



**Notice of a public meeting of
Executive**

To: Councillors Steward (Chair), Aspden (Vice-Chair), Ayre, Brooks, Carr, Gillies, Runciman and Waller

Date: Thursday, 30 July 2015

Time: 5.30 pm

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

A G E N D A

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 **4:00 pm on Monday 3 August 2015.**

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

1. Declarations of Interest

At this point, Members are asked to declare:

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

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

2. Minutes (Pages 1 - 18)

To approve and sign the minutes of the Executive meeting held on 25 June 2015.

3. Public Participation

At this point in the meeting members of the public who have registered to speak can do so. The deadline for registering is **5.00pm on Wednesday 29 July 2015**. Members of the public can speak on agenda items or matters within the remit of the committee.

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

Filming, Recording or Webcasting Meetings

“Please note this meeting will be filmed and webcast and that includes any registered public speakers, who have given their permission. This broadcast can be viewed at <http://www.york.gov.uk/webcasts>.

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

The Council’s protocol on Webcasting, Filming & Recording of Meetings ensures that these practices are carried out in a manner both respectful to the conduct of the meeting and all those present. It can be viewed at http://www.york.gov.uk/downloads/file/6453/protocol_for_webcasting_filming_and_recording_of_council_meetingspdf

4. Forward Plan (Pages 19 - 24)

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

- 5. The Future of York's Guildhall and Riverside - Project Update Report** (Pages 25 - 40)
The purpose of this report is to set out project progress and highlight for decision, the actions necessary at this time to secure the future of the Guildhall complex, including the opportunities for the wider riverside and a review of the office element of the project.
- 6. Castlegate: Update** (Pages 41 - 48)
This report provides an update on progress on the transformation of services for young people currently located at Castlegate.
- 7. Older Persons' Accommodation Programme: The Business Case** (Pages 49 - 102)
This report asks Members to agree to proceed with the Older Persons' Accommodation Programme as set out in the report.
- 8. Coppergate Traffic Regulation Order Report** (Pages 103 - 114)
The purpose of this report is to update Members about the Review Decision of the Chief Adjudicator to the Traffic Penalty Tribunal regarding civil enforcement of the Coppergate Traffic Regulation Order by way of camera, and to make recommendations on the way forward.
- 9. City of York Local Plan** (Pages 115 - 128)
The purpose of this report is to update Members on progress on the Local Plan and the work that is being undertaken to respond to both the changing national and local context.
- 10. Business Improvement District for York City Centre** (Pages 129 - 166)
This paper seeks agreement from the Executive for a ballot to take place in November 2015 to allow local businesses to decide whether they would like to form a Business Improvement District for York City Centre.
- 11. Consultation on Decision Making Arrangements** (Pages 167 - 176)
This report asks Members to consider proposed options for the implementation of new decision making arrangements.

12. Listening to Residents: Ward Committees (Pages 177 - 214)

This report sets out a new approach to community engagement through working with local neighbourhoods and the establishment of revised ward committees.

13. Holiday Pay and Overtime (Pages 215 - 234)

This report presents Members with the pay and process implications relating to the calculation of holiday pay for non contractual overtime and additional hours earned. Members are asked to agree the rate and mechanism relating to Holiday Pay to be applied from 1 August 2015.

14. Annual Report of the Financial Inclusion Steering Group 2014/15 (Pages 235 - 252)

This report is the 2014/15 Financial Inclusion Steering Group outturn report. It informs Members of the progress made in delivering financial inclusion activity across the city facilitated by the Council's Financial Inclusion Strategy. It also provides information about the Council's Council Tax Support Scheme in response to Advice York's recent review, and the performance of the York Financial Assistance Scheme.

15. 2014/15 Draft Outturn (Pages 253 - 286)

This report provides a year end analysis of financial performance. Dashboards for performance under the previous Council Plan priorities are also attached, based on the latest available data.

16. Capital Programme Outturn 2014/15 and Revisions to the 2015/16-2019/20 Programme (Pages 287 - 306)

This report sets out the capital programme outturn position including any under or overspends, overall funding of the programme and an update as to the impact on future years of the programme.

17. Treasury Management Annual Report & Review of Prudential Indicators 2014/15 (Pages 307 - 324)

This report presents the annual treasury management review of activities and the actual prudential and treasury indicators for 2014/15.

18. Urgent Business

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

Democracy Officer:

Name: Jill Pickering

Contact details:

- Telephone – (01904) 552061
- E-mail – jill.pickering@york.gov.uk

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

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

Contact details are set out above.

This information can be provided in your own language.

我們也用您們的語言提供這個信息 (Cantonese)

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

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

Bu bilgiyi kendi dilinizde almanız mümkündür. (Turkish)

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

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City of York Council

Committee Minutes

Meeting	Executive
Date	25 June 2015
Present	Councillors Steward (Chair), Aspden (Vice-Chair), Ayre, Brooks, Carr, Gillies, Runciman and Waller
In attendance	Councillors N. Barnes, Craghill, Cuthbertson, D'Agorne, Hayes, Taylor, Warters and Williams

Part A - Matters Dealt With Under Delegated Powers

1. Declarations of Interest

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

2. Exclusion of Press and Public

Resolved: That it was agreed to exclude the press and public from the meeting during consideration of Annex 5 to agenda item 12 (Disposal of Oliver House – former Elderly Person's Home) on the grounds that it contained information relating to the financial or business affairs of particular persons (including the authority holding that information). Such information is considered exempt under paragraph 3 of Schedule 12A to Section 100A of the Local Government Act 1972 (as revised by The Local Government (Access to Information) (Variation) Order 2006).

3. Minutes

Resolved: That the minutes of the last meeting of the Cabinet, held on 3 March 2015, be approved and signed by the Chair as a correct record.

4. **Public Participation**

It was reported that there had been six registrations to speak at the meeting under the Council's Public Participation Scheme and that three Members of Council has also requested to speak on items, details of which are set out below:

Matters within the remit of the Executive

Cllr Warters welcomed the new Executive Members and expressed support for their back to basic proposals outlined in their 12 point policy plan. In particular he highlighted suggestions for improvements to traffic congestion, bin collections and highway signage particularly that connected with the 20mph limits.

In relation to Cllr Warters suggestions in respect of 20mph zone signage, Cllr Aspden confirmed that one of the administration's priorities across the city was a review of signage. In consultation with local residents he confirmed that a report had been requested setting out costs/legal implications etc of removing signage.

Disposal of Oliver House – former Elderly Person's Home

Mark Havercroft, spoke as Chair of the York Green Party and expressed concern that the site would be used for a high quality retirement scheme, in comparison to the approach to York's housing problems offered by the Yospace scheme. He suggested that developers required leadership and that the city's housing needs could not be left to market forces.

Christopher Watson spoke as Regional Land Director for McCarthy and Stone. He referred to a number of their elderly person's developments around the city and to the demographic profile of York residents with the elderly population being above the national average. He pointed out that family housing was released when residents moved into their developments.

Cllr Hayes spoke in relation to the Oliver House proposals, registering his interest in relation to the Yospace bid in which he had invested. He questioned details of the sale process, evaluation criteria, weightings and use of the capital receipt. He highlighted local housing requirements and need for the provision of low cost homes.

Condition of 17-21 Piccadilly

Alison Sinclair, spoke as a former employee of English Heritage, Chair of the Conservation Advisory Panel and as founder Chair of the York Open Forum Panel. She confirmed that Reynard's bus garage had been one of their first nominations for inclusion in the List of Local Heritage Assets. She asked Members to secure the building and re-start discussions in relation to an Airspeed Museum, in line with earlier discussions with Elvington Air Museum and English Heritage.

Joshua Taylor expressed his concern at the proposed demolition of the former Reynard's building which he felt would lose the historical record. He said that, if repaired it could be used as valuable work space which he felt the city lacked and he asked members to support retention of the building. He referred to similar renovations carried out in similar warehouses in Sheffield, Edinburgh, Stratford and Utrecht and circulated before and after photographs of each.

John Gallery spoke, in a personal capacity, to support the retention of this important art deco building. He highlighted the buildings links with the air industry, stating that the building would create further interest to visitors to the city and that there was a need for vision, courage and commitment to retain the building.

Cllr Taylor, as one of the Local Ward Members, also spoke in support of the retention of the building, providing York Quilt Museum as an example of preservation and reuse of an historic building. He referred to the buildings historic associations and its possible use by the Air Museum and asked the Executive to either gift the site to the Yorkshire Air Museum or enter into negotiations with them.

Andrea Dudding spoke in a personal capacity, to support the retention of the garage.

Draft Council Plan 2015-2019

Andrea Dudding, representing Unison, spoke to support the administration's three key priorities. She confirmed that this included the Living Wage and she hoped that Unison's ethical care charter would be adopted in relation to Adult Social Care.

Organisation Review – Senior Management Arrangements within the City of York Council

Andrea Dudding, spoke on behalf of Unison, requesting that staff views should be sought on future management arrangements, as with budget cuts, services could not continue as ‘business as usual’.

Procurement of Council Security Services

Andrea Dudding, speaking on behalf of Unison questioned the Council’s security requirements, information she felt was required prior to a decision being taken. She requested that consultation should be undertaken as part of a business review, particularly in relation to the CCTV service.

5. Forward Plan

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

Members confirmed that, in view of the full agenda for the 30 July Executive meeting, it was anticipated that some items would slip to future meetings.

6. Entrepreneurship in York Schools Scrutiny Review Final Report

Consideration was given to the final report of the Entrepreneurship Scrutiny Review undertaken with the aim of creating a culture in York schools where entrepreneurial learning was embedded. This would be carried out by improving entrepreneurship education and opportunities for employability and enterprise-related activities for York pupils.

David Scott, as former Chair and co-opted Member of the Task Group, supported by Cllr Taylor as Chair of the Learning & Culture Policy & Scrutiny Committee presented the report and expressed their thanks to all those who had taken part in the review. David Scott outlined the consultation, investigation and information gathering undertaken by the Task Group and highlighted the note of caution that being an entrepreneur should not be seen as an option to ‘formal education’. Members noted that Minster Law had offered a donation of £1,500 to fund the first annual ‘Tenner’ challenge, part of the review’s

recommendations, and that David Scott had offered to co-ordinate the first event.

Members welcomed the offer of support and sponsorship and congratulated the Task Group for their work on the review and on a well written and comprehensive final report.

Following further discussion it was

Resolved: That having considered the review findings and annexes, the Executive approve the recommendations (i to vi) at paragraphs 8 and 9 of the report. ¹.

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

Action Required

1. Implement recommendations of Entrepreneurship in Schools Scrutiny Review. JS

7. Disabled Access to York's Heritage & Cultural Offer Scrutiny Review Final Report

Members considered the final report from the Disabled Access to York's Heritage and Cultural Offer Scrutiny Review, set up with the aim of improving all forms of access to York's heritage and cultural offer.

Cllr Barnes as a member of the former Task Group and Cllr Taylor as Chair of the Learning & Culture Policy & Scrutiny Committee presented the report, highlighting information gathered and consultation and meetings undertaken with user groups in respect of the review. Members thanked the Task Group members for their work and, in particular, expressed thanks to the Scrutiny Officers for their support of the review. Cllr Barnes confirmed that, whilst the Council had no powers to make external providers improve their access arrangements, consideration had been given as how best to build peer pressure amongst York's providers. He hoped that the recommendations would be included in Make it York's service level agreement, with disabled access to the city being a top priority.

Members referred to the large area covered by the review, acknowledging that a number of the recommendations were for Make it York, and highlighting the issue of future monitoring arrangements.

Following discussion it was

- Resolved: (i) That having considered the review findings and annexes, the Executive approve the recommendations (i. to xv.) at paragraphs 5 to 7 of the report.
- (ii) That the report and its recommendations be forwarded to the Equality Advisory Group, for their information, and that the Director of City and Environmental Services be requested to report back on progress, including the Make it York recommendations, to the scrutiny committee.¹

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

Action Required

1. Implement recommendations of Disabled Access Scrutiny Review and report back as required. NF, PW

8. Online Skills / E-Commerce Scrutiny Review Final Report

Members considered the final report of the online business/e-commerce Scrutiny Review whose aim had been to identify how City of York Council could better support city businesses to develop their online opportunities and improve their sales, marketing and profitability.

Cllr Cuthbertson, as Chair of the Task Group that undertook the review presented the report which included information gathered, the review findings and funding opportunities. He pointed out that the gaps between different types of users and their access to technology and the difficulties encountered by small businesses. He also expressed his thanks to Task Group members, all contributors and in particular the Bishopthorpe Road Traders Association.

Resolved: That having considered the information review findings and annexes, the Executive approve the recommendations (i. to vi.) at paragraph 11 of the report. ¹.

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

Action Required

1. Implement recommendations of Online Skills Scrutiny Review.

NF, PW

9. Narrowing the Gap Scrutiny Review Final Report

Consideration was given to the final report from the Narrowing the Gap Scrutiny Review set up with the aim of identifying and disseminating best practice guidance on narrowing the gap in York schools.

Cllr Brooks as a member of the former Task Group and Cllr Taylor as Chair of the Learning & Culture Policy & Scrutiny Committee presented the report, thanking Members of the Group and, in particular, Andrew Pennington, a co-opted Member for their work on the review. They highlighted the Task Group's concern at the gap in attainment, between disadvantaged young people and their peers in the city as amongst the widest anywhere in the country. As part of the review it was noted that an examination had been made of best practice from other Local Authorities and the use of pupil premium to narrow the gaps in attainment and progress which had assisted in the production of guidance for dissemination through local schools.

Officers confirmed that work was now well underway to implement the review recommendations and that a report would be presented to the Executive, once school outcome data for 2015 was available. At that time it was hoped the impact of work undertaken would show progress in narrowing the gap.

Following further discussion it was

Resolved: That having considered the review findings and annexes, the Executive approve the recommendations (i. to vi.) at paragraphs 5 of the report. ¹.

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

Action Required

1. Proceed to implement recommendations of the Narrowing the Gap Scrutiny Review. JS

10. Draft Council Plan 2015-2019

Members considered the draft Council Plan for 2015-19 which had been developed in consultation with Portfolio Holders and Council Officers based on the priorities of the new administration and built around 3 key priorities. It was noted that consultation with residents, communities, business and partner agencies would take place from July to September.

Officers highlighted the importance of a Plan to provide a framework for the budget, service planning and to enable the Council to be held to account on their priorities.

In answer to questions, Members confirmed that the draft Plan, at Annex A of the report, provided only a summary of the key issues in order to make it accessible and that an evidence based approach would be taken.

Resolved: That the Executive agree to:

- (i) Approve the draft Council Plan for the City of York 2015-2019 for consultation between July and September 2015; and
- (ii) Request a further report detailing the outcomes of this consultation with any resulting proposed revisions to the plan to be presented to the Executive in September.¹

Reason: To ensure that the priorities of the new administration and the Council's statutory responsibilities are delivered.

Action Required

1. Proceed with consultation and schedule further report on the Forward Plan for September 2015. DW

11. Organisation Review - Senior Management Arrangements within the City of York Council

Consideration was given to a report which outlined the case for a review of senior management roles and responsibilities in the Council and which sought approval for commencement of a review.

It was noted that the reference in paragraph 27(a) of the report, under Financial Implications, should read 'salary costs of at least £150k' rather than '£200k'.

Members welcomed the review and the proposed timescales which it was hoped would result in a permanent team Directorate structure.

Following further discussion it was

Resolved: That the Executive agree to:

- (i) Approve the commencement of a review of the senior management arrangements in the Council, including the Chief Executive, Director and Assistant Director posts.
- (ii) Approve the appointment of Steve Walmsley, Employers' Director for Local Government Yorkshire and Humber to support this review.¹
- (iii) Require proposals in July 2015 for the job description and pay of the role of Chief Executive.
- (iv) Require in August 2015 the findings of the review and proposals for a revised senior management structure.
- (v) Require a minimum of £150k saving to be achieved from the review of Director and Assistant Directors posts.²

Reason: To ensure that the organisation structure is aligned with council priorities.

Action Required

1. Commence review of the senior management arrangements with the support of Steve Walmsley. MB
2. Ensure the proposals and findings are available by the agreed dates, with a minimum saving of £150k. MB

12. Disposal of Oliver House - former Elderly People's Home

Consideration was given to a report which asked the Executive to select a preferred bidder for the disposal of the former Elderly Persons Home at Oliver House which included the garage site at the rear.

It was noted that strong interest had been shown in the site with 24 bids ranging from £3.325m to £750k being received. An evaluation of bids had been undertaken on the basis of capital value 60%, community value 20% and deliverability 20% with the analysis and summary reported at Annexes 2 and 3.

The lowest bid had been from Yorspace Ltd and had the support of the Bishophill Community however it was noted that to sell on the basis of community value and high level projections would be highly challengeable.

Officers confirmed that the land was held with 70% in the General Fund (GF) and 30% in the Housing Revenue Account with that held in the GF earmarked for homes for the elderly.

Whilst Members expressed their support for the work of Yorspace they highlighted the financial considerations that had to be taken into account. Following further discussion it was

Resolved: That the Executive agree to:

- (i) Approve McCarthy and Stone as the preferred bidder for the purchase of Oliver House and the adjoining garages.
- (ii) To retain Churchill Retirement and Trinity Services as reserve bidders who will be invited back into negotiations if an acceptable deal cannot be secured with McCarthy and Stone.
- (iii) To delegate to the Director of Customer and Business Support in consultation with the Executive

Leader the agreement of the final sale value and terms. ^{1.}

- (iv) Note that the bid received from Yorspace achieved the highest score on community value, and instruct Officers to work with the group to identify future opportunities. ^{2.}

- Reason:
- (i) To achieve the overall best consideration scheme on the Oliver House site and deliver a capital receipt to the General Fund and the Housing Revenue Account.
 - (ii) To retain commercial tension within the negotiations and ensure that the final deal represents best consideration for the Council.
 - (iii) To ensure the Council achieves the most advantageous deal.
 - (iv) In order to provide Yorspace with assistance for any future projects.

Action Required

- 1. Enter into detailed commercial negotiations with McCarthy & Stone with the Director of CBSS and the Leader being delegated agreement of the final sale. TC
- 2. Officers to work with Yorspace Ltd in respect of any future opportunities. TC

13. New Council Housing and approval for development at Ordnance Lane

Members considered a report which sought approval to include new council housing as part of the ongoing project to demolish and replace Ordnance Lane homeless hostel. The feasibility analysis of the site had shown that, in addition to the new homeless scheme the site could also accommodate a development of up to 24 new flats. It was noted that if the same contractor was appointed for both developments under a single contract this would provide significant development and cost saving benefits.

The Executive Member presented the report and outlined the advantages arising from a single contract for the development. He also drew attention to the status of the current building programme approved in May 2013, set out at table two of the report. In particular he highlighted residents concerns in relation to the proposed new council house building on the Newbury Avenue, site in Acomb. Therefore, in order allay their concerns, he recommended a re-examination of the proposals for the site and further consultation.

Following discussion consideration was given to the following options:

Option 1 – To approve the recommendations in this report for the use of £3.6m to develop up to 24 new council flats at Ordnance Lane to be built as one scheme under a single contract with the temporary homeless accommodation.

Option 2 – To approve the use of £3.6m to develop up to 24 new council flats at Ordnance Lane as a separate phase to the temporary homeless accommodation

Option 3 – To not develop new council housing on the remainder of the Ordnance Lane site.

Resolved: That the Executive agree to:

- (i) Approve the development of new council housing at Ordnance Lane.
- (ii) Approve the appointment of the contractor who is selected from the OJEU compliant tender process to build the new temporary homeless accommodation at Ordnance Lane to also build up to 24 new council homes should:
 - the cost be within the anticipated budget for traditional build as identified in this report or;
 - if the benefits of a single contract and planning permission mitigate any additional cost

This decision to be delegated to the Directors of Communities and Neighbourhoods and Customer and Business Support.

- (iii) Delegate authority to the Director of Communities and Neighbourhoods in consultation with the Executive Member for Housing and Safer Neighbourhoods to agree the inclusion of an element of market housing should it be considered appropriate to cross fund the development or create mixed sustainable communities.
- (iv) Recommend a future report is brought to the Executive which considers options for a range of different delivery and funding models and potential land acquisitions for building new council housing.
- (v) Re-examine the proposals for the Newbury Avenue, Acomb site, listed at Table Two of the report, to allow full consultation with Ward Members and local residents. ¹.

- Reason:
- (i) To allow the council to add a significant number of homes to its existing asset base and help to alleviate the acute housing need in the city.
 - (ii) There is an on-going OJEU compliant tender process to appoint a contractor to design and build a new 39 unit temporary homeless accommodation scheme at Ordnance Lane (with returns due back in August). As part of this tender process, an alternative lot has been invited to build both the homeless accommodation and provide new council housing on the remainder of the site. Should the cost of building that new council housing through this route represent value for money it will allow the appointment of a single contractor to build both schemes with associated advantages, such as a single planning application, reduced delivery timescale and minimising the disruption of a phased development.
 - (iii) To ensure a mix of tenures to create a mixed and sustainable community and to provide cross subsidy to help fund the delivery of council homes.

