL INTERNAL FUNDING	0	-25	0	1,108	0	0	0	750	0	0	750	0	0	750	0	0	750	4,108
Miscellaneous																		
Contingency				130				0			0			0			0	130
- External Funding	0	0	0	0				0			0			0			0	0
- Internal Funding	0	0	0	130				0			0			0			0	130
TOTAL GROSS EXPENDITURE	0	-170	0	130	0	0	0	0	0	0	0	0	0	0	0	0	0	130
TOTAL EXTERNAL FUNDING	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL INTERNAL FUNDING	0	-170	0	130	0	0	0	0	0	0	0	0	0	0	0	0	0	130

Capital Programme 2011/12 - 2015/16	2011/12 Budget Amend 30/06/11 £000	2011/12 Mon 1 Adj £000	2011/12 Mon 1 Slippage £000	2011/12 Revised Budget £000	2011/12 Budget Amend 30/06/11 £000	2011/12 Mon 1 Adj £000	2011/12 Mon 1 Slippage £000	2012/13 Revised Budget £000	2011/12 Mon 1 Adj £000	2011/12 Mon 1 Slippage £000	2013/14 Revised Budget £000	2011/12 Mon 1 Adj £000	2011/12 Mon 1 Slippage £000	2014/15 Revised Budget £000	2011/12 Mon 1 Adj £000	2011/12 Mon 1 Slippage £000	2015/16 Revised Budget £000	Gross Capital Programme To be Funded 11/12 - 15/16 £000
Gross Expenditure by Department																		
ACE - Children's Services	0	285	0	15,413	0	0	0	5,583	0	0	5,583	0	0	5,583	0	0	0	32,162
ACE - Social Services	0	381	0	1,103	0	0	0	495	0	0	505	0	0	515	0	0	525	3,143
CANS - Communities and Culture	0	0	0	5,454	0	0	515	1,401	0	0	0	0	0	0	0	0	0	6,855
CANS - Environment	-2,053	0	-515	5,347	2,500	0	0	5,990	0	0	3,456	0	0	3,384	0	0	3,747	21,924
CANS - Housing & Public Protection	0	308	0	13,950	0	0	0	8,411	0	0	8,680	0	0	8,426	0	0	6,441	45,908
City Strategy (Planning & Transport)	263	593	0	6,973	356	0	0	18,575	0	0	8,826	0	0	2,713	0	0	0	37,087
City Strategy (Admin Accom)	0	0	4,364	15,730	0	0	-4,364	10,542	0	0	1,468	0	0	0	0	0	0	27,740
City Strategy (Community stadium)	0	0	0	4,000	0	0	0	0	0	0	0	0	0	0	0	0	0	4,000
City Strategy (Economic Development)	0	0	0	58	0	0	0	0	0	0	0	0	0	0	0	0	0	58
City Strategy - Property	134	215	0	2,269	-1,394	0	0	753	0	0	100	0	0	100	0	0	100	3,322
CBSS - IT equipment	0	-25	0	1,108	0	0	0	750	0	0	750	0	0	750	0	0	750	4,108
Miscellaneous	0	-170	0	130	0	0	0	0	0	0	0	0	0	0	0	0	0	130
Total by Department	-1,656	1,587	3,849	71,535	1,462	0	-3,849	52,500	0	0	29,368	0	0	21,471	0	0	11,563	186,437

<u>Property</u>	<u>Element</u>	<u>Details</u>	<u>Cost Estimate</u>
<u>PROPERTY SERVICES</u>			
40 Sim Balk Lane (Bishopthorpe Infants)	Modern Facilities	Kitchen & bathroom need replacing	£6k
	Major building element	Requires rewiring	£4k
	Thermal Comfort	Requires new heating system	£6k
26 Low Green, Copmanthorpe (Copmanthorpe Primary)	Thermal Comfort	Requires new heating system	£6K
<u>ESTIMATED TOTAL COST (APM)</u>			£22K
<u>LEISURE AND CULTURE</u>			
Herdsmans Cottage, Malton Rd, Heslington (Monk Stray)	Thermal Comfort	Requires new heating System and additional Loft insulation	£6K
	Major building element	Requires rewiring	£6K
103 Heslington Road (Walmgate Stray)	Modern Facilities	Requires new Bathroom	£2K
<u>ESTMATED TOTAL COST (LEISURE)</u>			£14K
<u>EDUCATION</u>			
3 Winterscale Street (St Georges Primary)	Thermal Comfort	Requires new heating System and additional Loft insulation	£6K
4 North Moor Road Huntington (Huntington Primary)	Thermal Comfort	Requires new heating System and additional Loft insulation	£6K
	Major building	Requires rewiring	£8K
Archbishop of York School bungalow (Bishopthorpe Junior)	Thermal Comfort	Requires new boiler	£3K
	Major Building Element	Requires major Roof Repairs	£10K
<u>ESTIMATED TOTAL COST (EDUCATION)</u>			£33K

<u>ESTIMATED TOTAL COMBINED COST</u>	£69K
FEES @ 14%	£10K
<u>TOTAL ESTIMATED COST</u>	<u>£79K</u>

List of potential Capital Receipts 2011/12

General Capital Receipts

Acres Farm, Naburn
Edmund Wilson Pool`
Foss Islands Overage
Hungate Land sale
Galmanhoe Lane
Hungate Overage
Kent St Coach park
Lowfield Secondary
Manor Secondary
Mansfield Street
Metcalf Lane Osbaldwick (Derwenthorpe)
Monk Bar Garage
Nursery Drive
Parkside
2 Shipton Street

Administration Accommodation earmarked Capital Receipts

17-21 Piccadilly
Ashbank
Hollycroft, 20 Wenlock Terrace
No.2 The Lodge (Yearsley Bridge)

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