- (iv) To ensure new council housing is delivered in the most effective way possible.
- (vi) In order to allow a re-examination of the scheme in light of residents concerns.

Action Required

1. Await decision of CSMPSC (Calling-In), 14 June 2015.

SW

14. Condition of 17-21 Piccadilly

Members considered a report which updated them on the condition of 17-21 Piccadilly, the former Reynard's Garage site and sought a decision to demolish or carry out emergency health and safety repairs.

The Executive were reminded of the history of the site and the significance of the site in relation to the Southern Gateway project. Details of the poor structural condition of the building were set out in two structural inspections of the building undertaken in 2009 and 2015, attached at Annexes 3 and 4 of the report. It was noted that whilst any structural repairs would only be temporary it would leave the building unusable for any other purpose.

In relation to earlier speakers' comments the Executive Member expressed his support for retention of the site's history. However the Director of the Yorkshire Air Museum had confirmed that their aim was to create a presence in the centre of the city by preserving the story of Airspeed through a high quality attraction and the retention of this building was not critical to their plans. In answers to Members' questions Officers confirmed that there was no one element in the building which had sufficient merit to justify its retention.

Consideration was then given to the following options:

Option 1 – Apply for planning permission to demolish the building at an estimated cost of £100,000-£135,000. This would take 8-12 weeks to get a decision during which time the risk of collapse would persist. The building should be monitored, during the period before any planning application has been determined to review any further deterioration.

Option 2 – Carry out emergency structural reinforcement to the building, at an estimated minimum cost of £95,000, to prevent a potential collapse of the building. This would involve temporary shoring up of the building by inserting ties into the building to attach the walls to the floor and insert a missing truss into the roof. This work would have to be undone when any redevelopment was undertaken and it is extremely likely that if any facade were to be retained it would need to be taken down and rebuilt. It is therefore purely a short term measure to defer a decision about the retention of any part of the fabric of the building. These works will not enhance the value of the property. The cost of these works could escalate significantly as the work commences as new structural issues may be encountered.

Resolved: That the Executive agree to:

- (i) Apply for planning permission to demolish 17-21 Piccadilly and proceed with the works to demolish the building as quickly as possible, if that permission is granted. ^{1.}
- (ii) Receive a report in September 2015 setting out the work undertaken to assess a future regeneration of the area so that an appropriate future use for the site can be identified, which supports the overall development proposals for the Southern Gateway project and ensures that a replacement structure reflects the important heritage of the current building. ^{2.}
- (iii) Instruct Officers to actively engage with interested groups, including the Yorkshire Air Museum and the York Civic Trust on the future of the Southern Gateway area. ^{3.}

Reason: In order to address the health and safety risks to the public and ensure that the relevant groups are able to give their views as the plans progress.

Action Required

- | | |
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| 1. Submit planning permission for demolition. | TC |
| 2. Add report for September 2015 Forward Plan. | TC |
| 3. Enter into discussions with interested Groups on the future of the Southern Gateway area. | TC |

15. Procurement of Council Security Services

Members considered a report which sought approval to commence a procurement exercise for a comprehensive set of council wide security services which included, on site security for all council properties, fire alarm response and provision and maintenance of the Council's CCTV control room and equipment.

Officers referred to the Council's Procurement Strategy which set out a commitment to bring together all linked and related spend in order to ensure the Council received consistency in the quality and costs of services provided.

It was noted that the proposal to incorporate the CCTV operatives as part of the exercise would provide a full security solution, obtain financial savings and efficiencies and ensure that best value was obtained. It was reported that consultation had been started with the CCTV control room staff and Unions.

Consideration was given to the following options:

Option 1 - to procure security services as a corporate contract through a single exercise containing lots as described in paragraph 8, including exploring the possibility to outsource the current in house CCTV monitoring service. This is the recommended option.

Option 2 - to retain the current position whereby CCTV monitoring services are provided in house and procure a separate contract for the remaining security services.

Resolved: That the Executive agree to the procurement of security services as a corporate contract through a single exercise containing lots, including exploring the possibility of outsourcing the current in house CCTV monitoring service. ¹

Reason: To enable the Council to:

- achieve Best Value by maximising the available budget
- transfer risks and responsibilities for CCTV security to the appointed supplier(s) so it resides

with an experienced, accredited and skilled supplier(s)

- ensure consistency of service provision across the Council.

Action Required

1. Await decision of CSMPSC (Calling-In), 14 June 2015.

TC

Part B - Matters Referred to Council

16. New Council Housing and approval for development at Ordnance Lane

Members considered a report which sought approval to include new council housing as part of the ongoing project to demolish and replace Ordnance Lane homeless hostel. The feasibility analysis of the site had shown that, in addition to the new homeless scheme, the site could also accommodate a development of up to 24 new flats. It was noted that if the same contractor was appointed for both developments under a single contract this would provide significant development and cost saving benefits.

It was also noted that, at the present time, funding approval was only in place to develop the homeless accommodation and that a budget of around £3.6m would be required in order to deliver up to 24 homes on the Ordnance Lane site. Details of the proposed funding for the schemes had been reported at Table One of the report.

Recommended: That Council approve a budget of up to £3,600,887 to build up to 24 new homes on this site with 30% of this is to be funded from Right to Buy receipts with the remaining funds to come from the Housing Revenue Account Investment Fund and Section 106 commuted sums where available. ¹.

Reason: To allow the construction of new homes within an agreed budget whilst minimising the budget draw from the investment fund.

Action Required

1. Refer to Council.

JP

Cllr C Steward, Chair

[The meeting started at 5.30 pm and finished at 8.10 pm].

Forward Plan: Executive Meeting: 30 July 2015

Table 1: Items scheduled on the Forward Plan for the Executive Meeting on 27 August 2015

Title and Description	Author	Portfolio Holder
<p>Adult Social Care – The “Market” and “Market Shaping”</p> <p>Purpose of Report: To inform Executive on responsibilities arising from the Care Act impacting on Commissioning, Market Shaping and Market Development.</p> <p>Executive are asked to note the new responsibilities placed on Adult Social Care as a result of the Care Act and the Department’s position in relation to Market Facilitation, Market Shaping and Provider Failure.</p>	Gary Britton	Executive Member for Adult Social Care and Health
<p>Community Stadium and City Leisure Contract</p> <p>Purpose of Report: To give Members an update on the progress of the project.</p> <p>Members will be asked to note the content of the report and await a detailed programme and contract decision report.</p>	Tim Atkins	Executive Member for Culture, Leisure & Tourism

Table 2: Items scheduled on the Forward Plan for the Executive Meeting on 24 September 2015

Title and Description	Author	Portfolio Holder
<p>Q1 Finance & Performance Monitor 2015/16</p> <p>Purpose of Report: To provide Executive with an update on the 2014/15 finance and performance information.</p> <p>Executive are asked to note the issues.</p>	Debbie Mitchell	Executive Leader, Finance & Performance
<p>Future Options for Increased Delivery for New Houses</p> <p>Purpose of Report: To review progress of the workstreams under the Get York Building programmes that were agreed at the March 2014 Cabinet Meeting.</p> <p>Executive are asked to note the contents of the report and to consider the recommendations contained within it.</p>	Paul Stamp/Steve Waddington	Executive Member for Housing and Safer Neighbourhoods and Executive Member for Transport and Planning
<p>Burnholme Development Business Case</p> <p>Purpose of Report: To present the Executive with the Business case proposals for the redevelopment of Burnholme.</p> <p>Members are asked to approve the Business Case.</p>	Louise Ramsay	Executive Member for Housing and Safer Neighbourhoods and Executive Member for Adult Social Care and Health

Title and Description	Author	Portfolio Holder
<p>Southern Gateway</p> <p>Purpose of Report: The report will set out work done to build a coherent vision for the future regeneration of the area around Piccadilly and the Eye of York.</p> <p>Members are asked to agree to release resources to develop proposals to ensure the area is improved and becomes a healthy and vibrant part of the city centre.</p> <p>This report contains an annex that may be considered in private as it contains Exempt Information as described in Paragraph 3 of Part 1 of Schedule 12A to the Local Government Act 1972 (as amended) in that the information relates to the financial or business affairs of any particular person (including the authority holding that information)</p>	Tracey Carter	Executive Leader, Finance & Performance
<p>Highway Asset Management Report</p> <p>Purpose of Report: The report gives an overview and update of the strategy and approach taken in the management of our highways assets.</p> <p>Members are asked to:</p> <ul style="list-style-type: none"> (i) Consider the process detailed in the report and comment on its aims and approach and the requirement for future reviews to incorporate national best practice. (ii) Consider and make comment on the Streetlighting Policy document. 	Steve Wragg	Executive Member for Transport and Planning

Table 3: Items slipped on the Forward Plan

Title & Description	Author	Portfolio Holder	Original Date	Revised Date	Reason for Slippage
<p>Community Stadium and City Leisure Contract</p> <p>Purpose of Report: To give Members an update on the progress of the project.</p> <p>Members will be asked to note the content of the report and await a detailed programme and contract decision report.</p>	Tim Atkins	Executive Member for Culture, Leisure & Tourism	30 July	27 August	Further discussions are required with the relevant Portfolio Holders around the complexities involved in this project
<p>Future Options for Increased Delivery for New Houses</p> <p>Purpose of Report: To review progress of the workstreams under the Get York Building programmes that were agreed at the March 2014 Cabinet Meeting.</p> <p>Executive are asked to note the contents of the report and to consider the recommendations contained within it.</p> <p>This decision will now be taken by Executive</p>	Paul Stamp/Steve Waddington	Executive Member for Housing and Safer Neighbourhoods and Executive Member for Transport and Planning	3 March	24 Sept	To enable a report to be brought forward to look at the outcomes of Get York Building but to also bring forward options for increased delivery of new homes, in line with the administrations priorities

Title & Description	Author	Portfolio Holder	Original Date	Revised Date	Reason for Slippage
<p>in June in order to allow full year performance figures to be included rather than year end forecast figures.</p> <p>To assist with the scheduling of business for the first meeting of the Executive, this item will now be considered at the 30 July 2015 Executive.</p> <p>This item has changed its name from 'Review of Get York Building Programme 2nd Year' to 'Future Options for Increased Delivery for New Houses'</p>					
<p>Burnholme Development Business Case</p> <p>Purpose of Report: To present the Executive with the Business case proposals for the redevelopment of Burnholme</p> <p>Members are asked to approve the Business Case</p>	Louise Ramsay	Executive Member for Housing and Safer Neighbourhoods and Executive Member for Adult Social Care and Health	25 Aug	24 Sept	To allow additional time to fully evaluate the available procurement routes.

Title & Description	Author	Portfolio Holder	Original Date	Revised Date	Reason for Slippage
<p>York Central and Access Project</p> <p>Purpose of Report: To update Members on the current status of the project to develop the York Central site.</p> <p>Members will be asked to consider a range of matters regarding the project.</p>	Sarah Tanburn	Executive Member for Economic Development and Community Engagement (Deputy Leader	30 July	26 Nov	To enable further discussions to take place with the Portfolio Holder around the complexities involved in this project.



Executive

30 July 2015

Report of the Assistant Director for Finance, Property and Procurement

The Future of York's Guildhall and Riverside – project update report.

Summary

1. The purpose of this report is to set out project progress and highlight for decision the actions necessary at this time to secure the future of the Guildhall complex including; the opportunities for the wider riverside and a review of the office element of the project.
2. The report outlines :
 - a commitment to improved public access to and interpretation of the historic core of the complex; in accordance with the recently submitted HLF bid.
 - the programme of ongoing project development work.
 - the proposals for enhancing the commercial value of the riverside, which is currently inaccessible and under used.
 - A review of the feasibility work and business case relating to the office elements of the project, to ensure that the proposals are robust, evidence based and that project viability is optimised.

Recommendations

3. Executive is asked to consider and agree:
 - 1) A commitment to improved public access to and interpretation of the historic core of the complex – The Guildhall Main Hall, the Council Chamber, a new riverside courtyard garden and historic Common Hall Lane. In accordance with the recent Heritage Lottery Fund (HLF) bid.

Reason: In the interests of securing improved public access for residents and visitors, for the future, and maximising the civic and community value of the Guildhall through improved understanding and appreciation of its historic significance, aligning with the Mansion House Opening Doors project.

- 2) To continue with ongoing project development work including: the procurement of a multi disciplinary design team to progress design and development work.

Reason: To ensure that the optimum beneficial re-use of the complex is properly investigated and that project delivery does not suffer unnecessary delay.

- 3) To commission a specialist property agent to: establish the value of the commercial riverside elements of the scheme; advise the design team and market test the proposals. Agree the principle of long leases (typically 25 – 99 yrs) on peripheral elements of the complex. (the South Range restaurant and the new build cafe/bar on the north end)

Reason: In the interests of optimising the value and long term sustainability of a publicly accessible riverside with an attractive commercial offer to complement the inherent historic interest of the complex.

- 4) To initiate a review of the feasibility work and business case assumptions relating to the office elements of the scheme as presented to cabinet in December 2014 / and Scrutiny Call-in in January 2015. Requesting an early report back (Executive in September 2015) on the most commercial and viable options for this element of the complex.

Reason: In the interests of securing the optimum future value for the council from one of its most significant property assets and minimising delay to the project delivery.

Background

4. The future of York's Guildhall and Riverside has been the subject of a number of previous reports and Cabinet has committed to a scheme to restore and redevelop the complex to ensure its future for the city. The scheme agreed is a combination of

- Public spaces – Guildhall, Council Chamber
- commercial usage (restaurant to the south and cafe bar to the north)

- Office space for Digital Media Arts sector
5. Concerns were raised in December about the robustness of the business case for the complex, particularly about the focus on the digital media sector. Further work has been undertaken to strengthen the business case.

History

6. The Guildhall complex has been at the centre of city governance since the C12th. The current Guildhall dates to 1445, but there are references in the archive to an earlier hall on the site, and evidence for this was discovered by York Archaeological Trust during the 2012 archaeological excavations in Common Hall Lane, beneath the Guildhall.
7. The complex was developed over time from the C15th, with the medieval Guildhall at its core. There are significant early and late C19th additions and the C20th north annex. This element was built for the Post Office in 1904/5 and only acquired by the council in the mid 1980's. The component parts of the complex are highlighted at annex 1.
8. The Guildhall Main Hall and medieval riverside rooms and the Victorian Council Chamber are the most historically significant parts of the complex, together with Common Hall lane, which runs directly beneath the Guildhall. The C20th north annex is of lower significance.
9. The Guildhall is intrinsically linked with the history of the City, the history of its Guilds regulating business and commerce, and its use as a court where justice was dispensed.
10. The riverside site is also hugely significant where it has been in continuously inhabited through successive phases of urban development over the last 2000 years. There is good evidence (ref1) that there was a Roman Bridge landing on the north bank of the Ouse in this location and leading up to the main gate to the fortress established in AD71.
11. The line of Lendal / Coney street broadly follows the alignment of the perimeter road running outside the Roman fortress wall and this riverside area was further developed over time. The area to the north west of the Guildhall site was occupied by an Augustinian Friary which is recorded as the place Richard III stayed when visiting York.
12. There is, therefore a fantastic opportunity to tell York's story in a location

which has direct association with so many of the significant events in York's history – a story which despite the wealth of museum and visitor attractions in the City is not fully revealed in the City.

13. This is the basis of our recent HLF bid (see background papers). This submission to HLF reflects the feedback from the previous bid made in April 2014 and also responds to consultation feedback where the strength of feeling across the City about the significance of the Guildhall is clear. There were particular concerns about the potential 'privatisation' of the complex and loss of public access / community and civic use which could have resulted from a purely commercial proposal being delivered.

HLF bid – submitted May 2015.

14. The HLF bid submitted in May 2015 sets out detailed proposals for the Guildhall Main Hall, Council Chamber, a new riverside courtyard garden and the opening up of the historic Common Hall Lane. The HLF funding would deliver public access and interpretation of the site and buildings, directly linked in terms of visitor management to the Mansion House Opening the Doors project, currently being delivered. The benefits of synergies with this project are clear.
15. The key objectives of the bid are set out below :
 - York has a unique opportunity to present its story: to narrate the history of the city, its guilds and commercial heritage, city governance and democratic life, on a site which has been pivotal since pre-Roman times.
 - This project will create a new heritage destination, a fully interpreted route through the site including; the Guildhall, highlighting the guilds' role in the city's success, medieval riverside rooms and their stories, the site's archaeology, access to the hugely significant but currently hidden Common Hall Lane, and to the seat of city governance, the Victorian council chamber.
 - The council's move from the Guildhall necessitates repurposing the site. This provides a once-in-a-generation opportunity to ensure that its heritage is open to the public and remains central to its future. The project will also facilitate adjacent and complementary commercial uses to secure future sustainable income streams and link with the successful Mansion House 'Opening Doors' project.

16. The HLF bid has a value of £1.6m. The delivery focus is on interpreting both the City's and the site's rich history, with the benefit of enhanced access to the site and buildings. Accordingly the bid includes funding to repair and adapt the building fabric, to facilitate its re-use as both a visitor attraction and community resource, alongside the ongoing council and civic uses. The provision of high quality events and meeting space for hire is an additional benefit which will assist in securing the project's long term sustainability.
17. The HLF Heritage Grant application process comprises 2 rounds of bidding. Subject to the round 1 bid being supported by HLF a round 2 bid will need to be submitted which provides additional detailed information and covers all the necessary delivery arrangements. The timetable for this will need to be agreed with HLF, but the project team is working towards a round 2 submission in May 2016.

Analysis and Recommendation

18. There are high levels of support for facilitating improved public access to, and interpretation of the Guildhall complex, focused on the historic core areas: the Guildhall main hall, the medieval riverside rooms, the council chamber, the riverside and common hall lane, running under the Guildhall itself.
19. A funding bid has been submitted to HLF on this basis and this requires a firm council commitment to the levels of public access and visitor interpretation highlighted above, if we are to secure this funding.
20. **It is recommended that there is a formal commitment to improved public access and interpretation for the historic core of the complex – The Guildhall Main Hall, the Council Chamber, a new riverside courtyard garden and historic Common Hall Lane.**

Project Development - Design Team procurement

21. Further to the report approved in Dec 2014, the project team commenced an EU compliant procurement process to select a suitably qualified multi-disciplinary design team and this is now nearing completion. The Design Team will provide the necessary professional expertise and capacity to progress the design development.
22. The process has involved a detailed pre-qualification process, which generated a huge response rate and the shortlisted consortia are now completing detailed tender returns for final assessment.

23. The key project programme dates are as follows:

- | | |
|---|-------------------|
| • Updatereport | 30 July 2015 |
| • HLF bid outcome | mid Sept 2015 |
| • Project review report to Executive | October 2015 |
| • Interview and appoint design team | October 2015 |
| • Design development, public consultation | Oct 15 – April 16 |
| • HLF round 2 bid deadline | May 2016 |
| • Planning and LB applications | May 2016 |
| • HLF round 2 decision | Sept 2016 |
| • Potential construction start date | Jan 2017 |
| • Possible construction end date | June 2018 |

Analysis and Recommendation

24. The procurement of a multi-disciplinary design team is already well progressed. This process is expensive for both the council as client and the bidding consortia. The appointment of a suitably qualified team (following an HLF decision in Sept 2015) would provide the immediate capacity and capability to progress the design and development work following on from the project review and to deliver on the supporting commercial elements of the scheme without incurring significant delay.
25. The alternative would be to pause or abandon the procurement process with the associated impact in terms of abortive costs, reputational damage and significant delay to the project.
26. **It is therefore recommended to continue with ongoing project development work including: the procurement of a multi disciplinary design team to provide the necessary professional expertise and capacity to progress design development work.**

Project Development - Commercial Opportunities

27. The potential to make the riverside more accessible has been explored both within the Guildhall site controlled by CYC and by working with York Boat to explore the options for the wider site as highlighted by the RIBA competition and creating access linkages under Lendal Bridge.

28. The feasibility work highlighted the significant potential for high value commercial development at each side of the complex to underpin the future financial sustainability of the complex and this was highlighted in the Dec 2014 report.
29. There has been some soft market testing of these proposals and it is now appropriate to undertake a more rigorous evaluation of the potential through further design work and by engaging a specialist commercial agent to advise on the design, and also to undertake targeted market testing with a view to securing tenancies for these elements of the scheme.
30. If CYC wish to secure a significant financial return for the commercial elements of the scheme we will need to offer long term leases (typically 25-99 years). Short term leases will not enable the realisation of the capital values necessary to finance the development of the broader scheme or an accessible riverside.

Analysis and Recommendation

31. The design and market testing of commercial units on the riverside requires specialist advice and input. The council does not have the necessary experience / expertise in this field and specialist property agents operating in the catering/ leisure fields will be able to deliver significant added value to the project and highlight the lease opportunities to potential tenants, maximising the value of the riverside opportunities to complement the enhanced public access strategy, and help to secure long term sustainability.
32. Without this advice there is a real risk that the design development will not adequately reflect the needs of the sector and that the value of the riverside units will not be maximised to the detriment of the scheme. The procurement of a suitable specialist agent should therefore be agreed as a priority. This will be procured by getting 3 quotes from suitably qualified agencies and will be funded from the currently agreed £500k development budget.
33. **It is recommended that a specialist property agent is procured to: establish the value of the commercial riverside elements of the scheme; advise the design team and market test the proposals, and that the principle of long leases (typically 25 – 99 yrs) on the peripheral elements of the complex is agreed.**

Project Review

34. The feasibility work undertaken to date was directed to consider the feasibility of a Digital Media Arts Centre use for the office elements of the complex, associated with the Guildhall and historic meeting rooms. This focus is now to be reviewed to ensure that the optimum commercial use is secured for the site.
35. **The review will explore a range of different options for the office elements of the site and will look specifically at:**
- Option 1 - Grade A generic office, probably requiring new build annex, where refurb is unlikely to produce the quality of office required.
- Option 2 - A commercially focused scheme - likely to revolve around restaurants / cafe bars and leisure uses.
- Option 3 - A new build annex with generic Grade A office and introducing residential or holiday let accommodation on upper levels.
- Option 4 – A refurbished annex option with a serviced office / virtual office offer to the broader creative industries sector.
36. The feasibility work and the business case presented to the Dec 2014 cabinet will be reviewed. The capital costings and business cases for the different use scenarios will be evaluated with respect to the latest economic evidence base, working in conjunction with the council's policy team and Make it York.
37. The review will also involve a cross party working group, the representation to be agreed before the summer to allow for the scheduling of meetings in September to deliver the review without unnecessary delay to the project and to enable a report back to October Executive.
38. The pros and cons for each of the options including for different the uses and tenancy models for office use, commercial leisure use and any residential potential will be analysed and presented.

Analysis and Recommendation

39. The requirement to review the office elements of the scheme and the supporting business case can be accommodated over the next 2 months, reporting back to executive in October, using the significant body of information on potential building layouts and costs from the previous

feasibility work and the contemporary economic evidence base as agreed with the council's policy team / Make it York.

40. A more fundamental review would necessitate a longer time frame and the gathering of new evidence. This level of review would adversely affect the project programme and may impact on the potential to secure HLF funding.
41. **It is recommended that the feasibility work and business case assumptions relating to the office elements of the scheme is reviewed, with an early report back to Executive in October 2015.**

Consultation

42. The project has benefited from significant consultation and engagement to date.
43. The RIBA competition provided the opportunity for public exhibition of the proposals and the provision of riverside public space was one of the key aspects which the public liked and supported.
44. Through the project feasibility phase the project has been presented to a wide variety of audiences including, a range of project partners and by working through the project board:
 - University of York
 - York St John University
 - York @ Large
 - Make it York
 - York Civic Trust
 - York Guilds
 - York Conservation Trust
 - York Creative Directors Network
 - Residents First Weekend
 - York Past and Present

Funding

45. The project feasibility costings and funding profile was set out in the December 2014 report.
46. However, the process of project review as set out above will necessarily require a review of the cost estimates and an evidence based reconsideration of the business case for the project with the modelling of

different commercial scenarios to ensure that the project achieves the best possible commercial return for the council, having firstly safeguarded public / community and council / civic access to the heritage.

47. A revised project budget and funding profile will be developed accordingly.

Council Plan

48. Under the draft council plan objectives the project will assist in the creation of a Prosperous City for All, particularly by ensuring that:
- Everyone who lives in the city can enjoy its unique heritage and range of activities
 - And Visitors, businesses and residents are impressed with the quality of our city
 - We are entrepreneurial, by making the most of commercial activities

Implications

- **Financial**

The commitments to public access and interpretation will be necessary to secure HLF grant funding. HLF grant funding to repair and adapt the historic fabric is also dependant on the £1m of remaining EIF allocation (which includes provision of the Design Team fees) and the £350k already committed to the Guildhall repairs in the capital programme. The capital cost for the leisure elements are expected to be self financing and the review of the office element business case will be reported to executive in October. The potential award of a loan of £1m from Leeds City Region LEP Regional Growth Fund identified in the outline business case in December 2014 will be dependent upon the review as this will only be granted if the office element of the scheme is focussed upon the creative industries sector. If this loan is not forthcoming then CYC would need to prudentially borrow at an annual revenue cost of £61,000 pa.

Human Resources (HR)

The Guildhall is currently managed by the Civic and Mansion House team. It will be important to clarify the role of these staff in relation to the Guildhall, particularly as and when the Mansion House redevelopment

moves forward but there are no specific HR implication of the decisions in this report.

- **Equalities**

There are no equalities implications in relation to the recommendations above. However, there are known problems with the accessibility of the complex and proposals to increase public access will need to address these. Any interpretation proposals would also need to meet current best practice standards, but this will also be an HLF requirement.

- **Legal**

The procurement process to select the Design Team is an EU compliant process and the appointment would be on a staged basis where clear break clauses at each stage – there is no commitment to appoint at this stage. The procurement of a commercial agent is a low value contract which can be entered into following the receipt of three suitable quotes.

Information Technology (IT)

There are no IT implications at this project stage

- **Crime and Disorder**

The Detail Design of any changes to the complex and particularly proposals to make the riverside more publicly accessible will require detail consideration of crime and disorder implications and there will be structured input from the Police Architectural Liaison officer

- **Property**

It is expected that the core of the historic Guildhall will remain in Council ownership and the commitments to public access outlined in the report are compatible with this approach. Long leases (25 -99 years) may be necessary for the commercial leisure elements at the periphery of the site, and could be instrumental in delivering a commercially viable project forming an important component of the detailed business case.

Risk Management

Failure to progress plans for the repair and maintenance of the Guildhall leave the structure and fabric of a historic and iconic city centre building at risk. The

project itself faces risks around achievement of grant funding, financial viability, planning permission / listed building consent being agreed for changes to a historic building. A full risk register is maintained by the project and will be regularly reviewed by the project board as the project progresses. Actions are in place through the project development phase to address the project risks

Contact Details

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Tracey Carter - Assistant Director for Finance, Property and Procurement

Report Approved



Date 21 July 2015

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

All

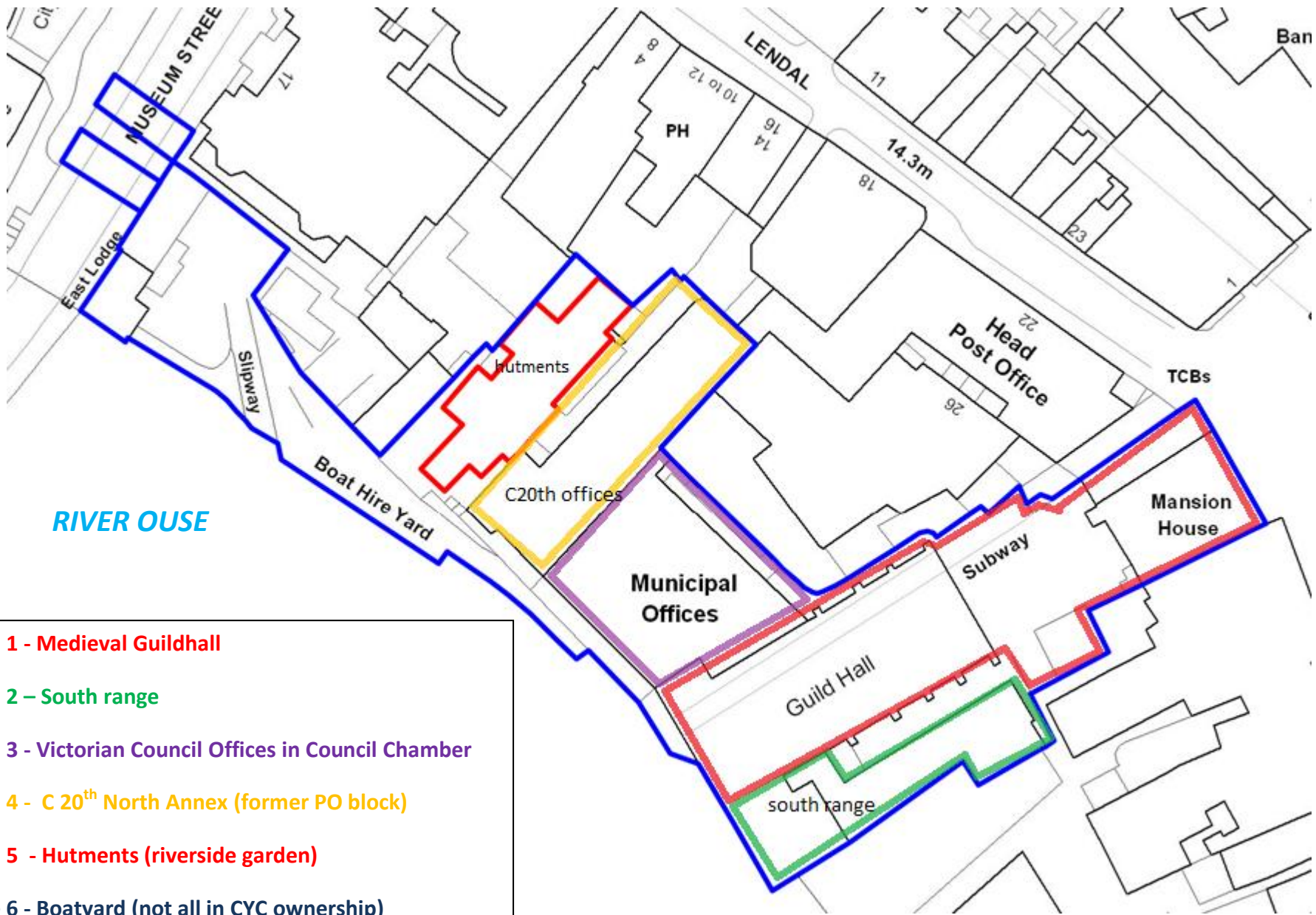
For further information please contact the author of the report

Background Papers:

- HLF bid May 2015
- Purcell options appraisal 2012

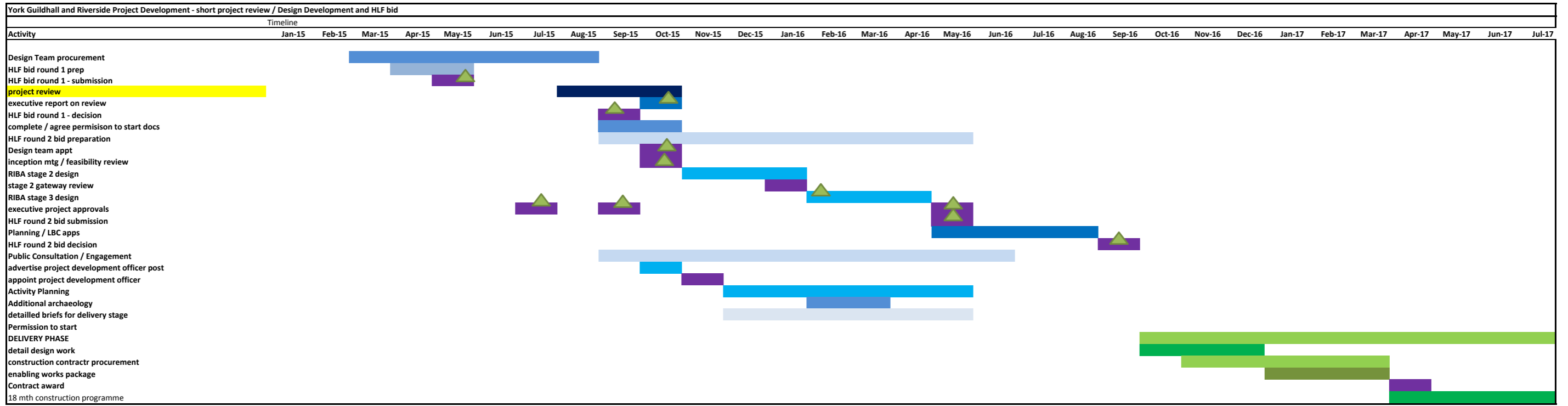
Annexes

Annex 1 – Site zones
Annex 2 – project programme



- Zone 1 - Medieval Guildhall**
- Zone 2 – South range**
- Zone 3 - Victorian Council Offices in Council Chamber**
- Zone 4 - C 20th North Annex (former PO block)**
- Zone 5 - Hutments (riverside garden)**
- Zone 6 - Boatyard (not all in CYC ownership)**
- Zone 7 - Mansion House**

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Executive**30 July 2015**

Report of the Director of Children's Services, Education and Skills

Castlegate Update**Summary**

1. The purpose of this report is to update the Executive on progress of the transformation of services for young people currently located at Castlegate. The report provides a summary of the work that has taken place since February 2015 to develop a new, innovative and sustainable model for youth advice and support services. The report includes further recommendations about the options and timeline for developing and implementing the new youth advice and support service.

Recommendations

2. Members are asked to consider:
 - to continue to deliver the current range of services from Castlegate as outlined in Option 2 with continued engagement with partners to develop new, innovative and sustainable models of delivery which provides targeted advice and support for vulnerable young people, 16-24
 - it is recommended that we proceed with Option 2 for the remainder of 2015/16 with a view to agreeing a sustainable model described in paragraph 17 to be implemented in 2016/17. A detailed proposal and business case for this remodelled service will be developed through the YorOK Board sub-group and be presented to the Executive in October 2015

Reason: To allow evidence based practice to emerge from other transformed areas of children's services and delivery and other partnership funding streams to be identified.

Background

3. The Castlegate Centre has a history of working with partners including colleges and training providers, York MIND, the Princes Trust and Foundation Housing to provide young people age 16-24, with advice, support and access to non-clinical counselling. Community Links work in partnership with Castlegate to provide the early intervention and psychosis service and offer appointments to young people in need of clinical support.
4. Following the decision by Cabinet in November 2014 to review the agreed proposal to close Castlegate and provide advice and support services including counselling from West Offices, the YorOK Board was asked to assume governance and oversight for the review of the business case. A YorOK subgroup was established and has explored alternative options for delivering advice and support services to young people, 16-25.
5. To date the sub group has met three times. Additional activity has taken place outside these meetings with the Leeds and York Partnership Trust (LYPT) and York MIND to explore different models of working. Visits to successful voluntary and community provision including the Market Place in Leeds have also taken place.
6. Between November 2014 and February 2015 extensive consultation with partners and young people has taken place. The consultation document was sent to approximately 200 individuals and organisations.
7. Twenty two responses were received from partners, including three from local authority (LA) partners, five from mental health charities, clinicians and children's health clinicians, four from schools, colleges and providers, three from Connexions staff, three from the housing sector and one from the Police and Crime Commissioner's office (PCC) and Job Centre Plus.
8. A consultation event for young people was held at West Offices which was attended by Castlegate users and Year 11 pupils. For groups who felt uncomfortable at large events, smaller and more targeted work was used including 1-2-1 sessions. Additionally, an online survey was made available. In total, the consultation engaged 81 young people from the 13-25 age range.

9. The results of the consultation were reported to YorOK sub group and the YorOK Board in February 2015. Feedback broadly favoured city centre premises as the preferred venue for the delivery of advice and support services to young people.
10. The decision taken at the council budget meeting in February to fund Castlegate for the financial year 2015/16 has allowed more time for a full exploration and development of alternative models and to attract more sustainable funding. But at the time of writing, there is no firm commitment to funding from health service delivery partners or the Clinical Commissioning Group.

Options

11. As a result of the work undertaken by the sub group, the following options have been explored.

Option 1

12. This option was put to Cabinet in October 2014. The YorOK sub group felt that the preferred option in the original business case should continue to be discussed as there were merits in the proposal related to the opportunities to co-locate a range of services and partners in an existing city centre venue currently used by some groups of young people which required further consideration.
13. In response to the need to find £245k of savings and after analysis of the services provided at Castlegate, close Castlegate and relocate post-16 IAG, provided by connexions advisers and existing the counselling services to West Offices. Savings would be achieved through reducing the number of Personal Support and Inclusion worker (PSI) posts.
14. Relocating to West Offices would offer a new reconfigured and coordinated post-16 young people's service as an alternative to the current service offered from Castlegate. The service would work in partnership with existing council services such as housing, benefits, York Learning and Future Prospects and partners including (potentially) Jobcentre Plus, the Citizens Advice Bureau, the National Careers Service and the Voluntary Council to deliver the support currently given by the Castlegate Personal Support and Inclusion workers (PSIs).

15. Taking into account concerns from partners and young people about the accessibility of West Offices, this model would retain a PSI post to offer a triage service to diagnose need and link young people to services in the building.
16. Counselling services would be provided in suitable accommodation ensuring a confidential and therapeutic service in line with best practice.

Option 2

17. To continue to fund and deliver existing services from Castlegate until April 2016 to allow for the development of a sustainable integrated youth advice and support service.
18. This model is likely to feature an integrated and co-located youth service offer operating from a city centre venue which would bring together a range of professionals to provide specialist advice and support for young people at risk of NEET, care leavers, those in the youth justice system and from other vulnerable groups. The service would provide targeted support to promote young people's emotional health and wellbeing and support welfare to work pathways to secure effective transition to adult life for vulnerable young people. The newly configured service will develop innovative models of service delivery including face to face and digital solutions co-constructed with service users and partners to maximise the impact, reach and accessibility of the service.
19. Further work needs to take place between August and October 2015 to develop the new model. An important aspect of this work will be to run focus groups with service users and partners to co-construct solutions. Work will also continue to identify funding and staffing resources from health, the LA and other potential sources of funding eg from grants not available to the public sector. An important element in the development of a sustainable new model for a new integrated youth advice and support service will involve a restructuring of existing LA resources and the development of a stronger partnership model to include both health and the voluntary sector.

Analysis

Option 1

Advantages

20. It allows a young people's offer from a wide range of services to be delivered from one city centre venue.
21. Young people can be supported to access a full range of services in one building, allowing for a smoother transition from children's to adult resident services.
22. Co-location will offer opportunities for services to be more integrated and focused upon the needs of young people.

Disadvantages

23. The prevailing delivery model across many LAs indicates that young people value their own space to access services specific to them as they grow into adulthood.
24. During the consultation with partners and young people in November and December 2014, the feedback received indicated that West Offices was not currently perceived as being a suitable building to deliver IAG and support services to young people, particularly those who are vulnerable.

Option 2

Advantages

25. The current delivery model has support from stakeholders and young people as evidenced by the consultation in December 2014.
26. Sustaining the service until April 2016 would allow more time to work with service users and partners to develop a sustainable delivery models.
27. A different model of targeted delivery focused upon the improving the outcomes of vulnerable young people in transition to adulthood.
28. The opportunity for health, the LA and other partners to align resources to provide targeted and integrated services for vulnerable young people.

29. The newly configured service will make best use of existing resources to support young people to develop their emotional resilience and move on into positive outcomes such as independent housing and employment, education and training.

Disadvantages

30. The current building is in need of investment which will be costly.
31. At present the lack of partner (particularly financial) contributions to this model is the major obstacle to taking this option forward.

Council Plan

32. This report relates to the council's corporate priorities, as set out in the draft Council Plan 2015-19 and other key change programmes:
- a prosperous city for all
 - a focus on frontline services
 - a council that listens to residents

Implications

Financial

33. The original business case for the relocation of the Castlegate IAG service for young people delivered a total financial saving of £176k, of which £161k was from the reduction in four Personal Support & Inclusion workers and a 0.5fte Advice Lead, and £15k from the costs of running Castlegate.
34. At budget council in February the decision to relocate IAG to West Offices was amended, and non-recurring growth of £200k was allocated for the 2015/16 financial year to allow staff sufficient time to explore the development of partnerships that might raise additional funding to enable the continuation of the existing service outside of West Offices.
35. Continuation of the existing service at Castlegate would require the one year non-recurring growth to be made recurring and alternative savings of £200k to be found. If continuing in the Castlegate premises is not an option, eg due to its sale to the Civic Trust, there will be additional amounts to factor in relating to running costs depending on the site.

Human Resources (HR)

36. Whilst different options are still being explored there are no direct HR implications arising from this report. Staff are being engaged in the consultation process and their views being considered. There is support available to staff. Any future staffing changes would be managed in line with agreed HR policy.

Equalities

37. A Community Impact Assessment (CIA) was carried out for the October Cabinet Meeting when the initial business case was submitted. When new sustainable arrangements are agreed, then a new CIA will be carried out.

Legal

38. No Implications at this stage.

Crime and Disorder

39. No implications.

Information Technology (IT)

40. No implications at this stage.

Property

41. If future options are brought back to Executive for location of services in West Offices, amendments will need to be made to respond to the consultation and create appropriate spaces for young people. If other options are identified then more in depth property work will be needed to identify and secure alternative space. There may be one off and ongoing costs associated with all options. This work will be carried out by Asset and Property Management working with the service managers, reporting initially to the Capital and Asset Board.

Other

42. None

Risk Management

43. There are no known risks.

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Report Approved



Date

21.07.15

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Wards Affected:

All



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Background Papers

None

Annexes

Appendix 1 - Cabinet report, 10 February 2015 (available online)



Executive**30 July 2015**

Report of the Director of Adult Social Care from the portfolio of the Executive Member for Adult Social Care and Health

Older Persons' Accommodation Programme: The Business Case**Recommendations**

1. Members are asked to:
 - a. Agree to proceed with the Older Persons' Accommodation Programme (the "Programme") as set out in the report, including:
 - i. funding 24/7 care support at Glen Lodge and Marjorie Waite Court Sheltered Housing with Extra Care schemes;
 - ii. building a 27 home extension to Glen Lodge;
 - iii. seeking the building of a new Extra Care scheme on the site of an existing Older Persons' Home ("OPH");
 - iv. procurement of a new residential care facility as part of the wider Health and Wellness Campus at Burnholme; and
 - v. encouraging the development of additional residential care capacity in York including block-purchase of beds to meet the Council's needs.

Reason: to provide suitable accommodation, ideally in a community setting, for the city's older residents including those with complex care needs, those with dementia and those moving out of, or diverted from moving to, existing Council-run OPHs which are no longer fit-for-purpose.

- b. Approve the Financial Plan for the Programme including:
 - i. use of the £3.554m OPH annual budget for the achievement of the Programme and with the intention of generating annual

savings of £284k from 2019/20 rising to £553k by 2023/24 and £9.6m over 25 years;

- ii. allocation of up to £1.2m from the venture fund over the first four years of the Programme to fund the early years costs of achieving change including £88k of design and pre-planning costs associated with new Extra Care provision and £241k Programme management costs; the investment will be repaid from 2019/20 onwards over a 5 year period being fully repaid by 2023/24; the £88k of design and pre-planning costs would be funded from the Programme management budget and then repaid once the Glen Lodge extension is added to the capital programme with these costs chargeable to revenue should the capital scheme fail to progress and that revenue budgets would be needed to address this;
- iii. recommend to Council that £1.156m Programme management costs funded from existing Adult Social Care Capital Grant are added to the Capital Programme and incurred over four years; these costs would be chargeable to revenue should the capital schemes fail to progress and that revenue budgets would be needed to address this; and
- iv. ring-fence the reinvestment of up to £4m of capital receipts from the sale of the surplus to requirements existing older persons assets listed in the report for use on this Programme, subject to further approval regarding capital expenditure.

Reason: So that the project can progress.

- c. Agree that, this autumn, a six week period of consultation is undertaken with the residents, family, carers and staff of two of the Council's OPHs to explore the option to close each home with current residents moving to alternative accommodation and that a further report on the outcome of this consultation be received at the Executive before a final decision to close is made.

Reason: So that the Executive may decide which homes may close having been fully informed of the views of and options available to existing residents.

- d. Note that a recommendation to Council for the £4.15m investment in the Glen Lodge extension be added to the Capital Programme through the appropriate Capital Monitor once the outcome of the funding bid has been confirmed, noting that some of the expenditure

may require prudential borrowing with the associated revenue costs being funded through additional rental income.

Reason: So that 27 additional homes can be added to the Glen Lodge Extra Care facility, providing safe and secure accommodation for older people including those with complex needs and dementia.

- e. Note that a further report will be brought to Executive in the autumn to agree the preferred approach to the development of the Burnholme site in order to deliver a Health & Wellness Campus including residential care provision.

Reason: So that the building of the Burnholme Health and Wellbeing Campus can progress.

- f. Receive regular written updates of the progress of the Programme.

Reason: So that the Executive can be assured that the Programme is progressing according to plan and will be delivered.

Summary

- 2. This report brings forward the Business Case for investment in Older Persons' Accommodation so that the Council can equip York for the changing needs of its older population.
- 3. The Programme as re-set by Council in March 2015 seeks to address these needs by replacing Council run OPHs with a range of provision including Extra Care housing and independent sector provided registered residential and nursing accommodation. The Council needs to address current shortfalls in provision and ensure that the city is equipped to respond to changing needs and demands. The aim is to see the delivery of up to 336 new units of accommodation by 2018/19 for those with high care needs and a further 197 for those with medium and low care needs, and, subject to consultation and Member approval, the closure of York's 225 existing OPH residential care beds by the end of the financial year 2018/19. The provision of accommodation for those with high care needs is particularly important as it means that the needs of the increasing number of people with complex care needs including dementia can be met.
- 4. The Programme has been further revised and will focus on clear objectives which are affordable and deliverable within the financial model laid down. The Programme will:

- a. Give older people choice by increasing the provision of Extra Care accommodation in York so that more people can continue to live independently in their own home, safely and securely;
- ✓ at least 90 new Extra Care apartments for those with high care needs in use by summer 2018 with at least 30 of these available by the end of this financial year.
- b. Deliver dignity and quality in care by replacing existing residential care homes that are no longer fit for purpose with new and purpose built accommodation;
- ✓ at least 105 new and purpose built residential care beds will be built by 2017 with the Council seeking to “purchase” c30 for use by the residents whose care the Council funds.
- c. Deliver the promise to provide a Health and Wellness Campus on the site of the now closed Burnholme Community College, giving life to the city’s ambitions for greater integration between health, care, sport and leisure and delivering beneficial community facilities and homes in the east of the city;
- ✓ approximately 82 care beds (with up to 55 reserved for Council use), community, health and wellbeing facilities as well as homes for local people can be provided by the end of the financial year 2018/19.
5. Based on current projections in the financial model the Programme is affordable. The table below shows the high level financial appraisal:

Table: High Level financial appraisal of the Programme

(figures in £000)	2015/16	2016/17	2017/18	2018/19	2019/20 to 2023/24	ongoing
Project costs	3,858	3,576	3,278	3,601	2,801	2,801
Budget	3,554	3,354	3,354	3,354	3,354	3,354
Cost/(saving)	304	222	(76)	247	(553)	(553)
Venture Fund repayment *	0	0	0	0	269	0
Yearly saving	0	0	(76)	0	(284)	(553)

(figures in £000)	2015/16	2016/17	2017/18	2018/19	2019/20 to 2023/24	ongoing
Venture fund paid back by:						2023/24
Overall 25 year project saving						£9.6m

*the venture fund covers the shortfall in 15/16, 16/17 and 18/19 with repayments starting in 19/20 when Programme savings start to materialise.

6. The Programme should deliver annual savings of £284k per annum from 2019/20 rising to £553k by the end of 2023/24 and £9.6m over 25 years. It is also expected to deliver anticipated capital receipts of £3.6m (after costs) from the sale of the Council's existing OPHs.
7. The earlier years of the Programme require funding. It is proposed the Venture Fund is used. The impact of this is to smooth out these early years' deficits.
8. The Programme is robust as it affords options at key decision points. Should the independent sector not be forthcoming in funding the new care home at Burnholme the Council is able to invest in the care home themselves. Or, as an alternative, invest in an upgraded/renewed care home at Haxby Hall plus additional independent sector care beds.
9. The decision about the funding at Burnholme will be known in 2017 and at that point the alternative investment decisions can be made. Each of these options is forecast to generate a revenue surplus of £354k or £376k respectively. However, both options would require capital borrowing of £6.5m or £2.6m respectively.
10. New Extra Care accommodation, both the extension to Glen Lodge (rented) and the newly built Extra Care facility in Acomb (mixed tenure), will be funded via grant and ring-fenced borrowing paid back over 30 years from rental income and the receipt from the sale of mixed tenure properties.
11. The intention is to use tried and tested procurement processes to deliver the Programme. Legal and procurement colleagues are in the process of determining the most appropriate procurement model for Burnholme but overall the Programme has been designed to be resilient because it takes an incremental approach to change and it has the capacity to adopt alternative approaches at key points while not losing sight of the overall objective.

Background

12. For older people it is recognised that having adequate accommodation is fundamental for dignity and security. Having access to appropriate accommodation with care underpins health and well-being and is the cornerstone to the delivery of sustainable NHS and social care services. York's older residents want to remain living independently in their own home for as long as they can and, if they must move, want choice over where to live to receive care.
13. York's older population is growing rapidly with the number of 75+ residents expected to increase by 50% by 2030; the number with complex needs including dementia is growing even faster. York does not currently have sufficient accommodation with care to cater for this rising population and current supply is no longer fit for purpose, particularly Council run OPHs which are outdated and lack modern facilities: for example, just 31 of the 225 bedrooms have en-suite facilities. More details on the context for change are shown in **Annex 1**.
14. The alignment of Care and Health services in York continues at a pace with strategic alignment being identified in the Vale of York Clinical Commissioning Group's ("CCG") five year plan published in 2014 and the most recent decision of the CCG and the Council to work together to shape New Models of Care. The intention of the Programme is to speed up the development of new care models for promoting health and wellbeing and providing care. The delivery of housing with care and the proposals for Burnholme give life to this new way of working.

Current Position

15. In July 2011 the Council began a strategic review of accommodation for older people and over the following three years moved to replace Council run OPHs with new provision. A timeline of the decision making process is shown at **Annex 2**.
16. Two of the city's OPHs closed in 2012. Staff followed the well-received Moving Homes Safely protocol to guide this change. Further moves to replace OPHs will follow the same protocol.
17. The original procurement was abandoned in March 2015 on the basis of unaffordability (the inability to deliver an ambitious programme within the funding available). This has been the subject of previous Executive reports and more detail is provided in **Annex 2**. The Council intends to

implement “lessons learnt” from the Mazars review of the previous procurement process as we move forward with the new Programme.

18. Auden House on Cemetery Road [Fishergate ward] now has 24/7 care support provision. We have amended the housing and care pathway for this facility and new residents with higher care needs are beginning to move in. This will now be monitored and reviewed so that lessons learnt can be applied to our next target for 24/7 care support, Glen Lodge on Sixth Avenue [Heworth ward].
19. The Council have submitted to the Homes & Communities Agency (“HCA”) a grant application for capital funds to support the building of a 27 home extension (25 apartments, 2 bungalows) to Glen Lodge with the intention of providing specialist Extra Care accommodation for those living with complex needs including dementia. We will know in October 2015 if our grant bid has been successful.
20. The Joseph Rowntree Housing Trust (“JRHT”) has submitted their planning application for the redevelopment of Red Lodge in New Earswick [Huntington & New Earswick ward]. This is an exciting proposal which could deliver at least 45 residential care suites and up to 129 Extra Care apartments of which 86 will be for rent and 43 for Shared Ownership for the Elderly. Their proposals fit well with our strategic plans to see the increase in the provision of Extra Care in the city and the upgrading of residential care accommodation. JRHT have sought HCA grant funding to support the build costs for this redevelopment. Should this public subsidy be achieved the Council will be given nomination rights to these homes (23 social rent homes and 43 Shared Ownership for the Elderly properties at first let and 65% of social rented properties and 100% of Shared Ownership for the Elderly properties in perpetuity, subject to legal agreement) and will also support and benefit from an innovative ‘downsizing’ programme for existing New Earswick residents.
21. Independent sector providers are moving forward with plans to increase the provision of high quality residential care in the city. Springfield Healthcare group have announced plans to invest £7m in the re-development of the Head Office building at the Terry’s site [Micklegate ward] to create a new care village to provide 82 care suites and eight luxury apartments for residents, creating high quality accommodation. The centrepiece for the development will be the restored glass atrium and feature an internal market square, with cafes, street lighting, outdoor dining, shops, and other facilities. The planning application has been submitted and it is due to open in January 2017.

22. In addition, we are aware that another independent care home provider is interested in developing a 70 bed facility in the east of the city. In due course they may be interested in considering the Burnholme site.
23. The sale of Oliver House [Mickelgate ward] to McCarthy & Stone will allow the building of c30 high quality age related homes and contribute to meeting an identified need; 81% of York's older residents own their own home. The sale will also generate a sizable capital receipt which will be used to support this Programme. The reserve purchaser for Oliver House also plans to build age related housing.

The Business Case

24. The business case is now ready to present to Members for approval and is encapsulated in this report.
25. Older Persons' Accommodation has been the subject of extensive review and scrutiny by the Council, as listed in **Annex 2**. A detailed set of options were identified and evaluated as part of the original OPH procurement process. Options included "take no action", "extend and refurbish existing homes", "purchase all or an increased number of beds from the independent sector", "Council fund the design and build of new care homes and continue to operate them with council staff", "the Council fund the design and build of new care homes and enter a partnership with an independent sector developer to fund and build a new home" and "a combination of the other options".
26. Following the abandonment of the original OPH procurement process in March 2015, the above options were revisited along with a further option - a mixed approach involving making more use of Extra Care, use of independent sector care beds and funding the building of a new care home. The final proposed Programme takes the March 2015 approach one step further and seeks an independent sector partner to fund and operate the new care home at Burnholme while making best use of Haxby Hall as we prepare for this.
27. The Programme is therefore as follows:

Making Best use of Existing Provision

28. Our first focus is on making best use of the existing stock of Extra Care Housing in the city. There are five dedicated sheltered housing with 'extra care' services in York containing 205 units of accommodation. Four of these are Council managed schemes - Marjorie Waite Court, Gale Farm Court, Barstow House and Glen Lodge, whilst the fifth (Auden

House) is managed by York Housing Association. All homes in these schemes are to rent.

29. A joint Social Care and Housing review has revealed that best use is not being made of these assets. Overnight care is not available as a matter of course and as a consequence the proportion of residents with care needs is low compared to the national benchmarks. 61% of residents are not in receipt of a care package; a national benchmark would suggest that no more than 30% of residents would have a low care need. Furthermore, only 8% have a high care need against a benchmark of 30%. This means that this resource is being under-utilised as a solution to meeting the accommodation needs of older people with care needs.
30. The Programme will invest in care resources, make changes to allocations and lettings processes, and where necessary, make minor physical improvements at Glen Lodge and Marjorie Waite Court. Care resources have, from April 2015, already been enhanced at Auden House and modifications made to the allocations process; we are monitoring the impact of these changes and will “tweak” the approach before making changes at Glen Lodge and Marjorie Waite Court. For the time being the services at Barstow House and Gale Farm Court will remain as day-time care provision only.
31. We will work with existing residents to keep disruption to a minimum. In order to maximise best use being made of care resources we will support, with help and advice, existing residents who wish to move to more suitable accommodation.
32. These changes, implemented incrementally over the next year, will create at least 27 high care places that will facilitate the OPH replacement programme.

Extra Care for those with complex needs including dementia

33. Extra Care Housing is a very flexible form of accommodation with care for older people and has the advantage that residents remain living in their own home while receiving care and social support on site, which is our stated ambition wherever we can achieve it. Extra Care has the capacity to accommodate residents with complex care needs including dementia. Accommodation focused on those with complex care needs is now featuring in many newly built Extra Care facilities where residents live in a ‘family’ setting with others, having their own bedroom and bathroom, etc. but sharing lounge and dining space. This approach is

similar to the 'family setting' to care accommodation that we sought from our purpose-built care homes.

34. It is proposed that York builds its first Extra Care facility for people with complex care needs including dementia on land adjacent to Glen Lodge on Sixth Avenue, Heworth. Glen Lodge and the adjacent land are in the ownership of the Council and the intention is that procurement of the works will be undertaken in-house.
35. HCA funds have been sought for a 27 home extension to Glen Lodge. The overall capital funding will be achieved via grant funds and borrowing paid for from rental income. We will work with residents to keep disruption to a minimum. We anticipate having the new facilities open for use by 2017, accommodating up to 20 residents with complex needs including dementia who would otherwise have been accommodated in an OPH.
36. A key advantage of this approach is that the accommodation is community based which means that people may not need to move far in order to be accommodated there, helping with the maintenance of family and friendship ties and independence.
37. Future new build Extra Care schemes will be commissioned with facilities tailored to the needs of those with complex care needs including dementia.

New Extra Care provision

38. York is also under-supplied with Extra Care Housing given the city's demographics and the anticipated growth in the numbers of over 75s expected over the next decade. Analysis suggests that there will be a need for 490 units of Extra Care accommodation by 2020, rising to 645 in 2030, based upon national benchmarks. There is a need for both Extra Care to rent and Extra Care to buy; currently just one third of the provision in York is to buy despite 81% of York's older residents owning their own home.
39. The independent sector is beginning to address this need. For example, McCarthy & Stone are currently building 28 new sheltered homes to buy at Smithson Court on Top Lane in Copmanthorpe, and are seeking to buy the Oliver House site in Bishopthorpe in order to develop 30 more homes.
40. Other providers are also interested in developing Extra Care in the city. The Abbeyfields Society is in discussions regarding the extension of their

existing facility at Regent Mews and the JRHT have applied for planning permission to replace and extend Red Lodge in New Earswick.

41. The current Older Persons' Housing Strategy states that the Council should grow the provision of Extra Care in the city and the HCA has identified funds which could facilitate this growth. It is therefore proposed that the Council sets off on this path now, subject to formal approval by Executive, with the intention of identifying partners who will be willing to build and run Extra Care in the city, facilitated by HCA grant. The target location is Acomb, ideally close to the shops on Acomb Road or Front Street. This location is favoured both because it will be attractive to potential occupants and also because we can provide services in partnership with the CCG with local GP facilities on Acomb Road.
42. The new mixed tenure facility will be funded by a combination of grant, receipts from sales and borrowing funded by rental income.
43. Based on current projections, it is anticipated that the procurement and construction of a new Extra Care facility could be completed by 2018, allowing for the accommodation of residents who would normally live in/move to an OPH, releasing from use one of the Council's current OPHs.
44. In the longer term the Council should consider targeting the provision of three additional Extra Care schemes by 2025, providing a total of 180 units of accommodation to buy or rent, closing the gap in provision for York. Early indications are that the private and independent sector may be showing interest in developing such schemes in York, subject to land availability.

Independent Living

45. York Supported Housing Strategy 2014-2019, published in 2013, and the CCG Integrated Operational Plan 2014-19, published in June 2014 together drive our ambition for housing, care and health agencies to work together to deliver services which support independent living. These plans drive this and other programmes.
46. The Housing for Older People Programme is linked and complements our intention to work to keep the 'frail elderly' living safely in their own homes for as long as possible so that demand for residential care facilities suitable for people with high dementia and/or physical dependency care needs can be contained within a proportionately smaller estate of homes. Evidence of the success of the Council's re-

ablement approach is now clear: admissions to residential care homes have been held steady despite rises in the underlying population.

47. The further development and promotion of independent living does not form part of this Programme but instead is a fundamental part of the new operating model for Adult Social Care which is currently being implemented.

Working with the independent sector to increase supply

48. Since the Council began on the journey to replace its OPHs the private market has begun to change in York. A 90 bed home is to be built on the Terry Chocolate Works site, subject to planning permission. This will increase the quantity of private provision and also adds to the quality of care provided. Speculative interest is also shown in the building of a new, 70 bed, care home in the east of the city.
49. We will continue to engage with existing residential care home providers to examine what opportunities are available for expansion of specialist dementia care beds in current homes, many of which are already registered for this type of care. Together we will examine the barriers to expansion and the Council will consider the provision of capital loans and grants to facilitate the provision of additional dementia care beds in the city. The provision of loans and grants will need to be assessed against State Aid rules and the terms strictly defined. Even with modest success such a scheme could increase dementia care bed provision by 20 to 40. The Council would be an interested and active purchaser of these beds for existing OPH residents and for new entrants to residential care.
50. Looking towards demand for care beds at 2020 and beyond, the Council will build on the successful approach adopted over recent times in working in partnership with independent sector provision to develop new homes in the city (with dementia beds), alongside other homes and services on the sites. By actively promoting interest in care home provision we expect to see a growth in provision in the city.

The Burnholme opportunity

51. Executive agreed in July 2014 that the Burnholme School site (Plan A) should be developed as a Health and Wellness Campus which would benefit the community, and agreed to seek development partners to progress this vision.
52. To help inform this decision the Council held a consultation event in March 2014 and the key messages to emerge were:

- a. a place to access local services including health services as well as a place to meet and socialise;
- b. extensive support for sports uses and for activities that young people would find of interest;
- c. general acceptance that some residential use (ideally to include affordable housing) will be required to cross-subsidise other community activity;
- d. preference for re-use of some of the existing buildings and not completely demolishing the school; and
- e. connectivity with Tang Hall and Derwenthorpe.

53. We have also spoken with a number of key partners who would be interested in joining in with the development of the Burnholme Health and Wellness Campus, summarised as ‘an exceptional opportunity to create a place where people want to be: from toddler to centenarian’. The development can accommodate a child-care nursery, an Explore library, a care home, community church, sports areas (both indoor and outdoor), a GP surgery, community spaces for sessional hire, health services, community retail and homes; things to bring all together.
54. The re-development of this community asset will bring many benefits to the East of the city as well as meeting city wide need for care, health facilities, housing and employment.

	Meeting Community Need	Bringing income to Burnholme	Delivering health and well being	Meeting City-wide need	Creating Jobs & Enterprise
Explore Library including cafe	✓	✓	✓		
GP medical services	✓	✓	✓	✓	
Pharmacy	✓	✓	✓		✓
Hair dresser	✓	✓			✓
Care Home @ c82 beds	✓	✓	✓	✓	✓
CCG treatment and “step-up; step-down” beds	✓	✓	✓	✓	✓
Sports areas, in & out door	✓	✓	✓		

	Meeting Community Need	Bringing income to Burnholme	Delivering health and well being	Meeting City-wide need	Creating Jobs & Enterprise
Community Church	✓	✓	✓		
Community spaces for sessional hire	✓	✓	✓		
Third sector and 'start up' rooms to rent	✓	✓		✓	✓
Homes to buy and rent	✓	✓		✓	✓
Enterprise & innovation accommodation	✓	✓		✓	✓

55. Officers have met with colleagues in NHS England and the CCG and they have expressed interest in the proposals, describing the concept as “transformational”. NHS England indicate that funding is likely to be available for the capital, and some of the revenue, costs associated with the health elements of the development, and a new funding round may be available in the summer of this year. Funds may also be available to support feasibility and business case development.
56. The Burnholme Health and Wellness Campus will be fully integrated into the wider community and will work with the Tang Hall Big Local team (who have recently been awarded £1m of lottery funding) to achieve this goal.

Increasing the variety of accommodation opportunities for Older People

57. When the council or our partners bring forward key sites for redevelopment we will engage in consideration of opportunities for the provision of age related housing to facilitate ‘downsizing’.
58. Work is ongoing to review the Lowfields site (Plan B) so that it may be used for the provision of new homes with the extent and type of housing that can be accommodated mindful of access and other considerations. A capital receipt for the site is expected to be released, as anticipated when Lowfields School moved to the York High site in 2007.
59. It is also proposed that we explore the benefits of building additional ‘downsizing’ homes to buy and to rent by older people on some of the sites of Morrell House, Willow House, Winsor House and Woolnough House when they become vacant, complementing the provision of family homes on these sites and ensuring that vibrant communities used by

local people replace what is there at present. Each site will be examined on its own merits and in the context of the wider capital and asset needs of the city.

Programme Outcomes

60. The Programme will provide replacement accommodation to facilitate the replacement of the Council's seven OPHs. In addition, it creates additional capacity in order to allow for population change. The provision of accommodation for those with high care needs is particularly important as it means that the needs of the increasing number of people with complex care needs including dementia can be met. The expected outcomes are listed below:

Table: Expected outcomes achieved by the Programme

Where	When	Total	High Care Needs	Medium Care Needs	Low Care Needs
Auden House Extra Care	Apr-15	41	16	15	10
Glen Lodge Extra Care (existing)	Dec-15	42	17	15	10
Marjorie Waite Court Extra Care	Apr-16	42	17	15	10
Glen Lodge Extra Care (extension) *	Dec-16	27	20	4	3
Chocolate Works Care Home *	Jan-17	90	90	0	0
Red Lodge – Care Home *	Jan-17	30	30	0	0
New Extra Care Scheme in Acomb*	Jun-18	50	20	15	15
Red Lodge - Extra Care *	Mar-18	129	44	43	42
Burnholme Care Home *	Nov-18	82	82	0	0
TOTAL		533	336	107	90

* subject to planning and other consents.

61. To allow for an ordered and planned replacement of existing OPHs (and subject to relevant consultation) new provision will be brought into use in an orderly fashion so that we can provide for the Council residential care beds currently occupied by permanent residents. This outline transition plan is shown in **Annex 3**.
62. As the Programme progresses some residents of existing Council OPHs will be given the opportunity to move to Haxby Hall. Once new provision is available on the Burnholme site, and subject to consultation, the residents of Haxby Hall will move there.
63. The population of the Council OPHs is fluid and comprises, as at 25 June 2015, 186 permanent residents. Of the permanent residents

approximately 16% pay full fees and could choose to live in independently run homes while a smaller percentage are empty beds awaiting a permanent resident. The changing nature of these numbers, and the fact that any change can only follow full consultation, means the transition process to new provision is incremental. All changes for existing residents will be taken after following the Moving Homes Safely Protocol.

64. As the Programme progresses provision will be made for 'step down' beds, again on an incremental basis in homes as they prepare to close, and on a more permanent basis in suitable accommodation. The Council is currently in discussion with Health colleagues on this subject and several opportunities for new provision are in sight. As we move forward, we will seek to provide 'step down' accommodation in an environment that will support and speed re-ablement and which will have flexibility to meet with the changing demands of the seasons.

Delivering the Programme

65. The Programme takes a step-by-step approach to re-provision which is ordered, deliberative and has key decision points built in which aid flexibility and minimise risk. The stages or steps are as follows:

Stage One: 2015 and 2016

66. The first step is straightforward: we will invest in making best use of existing Extra Care facilities and promote the building of new provision in order to provide accommodation for at least 90 residents with high care needs. In the first two years of the Programme this will allow us to replace up to three of our existing OPHs with current OPH residents moving into Extra Care, independent sector residential care provision or Haxby Hall.

Stage Two: 2016 and 2017

67. The building of new Extra Care provision: an extension to Glen Lodge [27 new homes with at least 20 used by those with high care needs] and a new Extra Care scheme [with 50 places of which at least 20 will be for those with high care needs].
68. By Q1 2017 new independent sector residential care provision will also be available, subject to planning permission, at the Chocolate Works and at Red Lodge. These developments will increase provision in the city by 105 and the Council will seek to purchase up to 20 beds from one or

multiple providers in order to accommodate residents with complex needs moving out or displaced from existing Council OPHs.

69. These places will become available in late 2017 / early 2018 and will facilitate the replacement of two Council OPHs with some moving into Extra Care and others moving into independent sector residential care beds.
70. Over the same time-scale, other providers are also expected to deliver an increase in Extra Care provision in the city. The JRHT are seeking planning permission to provide up to 129 Extra Care Homes on the site of Red Lodge in New Earswick and this provision will aid this Programme and equip the city for future demand. This is expected to be open by March 2018.

Stage Three: 2017 and 2018

71. For the longer term and to facilitate the completion of the replacement programme and mitigate the risk of over reliance on market led independent sector provision we will pro-actively seek the provision of new residential care provision [82 beds of which we block-purchase up to 55 at a target price] as part of the wider Burnholme Health & Wellness Campus.
72. The preferred option would be an independent sector capital funded solution procured via the wider Burnholme redevelopment. There may be insufficient appetite for independent sector investment in which case an alternative solution is set out in paragraphs 74-76 below.
73. Once complete, in 2018/19, all residents of Haxby Hall move to this new facility.

2017 Decision Point: alternative approach to new provision

74. By early 2017 (following detailed work by the project team) we should know for certain whether the independent sector is willing and able to invest in the care home at Burnholme. The plan allows for a decision to be made at this point for the Council to fund the construction of the Burnholme care home as an alternative to independent sector investment.
75. At this decision point we will know the real (rather than estimated) cost of construction and this could make Council capital investment attractive. The business plan and financial model demonstrates that this decision would increase required capital borrowing to £6.5m and reduce the 25

year revenue saving to £5.9m; no capital receipts would be generated. However, based on current assumptions in the financial model this option would still be affordable and can be delivered within the financial parameters set down for the Programme. Further detailed analysis of the figures will follow as the Programme progresses and we will keep Members fully briefed of any significant changes that impact on the affordability of the project.

76. At this decision point the Council will also consider an alternative option which would be to invest in the Haxby Hall site and also buy more beds from the independent sector. This would be achieved by re-modelling, extending and incrementally re-developing Haxby Hall to achieve a 48 bed residential care home and purchasing up to 37 beds in the independent sector. At the same time the Council would seek a partner to assist with the operation of Haxby Hall. Once more this option is affordable within the financial parameters set down for the Programme: it would generate a £6.2m saving over 25 years but require capital borrowing of £2.6m and no capital receipt would be forthcoming.

Moving forward with the Burnholme Health and Wellness Campus

77. The original Option Appraisal, which was considered by Executive in July 2014, has been reviewed, particularly in light of the decision in March 2015 to incorporate the residential care home into a more holistic and integrated vision for the site. All stakeholders and partners have reaffirmed their commitment to the redevelopment of the site, which was also widely supported by local people during consultation in early 2015.
78. The previous proposal for Burnholme (approved by Executive in July 2014) was for a partial refurbishment of the existing school buildings, providing flexible accommodation for community and third sector organisations, as well as for sports and active leisure, and for a new build primary health care development for GP and other healthcare services. The additional elements to consider following the termination of the original OPH procurement process is to provide for housing on the site previously earmarked for the OPH and integrate the new care home into the wider development. This will have the added advantage of providing income to fund those areas identified for community use. A capital receipt is expected to be generated from the release of the current Tang Hall Explore Library which could be used to fund community facilities at Burnholme, should the library move.

79. Some initial “soft” market testing indicates that the development as described should attract private sector interest subject to the following caveats:

- minimal abnormalities off site;
- no design creep from refurbished to brand new buildings on the community side;
- upgrading sports facilities - standard and extent to be realistic;
- maximising the housing offer (but excluding the 4.3 hectares of playing fields, area B on the plan);
- commitment from NHS England/CCG and/or appropriate provider to GP services to rent/lease/buy the GP accommodation;
- commitment from the Explore Library service to the revenue costs of accommodation provided for Explore library and reading cafe;
- commitment to block purchase some beds within OPH element; and
- minimal or no capital receipt to the Council for land (cross subsidises scheme because of risks on community space etc).

80. A specification is currently being developed to include the Council’s detailed requirements. The preferred option would be to procure a development partner through an existing OJEU-compliant procurement framework. This approach will expedite the procurement process and thus delivery, though the decision as to how to proceed will be subject to scrutiny by colleagues in legal and procurement departments, to ensure that the framework used is fit for purpose. There are alternative approaches to this procurement route and these are currently being considered by legal and procurement colleagues.

81. In parallel, we have held discussions with neighbouring schools to ensure that their needs for outdoor curriculum areas are met and as a result have lodged a submission to the Secretary of State to remove the “playing field” designation from disused and surplus land of 1.515 ha (area C on the plan). This allows the land to be integrated into the wider development. Failure to secure this approval is a significant risk to the delivery of this element of the Programme and is highlighted in the list of Programme risks.

Consultation

82. The portfolio holder for Adult Social Care and Health is responsible for this Programme and will receive regular briefings and updates on its progress to ensure that it is delivered in a timely and effective manner.
83. The Executive will receive regular written updates on the Programme, charting the achievement of key milestones and outcomes.
84. The Health and Adult Social Care Policy and Scrutiny Committee will scrutinise delivery of this Programme and assess and monitor its impact upon the other key strands of the Adult Social Care Transformation programme.
85. The Health and Wellbeing Board will also be kept fully informed.
86. Whatever, and whenever, the announcement regarding the closure of individual Council run OPHs it will be important to follow the approach that has served us well throughout the programme: delivering sensitive messages in a careful, well managed sequence:
 - i. Briefing key external stakeholders who have been actively involved to date (e.g. Age UK York and York Older People's Assembly).
 - ii. Briefing OPH Managers/staff & Care Management colleagues.
 - iii. Updating OPH residents/relatives.
 - iv. Updating all other stakeholders, including NHS commissioner and provider organisations.
 - v. Media briefing.

Community Engagement

87. The Council is sensitive to and aware of the concerns of older people/relatives/stakeholders about the closure of their existing OPH and will work with them to ensure that the moves/closures are handled sensitively.
88. As the Programme audience is diverse, it will be difficult to communicate to all of them with one method of communication. The target audience will therefore be broken down into smaller groups that can be targeted separately with tailored, accessible and consistent messages.

89. A Communications Strategy has been drafted which provides a framework for that communication over the period May 2015 – May 2016. The strategy is a working document and will therefore be regularly updated and reviewed throughout the lifespan of the project (2015-2018) to reflect the progress of the project, proactive communication opportunities and any required reactive communications.
90. The OPH Reference Group, comprising representatives from York Older Peoples Assembly, York Council for Voluntary Service, AgeUK York and others, will be revived and will work with the Council to guide this Programme as it moves forward.

Council Plan 2015-2019

91. The proposals work towards achieving the following Council plan priorities:
- **A prosperous city for all** - where local businesses can thrive and residents have good quality jobs, housing and opportunities.
 - **A focus on frontline services** - to ensure all residents, particularly the least advantaged, can access reliable services and community facilities.

Implications

Financial

92. The table below shows the high level financial appraisal to secure:
- 90 high needs extra care places;
 - an independent sector built and funded care home at Burnholme (with up to 55 beds for Council use); and
 - purchase 30 residential care beds in the independent sector.

Table: High Level financial appraisal of the Programme

(figures in £000)	2015/16	2016/17	2017/18	2018/19	2019/20 – 2023/24	ongoing
Project costs	3,858	3,576	3,278	3,601	2,801	2,801
Budget	3,554	3,354	3,354	3,354	3,354	3,354

(figures in £000)	2015/16	2016/17	2017/18	2018/19	2019/20 – 2023/24	ongoing
Cost/(saving)	304	222	(76)	247	(553)	(553)
Venture Fund repayment	0	0	0	0	269	0
Yearly saving	0	0	(76)	0	(284)	(553)
Venture fund paid back by:						2023/24
Overall 25 year project saving						£9.6m

*the venture fund covers the shortfall in 15/16, 16/17 and 18/19 with repayments starting in 19/20 when Programme savings start to materialise.

93. The Programme is forecast to deliver annual savings of £284k per annum from 2019/20 rising to £553k by the end of 2023/24 and £9.6m over 25 years. Further detailed analysis will follow once more detail is known about the delivery model, the procurement route and the funding streams. The figures set out in this section below have been based on a number of assumptions which may be subject to change as the Programme progresses. We will keep Members informed of any significant changes.
94. This option would require early-year's investment of up to £1.2m which will be incurred prior to any revenue savings being delivered. This would be paid back within 8 years of the Programme starting. Members are asked to approve funding of this early year's investment from the Venture Fund.
95. The Programme realigns the current care population by planning to reduce the number of customers in residential care whilst increasing numbers in Extra Care schemes. Residential care is approx £170 more expensive per week than Extra Care.
96. Capital receipts of £3.6m are anticipated from the sale of:
- Fordlands Road OPH;
 - Grove House OPH;
 - Haxby Hall OPH;
 - Morrell House OPH;

- Oliver House OPH;
- Willow House OPH;
- Windsor House OPH; and
- Woolnough House OPH.

97. These receipts are to be ring fenced to support this Programme. They could be used to support other Council priorities should the Programme not require this funding,
98. The site of Oakhaven OPH, at nil capital value, will also be used to achieve the outcomes of the Programme.
99. The capital costs of the new builds at Glen Lodge and the new Extra Care scheme in Acomb will be funded from HCA or other grant and rental income over 30 years. There is discussion over whether the initial borrowing will be General Fund or Housing Revenue Account and this will be resolved before adding the item to the Capital Programme.
100. The project assumes £100k capital will be needed to make the existing facilities at Glen Lodge and Marjorie Waite Court fit for purpose. There is also £350k investment modelled for a health hub at the new Extra Care scheme in Acomb which delivers social care and health outcomes and which, therefore, cannot be met from rental or grant income.
101. The revenue costs associated with the 24/7 care staffing of the new Extra Care scheme in Acomb are included in the model. The schemes' running costs are assumed to be met by the customers' service charges.
102. The financial model has been developed using the following assumptions:
- a. The modelled target price for independent sector beds is higher than the published rate of £460 per week as this is felt to be prudent and takes account of care delivered to more complex customers.
 - b. No provision has been made to increase all independent residential care bed rates. It would cost £387k per annum to increase all other placements and as the Council is currently working on a Fair Price for Care review any changes in our published rate will be driven by that review.
 - c. The target hourly rate for domiciliary care is priced at market rate and/or the cost of in-house provision with the assumption that a

proportion of the total cost is met by customer income, as is the current approach to budgeting for such services.

103. Extra Care will be developed in 3 ways: increasing the provision at Auden House (an independent sector scheme), refocusing the provision in Council run schemes and building a new Extra Care scheme in Acomb. There is already a contract and plan in place to implement the changes at Auden house. Additional staffing needed to support high needs customers at Glen Lodge and Marjorie Waite Court have been costed using the current hourly rate of service.
104. Twenty high needs placements are being created at the new Extra Care facility in Acomb and the support for these has been costed at slightly more than the Auden House scheme as the needs profile of those customers is not yet known.
105. Programme management costs are included in the financial model and are as follows:

Table: Programme Management Costs

(figures in £000)	2015/16	2016/17	2017/18	2018/19
Staffing	279	269	269	138
Public consultation	40	27	20	20
Professional & Procurement costs	210	50	50	25
Total cost	529	346	339	183
<i>... of which charge to revenue</i>	<i>87</i>	<i>64</i>	<i>57</i>	<i>33</i>
<i>... of which charge to capital</i>	<i>442</i>	<i>282</i>	<i>282</i>	<i>150</i>

106. The majority of the Programme management costs can be charged to capital as the work undertaken will result in an asset being created or enhanced. This will be funded from the Adult Social Care Capital grant which has been accruing over the last few years to support this project.

Options regarding care home investment

107. The preferred Programme is contingent on the appetite of the independent sector to invest in the building of a new care home at Burnholme. We will know whether this is possible in 2017 (see

paragraphs 74-76 above). If that appetite to invest is not present the Council plan to explore two alternative options:

- i. The Council to invest up to £10m in the care home at Burnholme.
- ii. The Council to invest up to £5.2m in new and/or revamped care provision at Haxby Hall and purchase additional beds in the independent sector.

108. Both of the alternative options are affordable based on current assumptions, as the table below illustrates:

Table: Invest in Burnholme

(figures in £000)	2015/16	2016/17	2017/18	2018/19	2019/20	ongoing
Project costs	3,838	3,566	3,600	4,183	3,000	3,000
Budget	3,554	3,354	3,354	3,354	3,354	3,354
Cost/(saving)	284	212	246	829	(354)	(354)
Cumulative cost	284	496	742	1,571	1,217	863
Investment paid back by:						2023/24

Table: Invest in Haxby Hall

(figures in £000)	2015/16	2016/17	2017/18	2018/19	2019/20	ongoing
Project costs	3,838	3,452	3,070	3,346	3,054	3,054
Budget	3,554	3,354	3,354	3,354	3,354	3,354
Cost/(saving)	284	98	(283)	(8)	(300)	(300)
Cumulative cost	284	382	99	91	(209)	(509)
Investment paid back by:						2019/20

109. Should either of these options be pursued then the cost of use of the Venture Fund will be factored in, the net effect being minimal, as is the case with the current Programme.
110. The capital investment assumptions in both cases are based on calculations undertaken by advisers in 2011 and up-rated by 20% to take account of build-cost inflation. Further, in both cases the estimated capital spend includes a 15% contingency.

Financial Risks and mitigations

111. There are several financial risks associated with the Programme that could impact on the financial viability of the project; mitigations have been identified:
- i. The ability to secure beds at Burnholme up to the target rate.
 - ✓ This risk will be mitigated by the use of competitive procurement.
 - ii. The ability to use the places at Burnholme to lever and limit the costs with other providers we contract with.
 - ✓ This risk will be mitigated by promoting the provision of additional residential care provision in the city (including Red Lodge, the Chocolate Works and elsewhere) and via use of the Fair Price for Care review, which is currently underway.
 - iii. The construction costs for the Burnholme site are unknown.
 - ✓ External advisers indicate that the proposals are viable, we have good insight into the cost of building and running health facilities and the estimated costs of the new care home are based upon previous estimated, uplifted for inflation and containing a 15% contingency provision.
 - iv. The ability to move/redirect people from residential to Extra Care.
 - ✓ This risk will be mitigated by working with care assessment colleagues and following good practice from other authorities, including North Yorkshire County Council where moves from residential care to Extra Care have been successful.
 - v. The ability to redirect customers with no care needs out of Extra Care schemes.

- ✓ This risk is mitigated by making modest assumptions about the numbers of places which become available in existing Extra Care provision and by opening up dialogue with individual customers about suitable alternative housing choices.

112. The Programme is financially robust in light of cost inflation. We have tested it in light of several possible scenarios. In each case the Programme still achieved savings by the fifth year although in respect to increases in the cost of staff change, it takes longer to pay off the initial costs. The results are shown below:

Table: 5% increase in external residential care

(figures in £000)	2015/16	2016/17	2017/18	2018/19	2019/20	ongoing
Cost/(saving)	304	232	(67)	247	(477)	(477)
Cumulative cost	304	536	469	716	239	(238)
Investment paid back by:						2020/21

Table: 5% increase in Extra Care domiciliary costs

(figures in £000)	2015/16	2016/17	2017/18	2018/19	2019/20	ongoing
Cost/(saving)	324	264	(19)	311	(472)	(472)
Cumulative cost	324	587	568	880	408	(63)
Investment paid back by:						2020/21

Table: 5% increase in programme management costs

(figures in £000)	2015/16	2016/17	2017/18	2018/19	2019/20	ongoing
Cost/(saving)	308	235	(63)	247	(553)	(553)
Cumulative cost	308	543	480	727	174	(379)
Investment paid back by:						2020/21

Table: 50% increase in cost of staff change

(figures in £000)	2015/16	2016/17	2017/18	2018/19	2019/20	ongoing
Cost/(saving)	354	307	8	547	(553)	(553)
Cumulative cost	354	661	669	1,216	663	110
Investment paid back by:						2021/22

113. A high level transition plan has been used to develop the financial model (attached at **Annex 3**). A more detailed transition plan will be prepared after consultation with each individual home.

114. The business case for the Health and Wellness Campus at Burnholme will be brought to Executive in the autumn to agree the preferred approach to the development of Burnholme site including residential care provision. This will include consideration of the capital receipt from the release of the current Tang Hall Explore Library site.

Equalities

115. In considering this matter the Council must have regard to the public sector equality duty. In summary, those subject to the equality duty must, in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Equalities Act 2010.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.

116. The Equalities Act 2010 explains that having due regard for advancing equality involves:

- Removing or minimising disadvantages suffered by people due to their protected characteristics.
- Taking steps to meet the needs of people from protected groups where these are different from the needs of other people.

- Encouraging people from protected groups to participate in public life or in other activities where their participation is disproportionately low

117. An Equality Impact Assessment for the Housing for Older Persons Programme was produced for the 15 May 2012 Executive Report. It particularly highlighted the potential implications of the programme for the health, security and wellbeing of frail residents and also female members of staff who are older and also carers themselves.
118. In response, the Council developed and followed a 'Moving Homes Safely' protocol which it followed when (in the first phase of the Programme) it closed Fordlands and Oliver House in March 2012, to ensure that residents' moves to their new homes were as well planned and carefully managed as possible. Likewise, careful management of staff change helped to mitigate the impact of these closures. The approach to the new Programme will be guided by these experiences and careful attention to the needs of the individuals involved.
119. An OPH Wider Reference Group has been established to act as a sounding board for the development of plans as the implementation of the Programme unfolds. The project team also continues to use established channels to communicate with, and gather the views of, OPH managers and staff, care management staff, and Health colleagues.

Property

Existing Older Persons' Homes and proposed OPH sites

120. Our intention is to re-provide accommodation for older people who have care needs so that we are able to close or convert existing OPHs. Two homes have already closed (Oliver House and Fordlands) and the Council is currently reviewing bids to purchase the Oliver House site.
121. The Council currently own and manage seven OPHs: Grove House, Haxby Hall, Morrell House, Oakhaven, Windsor House, Willow House and Woolnough House.
122. The order in which homes should close will be determined following consultation with residents and their family/carers, with staff and with other stakeholders. We will also be guided by property investment decisions such as the condition of the existing building, opportunities for redevelopment of the site subject to any planning constraints and market conditions and demand.

123. York's current OPHs are old (built in the 1960's) and increasingly not equipped to meet modern day needs and expectations; for example, only 31 of the 225 beds have ensuite facilities. Despite best efforts to invest and the dedication of staff, it is right to seek to replace them.
124. While current Care Quality Commission inspections identify satisfaction with current standards it is probable that future changes in standards may make some homes obsolete and/or necessitate significant investment.
125. As a forward thinking authority, it is imperative that we ensure that we have a viable and deliverable programme, which pre-empts the further inevitable decline of these facilities and maintains a quality of service, which our residents rightly expect.
126. A phased replacement of OPHs is proposed with the first to go in late 2015/16 and some still remaining in use until 2018. It is necessary to keep up with essential maintenance during this period in order to keep homes safe and comfortable. This is to be funded from the existing revenue budget.
127. If there is no requirement to reuse vacant OPH sites then the sites will be sold and used to fund the project.

Glen Lodge Extension

128. Land beside Glen Lodge on Sixth Avenue was previously occupied by the Heworth Lighthouse project. They have moved out and the site is available for re-development. This land will be used to assist and facilitate the extension of Glen Lodge.

Burnholme Health & Wellness Campus

129. No capital receipt is expected from the school site and the Asset & Property Management team are actively involved in the development of the business case for this project.

Lowfields

130. A capital receipt is expected from the site as per the assumed receipt in the capital programme.

Legal

131. The procurement issues relating to the Programme can be summarised as follows:

- Procurement of capital works and/or extensions to current Council Sheltered Housing with Extra Care fits within the Council's normal approach to the procurement of capital works and subject to the necessary due diligence on the existing sites and confirmation of title/related property issues is, therefore, considered to be relatively low risk.
- Procurement of new Extra Care facilities in partnership with Housing Association partners and/or developers supports the Council's strategic housing obligations and may be able to be procured via existing procurement routes or frameworks. This will need to be considered in more detail in due course.
- The purchase of care beds from independent sector providers reflects current Council practice and it is considered to be relatively low risk.
- The development of the Burnholme site is a complex project given the range of partners involved and the outcomes expected. The procurement and legal structure are yet to be determined and will require further consideration prior to presentation of the business case for the Burnholme redevelopment to Executive in autumn 2015. There are a number of different procurement routes (including pre-existing frameworks) available depending on the final structure/details of the scheme. The various options will need to be subject to further review and scrutiny before a firm decision is made.

132. The consideration of the closure of existing council run OPHs should follow a clear and consultative path. There are a number of potential challenges to local authorities during the process of closing OPHs which will need to be considered in more detail in due course. Previous advice is held and this will be updated by specialist legal colleagues in Adult Social Care.

Human Resources

133. The HR implications of the Housing for Older Persons' Programme have been considered in previous Executive Reports. The key implication is upon the existing 270 staff that deliver the service.

134. The recommended Programme includes a variety of methods of delivery of modernised care for Older Persons within the city which is appropriate to their needs and enables more independent living. In delivering this programme of change, the Council will need to consult closely with the

existing staff to ensure that, where there are opportunities, they are available to appropriately qualified staff, who wish to stay in employment.

135. A draft workforce plan is being developed with its purpose being to ensure that services have the right people with the right skills in the right places at the right time to deliver the right services in the right place.
136. In supporting the re-provision of the Older Persons' Accommodation consideration must be given to the impact on staff currently working in the OPHs whilst at the same time planning for the transition to the new service model.
137. In planning for the future we need to factor in the following:
 - a. develop a more structured approach to the ad hoc requests for voluntary redundancy being submitted at present;
 - b. demographic and social changes, such as an aging population which affect both demand for services and workforce supply;
 - c. minimise skills gaps and staff shortages so that during the life of the project we will not be reliant on temporary/agency staff; and
 - d. identify the people, skills and competencies required in the future by supporting values based recruitment ensuring we attract the right people in the right numbers going forward.
138. The timescales involved in achieving the transformed service delivery will impact the workforce and determine what action is required from an employment perspective at each of the project's key milestones.
139. We already know that the service re-provision could include replacement of the seven OPHs. This will include dispersal of some residents in to alternative provision whilst other closures will involve the transfer of all residents to different providers in newly built facilities. The latter option may afford staff in those homes employment rights under the Transfer of Undertakings Protection of Employment (TUPE) Regulations, as amended in 2014. The estimated cost of any potential TUPE transfer and/or associated redundancy costs have been factored into the financial modelling in relation to the Programme.
140. When we know the programme of closure full and formal consultation will commence with affected staff groups.

141. We will also explore requests for early voluntary severance and movement between homes in order to minimise any impact on staff during the programme of change.

142. In addition we will identify workforce gaps elsewhere in the social care sector and enable appropriate recruitment initiatives to secure the future workforce.

Other Implications

143. There are no specific Crime and Disorder, Information Technology or other implications arising from this report.

Risk Management

144. The Programme described in this report has a lower risk profile than the previous procurement, primarily because there are several different routes adopted, and they follow, with the exception of the Burnholme development, tried and tested approaches. However, there are still many risks associated with change of this complexity; these have been identified, will be kept under review and will be carefully managed:

ref	Risk	Mitigating Action
a)	Options for accommodation for older people do not match the expectations and aspirations of the current residents of York's Older Persons' Homes.	A wide range of options are made available and current residents are supported to assess these against their needs and wishes.
b)	Those with high care needs and their carers/advisers/assessors do not recognise Extra Care accommodation as suitable because there are limited examples in York of this type of accommodation and the care pathways are unclear.	Establish clear and robust care pathways to Extra Care and explain to those with high care needs and their carers/advisers/assessors how Extra Care operates, how it can be a flexible model for those with high care needs and how it operates in other towns as a viable alternative to residential care.

ref	Risk	Mitigating Action
c)	The existing sites do not realise the anticipated level of capital receipts included in the financial model.	Work closely with partners & the Council property team to maximise capital receipts. Agreement needs to be reached as to whether the full capital receipt from the sale of Oliver House can be allocated to this project in order to assist with cash flow in the financial plan. A receipt of this size, achieved early in the project, will help considerably to mitigate this risk.
d)	Insufficient funding to deliver all elements of the project.	The Programme financial model has been robustly tested and assumptions examined. There will be regular reviews of the Programme to ensure that it remains affordable and alternative options for the Programme have also been costed and are affordable.
e)	Title / related property issues - Incorrect procurement of capital works and/or extensions to current Council Sheltered Housing with Extra Care	Applying due diligence to ensure Council's normal approach to procurement of capital works and/or extensions is applied and that title and property issues are handled well.
f)	Inadequate third sector / independent care provider supply of residential care facilities suitable for people with high dementia and/or physical dependency needs	New provision is already the subject of two planning applications, demonstrating the interest from the independent sector to invest in new residential and Extra Care provision. Third sector and independent care providers will need to be encouraged and supported to

ref	Risk	Mitigating Action
		increase their supply of residential care facilities with high dementia and/or physical dependency care needs in York. The Council will need to identify and address any legal and procurement issues surrounding its use of appropriate grants.
g)	Increase in interest rates would impact negatively on borrowing.	An interest rate sensitivity test has been run against the proposed Programme and it remains affordable.
h)	Risk of the new developments/deals driving up the price the Council pays to external residential care providers	Undertaking negotiations with Independent providers. Do not “flood” the market with purchase requirements before effort is made to increase supply.
i)	Project does not deliver the right number and type of care places required.	Modelling of predicted care levels to look at effect of the provision of different numbers of care places by type.
j)	Loss of EPH staff morale leading to negative impact on service provided to existing EPH residents	Maintain staff morale and focus through regular, open and honest briefings/updates; engagement through OPH Managers and staff groups; investment in staff training, support and development.
k)	The cost of any potential TUPE transfer and/or associated redundancy is greater than estimated.	The financial model has been “stress tested” to assess the impact of a 50% increase in the cost of staff change and is still viable.

ref	Risk	Mitigating Action
		Staff change will be managed carefully in order to minimise cost and legal risks.
l)	Challenge and negative publicity from existing EPH residents and relatives, EPH staff/TUs, other stakeholders, opposition parties, wider public	Development of well planned Communications approach through briefings to Residents and relative, Executive, group leaders, TUs, OPH Management & Staff, OPH Review Wider Ref Group, Media
m)	Lack of appropriately trained staff to deliver the type and quality of care required i.e. Dementia and high dependency care	Deliver a workforce plan based on best practice and identify service development programme
n)	Domiciliary care providers are not able to provide the additional 24 hours support at Glen Lodge or Marjorie Waite Court and/or are unable to provide it for a price that is affordable.	24 hour provision was secured at Auden House and at an affordable price, This sets the benchmark. We will consider use of the Council domiciliary care service for Glen Lodge and Marjorie Waite Court and test their costs and availability against what other providers can deliver.
o)	A partner cannot be found to provide the new Extra Care facility in Acomb.	We will consider offering land at nil value to facilitate this development and make use of an appropriate procurement framework in order to seek a suitable partner.
p)	Burnholme: Secretary of State does not give approval for disposal of redundant playing field	Partnership working with local schools to ensure that requirements for playing fields are addressed via access to existing

ref	Risk	Mitigating Action
		facilities. No significant expenditure on this element of the project will take place until consent is granted.
q)	Burnholme: NHS Provider organisations are not able to commit to long term lease due to relatively short term contracts (usually up to 5 years). Commissioning bodies therefore need to 'underwrite' by guaranteeing to mandate the premises within their tenders / contracts.	Early engagement with CCG as commissioning body. Identification of health partners who are able and willing to make longer term financial commitments, such as GP practices.
r)	Private sector not attracted by financial viability of the Burnholme scheme due to extent of Council requirements.	Soft market testing/"socialising" the scheme with potential bidders and engagement of a Development Partner who is motivated to drive up interest.
s)	Burnholme commercial delivery model - Need to procure elements of the whole site through differing commercial models negatively affecting the coherence of the whole site vision.	The brief for the Development Partner will set out clearly what outcomes the Council requires but will also afford them some flexibility to seek out and propose the most effective solution for the site.
t)	Inability to secure planning permission for Burnholme development of suitable size for financial viability	Site master planning and pre-submission engagement.
u)	Insufficient interest from third sector in organising activities from the Burnholme site	Support existing tenants and encourage additional activity in current facilities.

ref	Risk	Mitigating Action
v)	Burnholme construction costs exceed pre-tender estimates	Secure qualified technical advice when considering financial modelling, anticipate need for value engineering.
w)	Site utilities supply complexities leading to escalating costs at Burnholme	Early understanding of existing supply and future requirements; Technical advice.

Contact Details

Author:		Chief Officer responsible for the report:			
Roy Wallington Programme Director, Older Persons' Accommodation Tel: 01904 552822 Email: roy.wallington@york.gov.uk		Guy Van Dichele, Director of Adult Social Care Tel: 01904 554045			
		Report Approved	✓	Date	20 July 2015
Specialist Implications Officer(s) Legal – Ruth Barton (Ext 1724) Finance – Debbie Mitchell (Ext 4161) and Steve Tait (Ext 4065) Property – Philip Callow (Ext 3360) and Ian Asher (Ext 3379)					
Wards Affected: <i>List wards or tick box to indicate all</i>					All ✓
For further information please contact the author of the report					

Background Papers

Care and Support Specialist Housing Fund, Homes & Communities Agency, February 2015.

Primary Care Infrastructure Fund, NHS England, January 2015.

Integrated Operational Plan: 2014-2019, Vale of York Clinical Commissioning Group, 2014.

Supported Housing Strategy: 2014-2019, City of York Council.

Positive Ageing, Housing Choices: Older People's Housing Strategy 2011-2015, City of York Council.

Annexes:

Annex 1 – The Need for Accommodation with Care

Annex 2 – Programme Timeline

Annex 3 – Transition Plan

Plan A – Burnholme site

Plan B – Lowfields site

References to relevant Executive reports can be found in **Annex 2**.

Abbreviations:

HCA – Homes & Communities Agency

HRA – Housing Revenue Account

JRHT – Joseph Rowntree Housing Trust

NHS – National Health Service

OJEU – Official Journal of the European Union

OPH – Older Persons' Home, previously referred to as – Elderly Persons' Homes

TUPE - Transfer of Undertakings (Protection of Employment) Regulations 2006, as amended by the 2014 amendment regulations

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The need for Accommodation with Care

1. For older people it is recognised that having adequate accommodation is fundamental for dignity and security. Having access to appropriate accommodation with care underpins health and well-being and is the cornerstone to the delivery of sustainable NHS and social care services. York's older residents want to remain living independently in their own home for as long as they can and, if they must move, want choice over where to live to receive care.

Population change

2. York's older population is growing and is estimated to increase by 50% between 2014 and 2030. As the 75+ population is growing, so is the incidence of limiting long term illness and complex needs; the incidence of dementia, for example, will increase by 59%.

	2014	2015	2020	2025	2030
75+ population	17,200	17,600	19,600	23,500	25,800
% change		+2%	+11%	+20%	+10%
		2014 to 2030 = +50%			
Predicted to have dementia	2,266	2,313	2,579	3,109	3,606
% change		+2%	+12%	+21%	+16%
		2014 to 2030 = +59%			

Inadequate provision

3. The Council owned OPHs are no longer fit for purpose; the buildings place limits on the quality of care that we can provide with a consequent impact on the quality of life for our residents.
4. Just 31 of the 225 bedrooms have en-suite facilities and therefore dignity and privacy are difficult to ensure.
5. The Council's seven OPHs are small and therefore it is not possible to achieve the efficiencies in staffing which can be delivered in the larger facilities.

6. The OPHs have both a repairs and maintenance “backlog” and, as they were built in the 1960s and 1970s, will soon be due for a major re-fit including heating, electrics, lifts, kitchens, etc. Investment is not recommended in buildings which are, in terms of layout and size, neither practically nor financially viable.
7. Only one of the existing homes – Haxby Hall [Haxby & Wigginton ward] – sits on a site big enough to warrant extension and re-furbishment as a modern residential care home.
8. A key consideration is that it is not possible to achieve “dual registration” for the Council care homes; they remain residential care homes only. Independent sector providers now habitually seek registration for both residential and nursing care which enables the integration of care pathways between health needs and social care needs, which achieves efficiencies and, most importantly, ensures that residents do not have to move once they reach the stage of needing nursing care.
9. York performs well in keeping people out of residential care and therefore sustains a “run-rate” of provision which is c70% less than national benchmarks. But even with this good performance, the growing population demands additional residential care provision.
10. York’s supply of Extra Care [sheltered housing with 24/7 on-site domiciliary care support] is inadequate: the city falls far short of supply to meet demand and all of the current provision is for social rent while 80% of the city’s over 75s own their own home.
11. There is currently a mis-match between use and need within York’s older person’s accommodation: some people are currently living in Sheltered Housing with Extra Care who could/should really be accommodated in general needs, age related, housing; some who live in residential care could be accommodated in Extra Care housing. The Programme is focused upon increasing the supply of suitable accommodation so that residents can move to that which is best suited to their needs. At the same time, this gives us the opportunity to replace residential care homes that are no longer fit for purpose.
12. A further benefit of the Programme is that it frees up family housing for re-use.
13. The Council needs to work in partnership with a range of providers to increase the provision of extra care housing, age related housing and residential care accommodation. Our aim is to see the delivery of c300 net additional units of accommodation by 2020.

		2011	2014	2020	2030
Estimated Demand based on national benchmarks	Residential Care		1,936	2,156	2,828
	Extra Care		440	490	645
Current provision	Residential Care		1,385		
	Extra Care		270		
Shortfall in provision	Residential Care (at 70% run-rate)		-30	-124	-595
	Extra Care		-170	-220	-375

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Programme Timeline

Date	Key Milestones and Decision-Making Points																											
19 July 2011	<p>Report to Executive by the Member for Health, Housing and Adult Social Services. Formal commencement of programme with Executive decision to proceed to 3 month consultation on five options presented which were:</p> <p><i>Option A - Taking no action and retain current operating model and provision</i></p> <p><i>Option B - Extend and refurbish</i></p> <p><i>Option C - Purchase all or an increased proportion of beds from the Private Sector</i></p> <p><i>Option D - Council fund, build and operate four new care homes providing 200 beds across 3 sites (Fordlands (55 beds), Haxby (55 beds), Lowfield (2 x 45 beds with care village concept).</i></p> <p><i>Option E - Council enters a partnership with a developer/operator to fund, build and operate four new care homes (sites as above).</i></p>																											
Aug-Nov 2011	Full public and stakeholder consultation																											
1 Nov 2011	<p>Report to Executive by the Member for Health, Housing and Adult Social Services. Results of consultation and proposed a programme of closures and new builds in three phases, supported by a further consultation period on proposed closures of Oliver House and Fordlands.</p> <table border="1" data-bbox="432 1267 1425 1827"> <thead> <tr> <th data-bbox="432 1267 751 1312">Phase 1</th> <th data-bbox="751 1267 1118 1312">Phase 2</th> <th data-bbox="1118 1267 1425 1312">Phase 3</th> </tr> </thead> <tbody> <tr> <td data-bbox="432 1312 751 1357">April 12</td> <td data-bbox="751 1312 1118 1357">April 14</td> <td data-bbox="1118 1312 1425 1357">April 15</td> </tr> <tr> <td data-bbox="432 1357 751 1402"><i>Oliver House closes</i></td> <td data-bbox="751 1357 1118 1402"><i>Lowfield Village opens</i></td> <td data-bbox="1118 1357 1425 1402"><i>New Haxby Hall opens</i></td> </tr> <tr> <td data-bbox="432 1402 751 1447"><i>Fordlands closes</i></td> <td data-bbox="751 1402 1118 1447"><i>New Fordlands opens</i></td> <td data-bbox="1118 1402 1425 1447"><i>Grove House closes</i></td> </tr> <tr> <td></td> <td data-bbox="751 1447 1118 1491"><i>Haxby Hall closes</i></td> <td data-bbox="1118 1447 1425 1491"><i>Woolnough closes</i></td> </tr> <tr> <td></td> <td data-bbox="751 1491 1118 1536"><i>Oakhaven closes</i></td> <td></td> </tr> <tr> <td></td> <td data-bbox="751 1536 1118 1581"><i>Windsor House closes</i></td> <td></td> </tr> <tr> <td></td> <td data-bbox="751 1581 1118 1626"><i>Morrell House closes</i></td> <td></td> </tr> <tr> <td></td> <td data-bbox="751 1626 1118 1671"><i>Willow closes</i></td> <td></td> </tr> </tbody> </table>	Phase 1	Phase 2	Phase 3	April 12	April 14	April 15	<i>Oliver House closes</i>	<i>Lowfield Village opens</i>	<i>New Haxby Hall opens</i>	<i>Fordlands closes</i>	<i>New Fordlands opens</i>	<i>Grove House closes</i>		<i>Haxby Hall closes</i>	<i>Woolnough closes</i>		<i>Oakhaven closes</i>			<i>Windsor House closes</i>			<i>Morrell House closes</i>			<i>Willow closes</i>	
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	<i>Windsor House closes</i>																											
	<i>Morrell House closes</i>																											
	<i>Willow closes</i>																											
Nov 11-Jan 12	Further 6 week consultation on proposed closure programme																											
10 Jan 2012	<p>Report to Executive by the Member for Health, Housing and Adult Social Services.</p> <p>Consultation with staff, residents and their families and</p>																											

Date	Key Milestones and Decision-Making Points
	<p>carers on proposal to close Fordlands and Oliver House, including changes to day care services as a result. Recommendation to close Fordlands and Oliver House and proceed with proposal for phased development outlined in November 2011.</p> <p>The paper also recommended a soft market testing exercise throughout January and February 2012 to obtain more information regarding the Lowfields development in terms of level of interest and funding arrangements with feedback to be provided in April 2012 (see May 2012 Executive meeting below).</p>
March 2012	Fordlands and Oliver House closed
15 May 2012	<p>Report to Executive by the Member for Health, Housing and Adult Social Services</p> <p>Successful homes closure and transition for residents</p> <p>Feedback on soft market testing for Lowfield care village</p> <p>Detailed financial modelling and scenario analysis of four sub-options of original Options D and E</p> <p>Option 4 is recommended and approved for the Council to fund and operate Fordlands and Haxby Hall (later phase) and seek a Partner to design, build & operate the Lowfield Village (Council team can operate).</p>
30 Nov 2012	Decision made public not to proceed at the Fordlands site, identifying Burnholme as a possible alternative site.
19 April 2013	<p>Member Briefing to Cllr James Alexander, Cllr Tracey Simpson-Laing</p> <p>Purpose to discuss and confirm, strategic vision, funding of the programme and procurement approach.</p> <p>Revised proposal for two care homes (162 beds) at Burnholme and Lowfield with community village</p> <p>Significant increase in build costs and highlights potential risk to affordability</p>
4 June 2013	<p>Report to Executive by the Member for Health, Housing and Adult Social Services</p> <p>Proposal on new modernisation programme as per April 2013 briefing. The Council to fund the building of the two new care homes and so retain ultimate ownership of the buildings and the land with care homes designed, built, operated and maintained by an external provider.</p> <p>Approval of new proposal, agreement to the household model, a single procurement under competitive dialogue process for both sites and project costs of up to £500k.</p>
June 2013	Formal procurement commences with 3 interested bidders.

Date	Key Milestones and Decision-Making Points
14 Feb 14	Procurement process paused and bidders advised
March 2014	Council held consultation event on Burnholme opportunity. Officers met with NHS England and the Vale of York CCG and they have expressed interest in the proposals. NHS England indicated that funding is likely to be available for the capital, and some of the revenue, costs associated with the health elements of the development and a new funding round may be available in the summer of this year. Funds may also be available to support feasibility and business case development.
May 2014	Procurement recommences in May 2014.
June 2014	Summary Position Statement to Programme Board highlighting key financial, procurement and timescale risks
July 2014	Record of decision to approve the procurement of a development partner to develop the Burnholme site as a Community Health and Wellbeing Hub.
Sep 2014	Informal meeting held between officers and key Executive Members as part of budget discussions.
Jan 2015	Development of alternative solution initiated by Acting Director of Adult Social Care
10 Feb 2015	Executive agreed 15/16 budget with no uplift to project
15 Mar 2015	Report to Executive by the Acting Director of Adult Social Care Revised proposals presented to Executive, based on creating new Extra Care Housing and reforming the Council's existing ECH stock; building a new care home on the Burnholme site as part of wider health and community facilities; and working more closely with current care providers to deliver more specialist dementia accommodation across the city. Proposal to abandon the current procurement process. Approved by Executive subject to development of business case.
16 Mar 2015	Corporate and Scrutiny Management Committee call-in the decision of Executive on 3 March 2015 and, following examination of the proposals the decision of Executive was confirmed.
25 Mar 2015	Health Overview and Scrutiny Committee Corporate and Scrutiny Management Committee Calling-in

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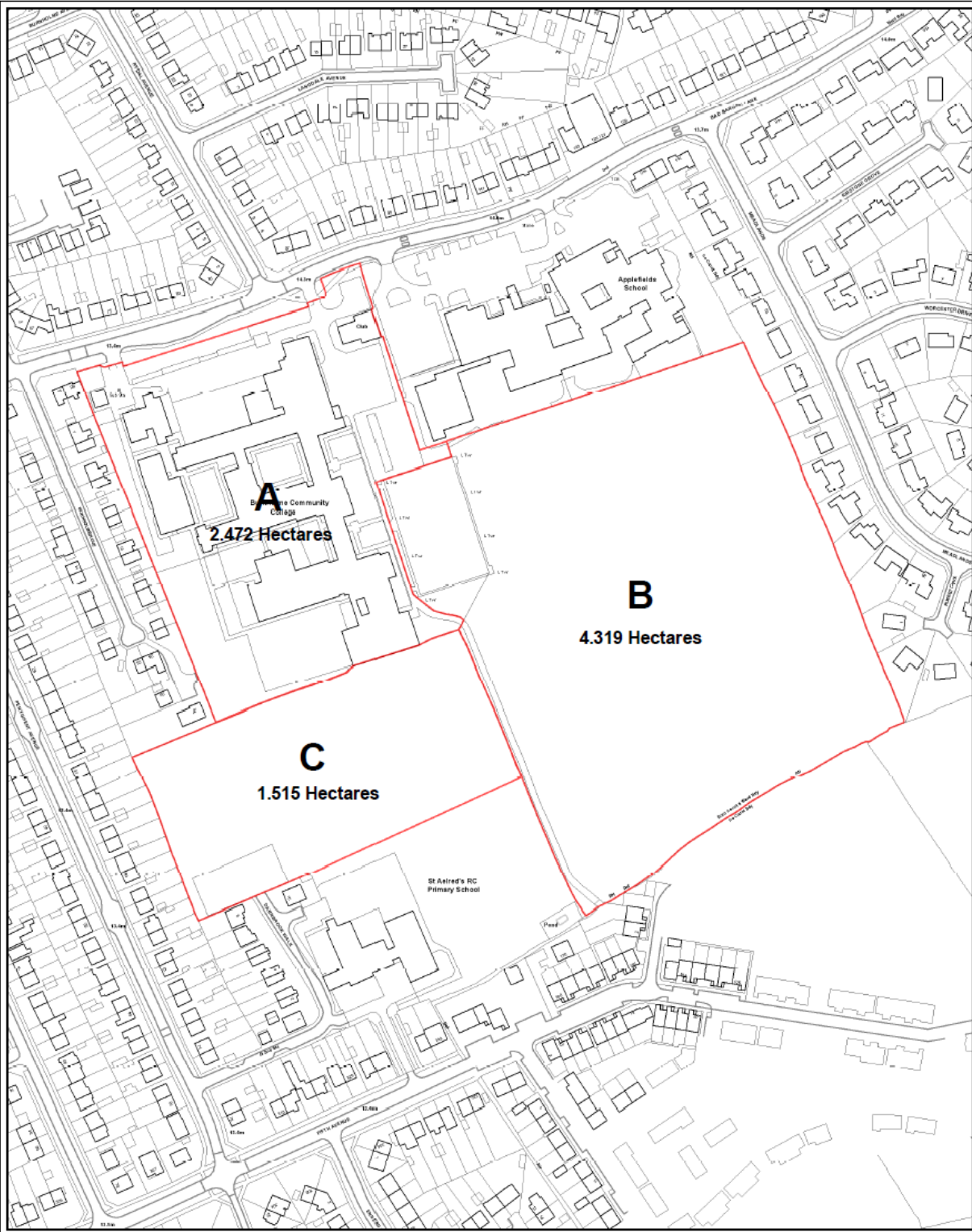
Outline Transition Plan

Annex 3

Year		2015/16	2015/16	2016/17	2016/17	2017/18	2017/18	2018/19
Quarter		Q3	Q4	Q2	Q4	Q2	Q4	Q4
New Provision for existing OPH res	Beds							
Auden House	Apr-15	12	3	3	3		3	
Glen Lodge existing	Dec-15	10		3	4		3	
Marjorie Waite Court	Jun-16	5			4		1	
Glen Lodge extension	Dec-17	20				9	9	2
New Extra Care Scheme	Jun-18	5					5	
Burnholme	Nov-18	34					6	28
Independent Sector for existing OPH res								
Chocolate Works (block purchase)	Jan-17	20				9	9	2
Routine vacancies	ongoing	10	4	3	3			
Existing provision used for existing OPH res								
Haxby Hall (48 beds)	ongoing	20	7	7	6			
New Provision for CYC OPH diversions			14	16	17	10	11	11
Auden House	Apr-15	4	3	1				
Glen Lodge existing	Dec-15	7	3	3	1			
Marjorie Waite Court	Apr-16	12			10	2		
Glen Lodge extension	Dec-16	0						
New Extra Care Scheme	Jun-18	15					11	4
Burnholme	Nov-18	21					7	14
Diversion of full payers to ind sector	ongoing	34	8	12	6	8		

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Plan A: The Burnholme Site



CBSS
Asset & Property Management

Land at Burnholme

SCALE 1:2,500

DRAWN BY: DH

DATE: 14/04/2015

Originating Group:

Asset & Property Management

Drawing No.

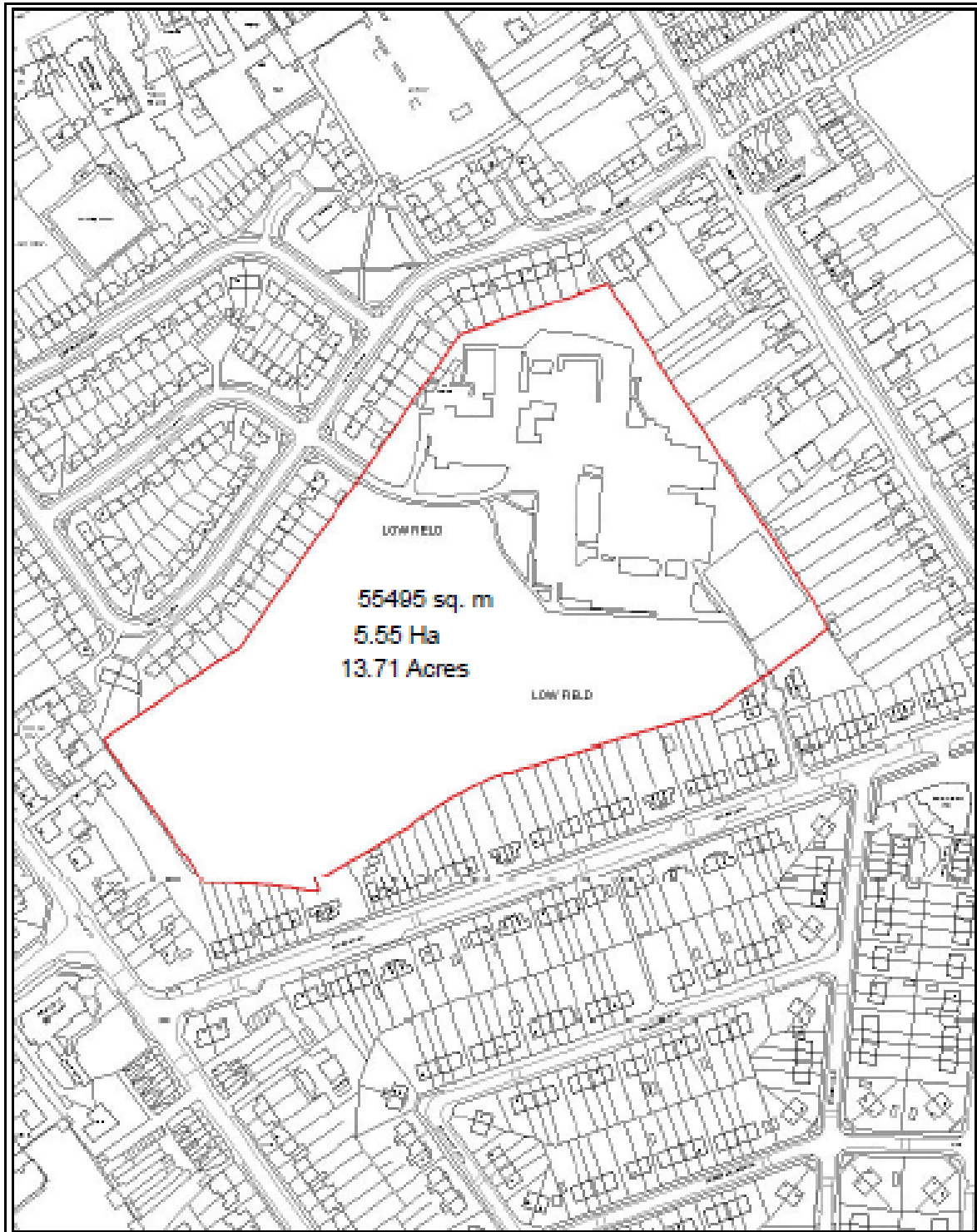
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Plan B: The Lowfields Site



 CITY OF YORK COUNCIL	Former Lowfields School Site		
	SCALE: 1:1,000 Drawing Group	DRAWN BY: GJR	
CBSS Asset & Property Management	Asset & Property Management		Drawing No: E00546 6
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30 July 2015

Executive

Joint Report of Director of Customer and Business Support Services
and Interim Director of City and Environmental Services

Coppergate Report

Executive Summary

1. The purpose of the report is to update Members about the Review Decision of the Chief Adjudicator to the Traffic Penalty Tribunal (TPT) regarding civil enforcement of the Coppergate Traffic Regulation Order by way of camera, and to make recommendations on the way forward.

Recommendations

- (i) Require Officers to implement a Coppergate Repayment Process to facilitate the settlement of claims on the basis of repaying the Penalty Charge Notice (PCN) fine only (from earmarked reserves), in full and final settlement. The deadline for submitting a claim to be 31st March 2016.
- (ii) The deadline for submitting a claim in respect of the existing Lendal Bridge Repayment Scheme to be extended from the 31st December 2015 to the 31st March 2016.
- (iii) Authorise Officers to identify, consult upon and analyse options which may include (a) solutions to conveying the meaning of the present Coppergate Order that will satisfy Regulation 18 of the 1996 Regulations, (to potentially include revised signage, road markings and surface treatment) and/or (b) alternative Orders and interventions that may provide more effective traffic solutions.
- (iv) Require Officers to prepare a further report to the Executive presenting the findings from (iii) above, and seeking approval to take forward an agreed solution.

- (v) Until such time as the solution at (iv) above is implemented, the Council will not proactively pursue enforcement of the Coppergate Order by camera.

Background

2. The statutory regime and law relating to civil traffic enforcement is particularly complicated.
3. The power to make a Traffic Regulation Order (“TRO”) is within *Section 1 of the Road Traffic Regulation Act 1984*. The procedures for making a Traffic Regulation Order are set out in the *Local Authorities' Traffic Orders (Procedure) (England and Wales) Regulations 1996 (as amended)*. Under Regulation 18 of the 1996 Regulations, the Authority has a statutory duty to convey the meaning of the TRO through adequate signage.
4. The Police have power to enforce a breach of a TRO, as it is a criminal offence under *S5 of the Road Traffic Regulation Act 1984*. Prior to the 2013 Coppergate Order, a Traffic Regulation Order had been in place for decades restricting moving traffic, however, this could only be enforced by the police.
5. The statutory power available to the Council to carry out civil enforcement concerning moving traffic can only be used in a “bus lane”. It is governed by *s144 of the Transport Act 2000*, and the *Bus Lane Contraventions (Penalty Charges, Adjudication and Enforcement) (England) Regulations 2005*. The *York (Coppergate) Local Bus Priority Traffic Order 2013* (“2013 Coppergate Order”) was made on 9th July 2013 and came into force on 1st August 2013, to create a “bus lane”. The new Order was required because civil enforcement powers concerning moving traffic offences are only available to CYC in respect of “bus lanes”.
6. Coppergate is a bus lane for the purposes of S144. CYC is an “approved authority” to carry out such civil enforcement under the *Bus Lanes (Approved Local Authorities) (England) Order 2005*, and the cameras used are authorised under the *Bus Lanes (Approved Devices) (England) Order 2005*.
7. Although a bus lane is perhaps traditionally seen as a separate lane within a road where other lanes are used by other vehicles, it can lawfully include a road that is only to be used by buses and certain other classes of vehicle. This is the situation in Coppergate.

8. Under the civil enforcement procedure, when a person is issued with a penalty charge notice, a right of appeal is given. First, an appeal is made to CYC. If unsuccessful, there is a further right of appeal to the TPT.
9. In March 2014, an Adjudicator at the TPT considered a number of appeals together concerning penalty charge notices issued for contraventions at Lendal Bridge and Coppergate. He produced a combined decision, in which he held that the Coppergate Order was invalid as, amongst various other reasons, in his view it was not a “bus lane” within the definition in S144 of the 2000 Act, and so the Council could not enforce the Order through the civil regime.
10. The Council challenged the decision by requesting a formal review by the TPT. (The Lendal Bridge review request was subsequently withdrawn as the trial ended, the experimental order was revoked and a repayment process established).
11. On 24 April 2015, the Chief Adjudicator at the TPT issued the Review Decision in respect of the Coppergate Decision. Whilst she concluded that the TRO was not enforceable, it was for different reasons to those given by the first adjudicator, and focussed solely on her opinion that the signage failed to comply with Regulation 18 of the 1996 Regulations.
12. The Chief Adjudicator held that :
 1. *The Coppergate Traffic Regulation Order is valid, albeit that it is drafted carelessly and obtusely;*
 2. *Coppergate is a bus lane within the meaning of Section 144;*
 3. *As such City of York are in principle entitled to enforce the Coppergate Traffic Regulation Order under the civil enforcement provisions;*
 4. *However the signs at the entrances to Coppergate do not convey the terms of the restriction imposed by the Traffic Regulation Order because*
 - a. *The order of the words on the plate does not indicate the 7am – 7pm restriction*
 - b. *The exemption for private hire vehicles is not included*
 5. *The errors in the signs means that contraventions of the Coppergate TRO are unenforceable (unless they have been changed);*
 6. *There is no Secretary of State’s Authorisation for the signs;*

13. On receipt of the Decision, your Officers sought advice from Leading Counsel to consider the appropriateness of seeking judicial review of the TPT Decision.
14. As the Chief Adjudicator has found in the Council's favour in respect of the principle issue, namely that Coppergate is a bus lane that can be enforced through the Civil regime, and the signage is capable of being reviewed prior to enforcement taking place, Leading Counsel advised strongly against challenging further in the High Court.

Proposed way forward

15. The Traffic Penalty Tribunal held that the Order is valid to enable enforcement as a bus lane by camera. However, the Chief Adjudicator considered that the signage was inadequate to convey the meaning of the Order as required by *Regulation 18 of the Local Authorities' Traffic Orders (Procedure) (England and Wales) Regulations 1996*. Further challenge of the TPT decision to the High Court by way of judicial review is not advised, having regard to advice from Leading Counsel. This is because the TPT conceded the principle issue, namely that the Order is valid, and that Coppergate can be enforced as a bus lane by camera. The outstanding difference of opinion between the Council and the TPT in relation to adequacy of signage for the purposes of Regulation 18 is a more subjective judgment, rather than a fundamental issue of law. Members are therefore advised that the issue of conveying the meaning of the Order through signage is better dealt with by reviewing and consulting with the Department for Transport, the TPT, key stakeholders such as private hire firms and the public generally about signage options. This would be instead of pursuing the difference of opinion with the TPT through protracted and costly High Court litigation which would have no guaranteed outcome in any event.
16. A consequence of not challenging the TPT decision further in the High Court, is the potential for those issued with a Penalty Charge Notice who have paid (and the Council still retains their payment) to make an appeal out of time to the TPT, or pursue the matter in the small claims court against the Council. This could therefore have the potential to lead to 12269 individual claims being the number of payments with a value of £387,350 which the Council still retains in its ear marked provisions and reserves.

17. It would be lawful for the Council to retain the monies, (other than those that were subject of appeal to the TPT) as they were lawfully obtained through the PCN process. However, as there are potentially 12269 individuals who could actively pursue a claim out of time, Members are advised that the cost of dealing with such claims on an individual basis, (which are likely to require settlement in any event in light of the TPT decision on signage), is likely to far exceed the cost of setting up a repayment settlement process.
18. Advice has been sought from Leading Counsel that such a course of action is reasonable, lawful and pragmatic in the circumstances in which the Council finds itself following the TPT Decision in relation to signage. Officers' recommendation is to set up a repayment settlement process, as described at paragraph 33 to this Report.
19. In relation to reviewing the signage, Officers seek authority to investigate and consult upon options to adequately communicate the meaning of the Order. Solutions could include altering the wording on the signs, road markings or surface treatment, or more radical proposals such as creating a further Order to extend the length of the bus lane to include for example Pavement.
20. A further report would be brought to the Executive in the autumn to consider the outcome of consultation on proposed solutions to communicate the meaning of the Order.
21. Until such time as the issue of compliance with Regulation 18 is resolved the Council will not proactively pursue enforcement of the Coppergate TRO by camera.

Consultation

22. *Informal consultation with key stakeholders will take place in the preparation of the next report to Members as outlined in this report. There would also then need to a period of formal consultation following Members decisions on the options presented in the Autumn report prior to implementation.*

Options

Options for dealing with PCN revenue

23. PCN Revenues – Whether to retain monies pending out of time appeals or to implement a Coppergate Repayment Scheme to facilitate settlement of claims.
24. Members attention is drawn to the fact that the 2013-14 annual accounts for the Authority have been subject to challenge by the National Motorists Action Group (NMAG) in respect of the retention of PCN revenues and therefore the accounts have been subject to review by the Council's External Auditors Mazars. During the course of this review the Auditors have rigorously tested the Council's rationale not only for retention but also return of Lendal Bridge PCN funds through a settlement process. The outcome of the Auditors review is expected after the publication of this report but prior to the Executive meeting and therefore a verbal update will be given at the meeting.

Option 1 – Retaining Monies Pending Appeal

25. Advice has been sought by CYC from Leading Counsel, as to whether it is lawful for the monies to be retained pending appeals being made and whether it is lawful to set up a pay back scheme.

He has advised that:

The decision as to whether to instigate a pay back scheme in the same way as Lendal is therefore one of policy – there would be nothing legally preventing the Council from retaining the monies pending out of time appeals being made by motorists, equally, there would be nothing legally preventing the Council from settling potential appeals and providing an administrative method (as done with Lendal), for claims to be made.

26. As previously advised, if monies were retained pending appeals being made out of time, there is potential for 12269 individual claims being successfully made to the Tribunal. An approach whereby individual appeals are administered and settled as and when they arise is not considered to be conducive to the good administration of public funds. It would be more costly than providing a Repayment Scheme. In any event, the retained funds could not be released for general expenditure, but would necessarily be held in a reserve pending settlement of any appeals out of time. It is also likely to give rise to reputational damage in light of the already heightened public interest in this issue should

the motorists be required to formally appeal to the TPT. Option 1 is therefore not recommended as an appropriate way forward.

27. The recommended option to Members is that whilst it is lawful to retain the monies pending ad hoc appeals being made, it would be preferable in terms of more effective administration, cost, and certainty for the public for a Repayment Scheme to be implemented, as set out below in Option 2.

Option 2

28. This options would replicate the refund request process that has been approved by Leading Counsel for Lendal Bridge and hence avoid the significant financial and reputational risks of Option 1. It would be proposed to maximise publicity of the Scheme as follows:-
 - 1) Automatically writing directly to all the estimated 12,269 outstanding people who have received a PCN but not to date had a repayment. This would be to inform them directly of the refund request process.
 - 2) As the issuing of the PCN was undertaken by ICES (a specialist private sector company) all addresses are currently held on their secure databases. Therefore, the quickest and most cost effective for issuing the letters would be to engage ICES to undertake a single main distribution. We are advised by ICES that it would take up to 2 weeks to extract the data and mailing would begin shortly thereafter.
 - 3) Currently the Lendal Bridge process closes on the 31st December 2015, it is proposed that this is extended to the 31st of March 2016 and this Coppergate process also closes on the same date to avoid confusion between the different schemes. This should give motorists as a minimum 7 months to make a claim.
 - 4) Publicising the online refund process and deadline through media.

Legal Implications of Option 2

29. The online refund process would require a claim to be made by the individual, and the Council would then settle that claim in full and final settlement only to the amount of the PCN. The settlement is

on the terms set out in the 'Coppergate Online Refund' form attached at Annex A and replicates the Lendal Bridge form.

30. This process effectively prevents any other claims from the individual once the settlement has been reached through this process. It closes down the matter. Leading Counsel's advice is that this process, in paying back penalties to those who did not appeal is appropriate as a pragmatic response to the situation.
31. Leading Counsel advises that this process is lawful and significantly better than simply paying cheques to every individual. It is the best means of achieving reimbursement to those who received a PCN.
32. This option is therefore recommended.

Future TRO enforcement – Whether to revoke the Order or Review the Signage

Option 1 – Revoking the Coppergate Order

33. Whilst Members could revoke the current TRO for Coppergate, this option is not recommended by Officers. Restrictions have been in place on Coppergate for many years and revocation of the TRO would, in the opinion of your Transport Officers, have significant detrimental impacts on traffic flow through the City. If Members wish to pursue this option a more detailed report would need to be prepared to evidence the impact of revocation before any final decision is made.

Option 2

34. Due to the material difference of opinion between the Council and the Chief Adjudicator of the TPT regarding the current signage, Officers recommend that the signage is reviewed, and consulted upon, to adequately communicate the meaning of the Order, and thus comply with Regulation 18. Solutions could include altering the wording on the signs, road markings or surface treatment, or more radical proposals such as creating a further Order to extend the length of the bus lane to include for example Pavement. Extensive consultation should be carried out with key stakeholders, including the Department for Transport, local private hire firms, and the general public.
35. This option is recommended, and a further report will be brought to the Executive in the autumn to present the findings to Members.

Analysis

36. Whether to Challenge the Traffic Penalty Tribunal Review Decision in the High Court.
37. Having regard to Leading Counsel's advice outlined above, Members are strongly advised against challenging the Review Decision. The Council's application for Review has been dismissed solely on the basis of inadequate signage. This does not give rise to a clear argument in law. Whether the signage is adequate is a matter of fact and degree. The Courts are reluctant to interfere in the subjective judgment of a Tribunal. For this reason it is considered unlikely that the Council would benefit from incurring significant legal costs in issuing formal legal proceedings in the High Court, where there is a real risk that the Court would place great weight on the judgment of the Chief Adjudicator in relation to signage. This is therefore not considered to be an appropriate way forward.

Council Plan

38. The recommendation supports the Council's core capabilities in relation to delivering against our customer needs.

Implications

39. Financial

- (a) The full value of fines relating to Coppergate (£387k) were included in provisions/earmarked reserves in the Council's accounts in 2014/15. If members approve the refund process the refunds will be funded from the reserve/provision.

In respect of administration of the Coppergate refund process it is anticipated that this will reflect the costs associated with the Lendal Bridge Scheme and be in the order of £40k. This can be funded from the £150k new homes bonus already allocated for the Lendal Bridge refund process in the report to Cabinet (20th January 2015).

- (b) **Human Resources (HR)** – Existing staff resource will continue to support the scheme.
- (c) **Equalities** – No implications.

- (d) **Legal** – This matter is dealt with in the main body of the report.
- (e) **Crime and Disorder** – No implications.
- (f) **Information Technology (IT)** – No implications.
- (g) **Property** – No implications
- (h) **Other – No implications.**

Risk Management

40. This matter is dealt with in the main body of the report.

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**Report
Approved**



Date *1st July
2015*

Specialist Implications Officer(s) *List information for all*

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Wards Affected:

All

For further information please contact the author of the report

Background Papers:

Annexes

Annex A – Coppergate Online Refund form

Coppergate Refund Request

Please fill in the form below and we will process your refund application.

The *York (Coppergate) Local Bus Priority Traffic Order 2013* (“2013 Coppergate Order”), Repayment Claim Form

Claim made in relation to a dispute with City of York Council regarding the payment of Penalty Charge Notice(s) (PCN(s) pursuant to the 2013 Order.

Subject to validation of the details you provide in this form payment will be made to the value of the penalty charge notice(s) issued pursuant to the *York (Coppergate) Local Bus Priority Traffic Order 2013* recorded against the stated vehicle registration plate.

By submitting this application form you are confirming that you agree that:

- 1) The information provided is correct to the best of your knowledge.
- 2) You dispute the PCN(s) issued against the vehicle registration stated below.
- 3) You were, at the time of the alleged contravention(s), either (i) the registered keeper of the vehicle or (ii) the driver of a hire vehicle where the PCN was issued against the driver
- 4) You agree that any payment made is in full and final settlement of all matters relating to the issue of the PCN(s), and that such payment is only to the value of the relevant PCN(s).

NOTE

Cheques will only be made out to the person who was at the time of the alleged contravention(s) either:

(i) the registered keeper of the vehicle or

(ii) the driver of a hire vehicle where the PCN was issued against the driver

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Executive**30th July 2015**

Report of the Assistant Director of Planning, Development Services and Regeneration (The Local Plan is the portfolio of the Leader and Deputy Leader)

City of York Local Plan**Purpose of the Report**

1. The purpose of this report is to update Members on progress on the Local Plan and the work that is being undertaken to respond to both the changing national and local context.

Background

2. The Council resolution on the Local Plan on 9th October 2014 stated that the draft local plan approved by Cabinet on the 25th September 2014

‘does not accurately reflect the evidence base and is therefore not based on objectively assessed requirements, is not the most appropriate strategy and has ignored reasonable alternatives rather than to test the approach against them and is not deliverable over the plan period and is contrary to the combined methodological approach of the Leeds City Region’.

3. The motion also stated that:

‘Council believes that the current proposals fail to adequately reflect the results of the citywide consultations undertaken in July 2013 and July 2014’ and that ‘the current proposals will result in the plan being found unsound by the planning inspector leaving the city vulnerable’.

4. The motion requested that:

‘in order to accurately reflect objectively assessed requirements officers should produce a report on the housing trajectory to be brought back to

the next meeting of the Local Plan Working Group (LPWG) along with the relevant background reports. The LPWG will then agree an accurate analysis of the housing trajectory that is objective, evidence based and deliverable. This analysis will then be used to inform housing allocations and a new proposed Local Plan to be brought back to the next LPWG for discussion and recommendation to Cabinet in November’.

5. A report on the issue was considered by the Local Plan Working Group in December but the data used to inform that report was updated shortly afterwards when the Department for Communities and Local Government (DCLG) released the 2012 based Household Projections for local authorities in February 2015. These figures replaced the 2011 based interim household projections and run until 2037 negating the need for the index approach to household formation. These revised projections establish a new demographic start point for determining the objectively assessed need for housing.
6. Following the Local Government Elections in May the agreement between the Conservative and Liberal Democrat Groups, to establish a joint administration for City of York Council from May 21st 2015 indicates that:

‘We will prepare an evidence-based Local Plan which delivers much needed housing whilst focusing development on brownfield land and taking all practical steps to protect the Green Belt and the character of York.’

Plan Development

7. In response to both the Council resolution in autumn and the changed national and local context officers have either initiated or intend to initiate the following pieces of work which will add to and update the evidence base that will inform the next stage of plan production.

Need for Land

- Objective Assessment of Housing Need
- Revised Economic Forecasts
- York, Hambleton, Ryedale and North Yorkshire Moors National Park Authority Strategic Housing Market Assessment (SHMA)

Land Supply

- Windfalls Provision
- Density and Phasing
- Strategic Housing Land Availability Assessment (SHLAA)
- Employment Land Review (ELR)
- Duty to Cooperate – the role of Neighbouring Authorities

Other

- Consultation Audit and Assessment
 - Gypsy and Travellers and Travelling Show People Assessment
 - Green Belt Appraisal
 - Infrastructure Development Plan
 - An assessment of Neighbourhood Plans and their relationship to the Local Plan
 - Emerging Joint Waste & Minerals Local Plan
8. The work highlighted will be the subject of reports to the Local Plan Working Group from September onwards. It is suggested that regular meetings of the working group are added to the Members diary for every 4 – 6 weeks. Further details on the work being undertaken are provided below for information.

Objective Assessment of Housing Need

9. The National Planning Policy Framework (NPPF) requires that Local Planning Authorities identify the objectively assessed need for housing in their areas, and that Local Plans translate those needs into land provision targets. Like all parts of a development plan such housing targets should be informed by robust and proportionate evidence.
10. Paragraph 47 of NPPF states that local planning authorities should:

“ use their evidence base to ensure that their Local Plan meets the full, objectively assessed needs for market and affordable housing in the housing market area, as far as is consistent with the policies set out in

this Framework, including identifying key sites which are critical to the delivery of the housing strategy over the plan period”.

11. National Planning Practice Guidance (NPPG) was published in March 2014. It includes guidance for local planning authorities in objectively assessing and evidencing development needs for housing. It states that:

“The assessment of development needs is an objective assessment of need based on facts and unbiased evidence. Plan makers should not apply constraints to the overall assessment of need, such as limitations imposed by the supply of land for new development, historic under performance, viability, infrastructure or environmental constraints. However, these considerations will need to be addressed when bringing evidence bases together to identify specific policies within development plans¹”.

12. Officers are working with technical experts to produce a revised OAHN for York. This will look at the implications of the revised national household projections which are the starting point of overall housing need. The 2012-based projections indicate that the number of households in York is projected to grow by 14,404 dwellings (17%) between 2012 and 2031 to 98,651 households in total. This equates to an annual average growth of approximately 758 dwellings based on 19 financial/monitoring years (from 1st April 2012 to 31st March 2031. This is lower than the previous baseline demographic figure (using the 2011 CLG Interim household projections) recommended by Arup in their evidence base work to support the Publication Draft Local Plan and previously reported to Members of the LPWG.
13. In addition to evaluating the implications of the national household projections the technical work will consider sensitivity testing, specific to local circumstances, which may require an adjustment to be made to reflect factors affecting local demography and household formation rates which are not captured in the national projections. These other factors include the consequences of past under delivery of housing (backlog), specialist populations such as students, market signals (e.g. house prices and affordability and economic projections. This consideration of other factors is advocated in NPPG (paragraphs 15-19). This work is underway and will be reported back to Members in September.

¹ Paragraph: 004 Reference ID: 2a-004-20140306

Revised Economic Forecasts.

14. The local plan should make provision for the land required to meet the development needs of the local economy. A key piece of evidence for this is a forecast of future job growth and the consequent need for land to accommodate new business floorspace. Furthermore the forecast job growth influences the assessment of the need for housing and it is important to ensure the alignment of projected housing and job growth. Officers are working with technical experts to undertake this work and this will be reported to Members in September.

York, Hambleton, Ryedale and NYMNP SHMA

15. A Strategic Housing Market Assessment (SHMA) provides the evidence that underpins the detailed housing requirement; the affordability of homes, the mix of types of homes required and specialist requirements such as the demand for self build homes. This evidence is about to be updated in a joint commission with neighbouring authorities; Ryedale, North Yorkshire Moors National Park Authority (NYMNP) and Hambleton. The work once commissioned could be completed by October and will inform the policies on provision of affordable homes, housing mix and specialist requirements for older people, students etc.

Windfalls Provision

16. Windfalls sites are defined in the NPPF as:

“Sites which have not been specifically identified as available in the Local Plan process – they normally comprise previously developed sites that have unexpectedly become available.”

17. Paragraph 48 of the NPPF states:

“Local planning authorities may make an allowance for windfall sites in the five-year supply if they have compelling evidence that such sites have consistently become available in the local area and will continue to provide a reliable source of supply. Any allowance should be realistic having regard to the Strategic Housing Land Availability Assessment, historic windfall delivery rates and expected future trends, and should not include residential gardens”.

18. The framework and practice guidance indicates that in calculating a realistic windfall allowance it is important to:
 - analyse past trends ;
 - avoid double counting with sites identified through the Strategic Housing Land Availability Assessment (SHLAA);
 - allow for changing market conditions; and
 - allow for changing trends over the plan period including whether it is necessary to discount windfall trends for future periods.
19. Officers are in the process of undertaking an analysis of windfall trends in York over the past ten years. A report will be brought to the LPWG which will provide a full analysis of windfall trends over the past ten years along with an analysis of risks and alternative options for including windfalls within the housing supply.

Density and Phasing

20. As part of the process of producing a Local Plan, Local Authorities must when they submit their Plan:
 - illustrate expected rates of housing delivery through a housing trajectory for the plan period;
 - set out a housing implementation strategy for the full range of housing describing how they will maintain delivery of a five-year supply of housing land; and
 - set out an approach to housing density that responds to local circumstances.
21. The emerging local plan approach to determining potential housing densities has been developed through stakeholder consultation and technical assessment as part of the Local Plan Viability Assessment undertaken by consultants Peter Brett Associates. A balance must be achieved in this work between ensuring the efficient use of land, and delivering commercially viable growth that is attractive to the marketplace.
22. Adding complexity to this are the range of secondary Local Plan policy requirements that have implications for achievable site density including, open space provision, heritage and ecological impact mitigation, surface and groundwater attenuation, parking levels, and housing mix.

23. Officers are currently undertaking further work on assumptions relating to the density, phasing and delivery rates of potential site allocations which will be reported to the LPWG for consideration. This work will be informed by a consultation with the House Builder Federation and Federation of Master Builders membership, house builders registered on the Local Plan consultation database and property forum members. This will be a high level consultation asking for views on issues such as annual delivery rates, lead in times and the capacity of the industry in York.

Duty to Cooperate

24. The Local Plan is required to consider and respond to issues which extend beyond the district boundary, these include changes to infrastructure such as the strategic highway network and activities which have a catchment beyond the district. For example, the York housing market extends beyond the district boundary. This requirement is a statutory duty under the Localism Act and will require the Authority to demonstrate evidence to the Inspector at the Examination in Public how it has engaged constructively with neighbours on these matters.
25. Officers have previously consulted with adjoining authorities as part of the Local Plan process to date to fulfil the requirements of the Duty to Cooperate. Given the changes to local and national public policy context officers wish to explore in more detail with neighbouring authorities the potential to accommodate part of York's housing need. On the specific matter of housing, given there are five adjoining authorities and different possible options to address this matter a report scoping out the way forward will be prepared for consideration at a future meeting of the North Yorkshire and York Spatial Planning and Transport Board.

Consultation Audit and Assessment

26. Officers are in the process of undertaking a detailed audit and further assessment of all consultation responses received during the Local Plan process to date including both the Preferred Options Consultation and Further Sites consultation. This work will be reported to LPWG in detail and will include a summary of comments received at each consultation by policy and site reference to make the information more accessible and easier to understand and to help shape future decision making.

Gypsy, Traveller and Showpeople

27. As set out in the Planning Policy for Traveller Sites (March 2012) (PPTS) the Council is required to identify a supply of specific, deliverable Gypsy, Traveller and Showpeople sites sufficient to provide five years' worth of sites against their locally set targets to meet accommodation needs of these groups in York. The Council is also required to identify a supply of specific, developable sites or broad locations for growth for the remainder of the plan period.
28. In response to this need the Council commissioned two pieces of work; consultants Opinion Research Services (ORS) produced The City of York Gypsy, Roma, Traveller and Travelling Showpeople Accommodation Assessment (2014) and Peter Brett Associates (PBA) produced a The City of York City of York Council Gypsy, Roma, Traveller and Travelling Showpeople Site Identification Study (2014).
29. In recent months however there have been a series of decision at the national level that will require us to undertake further work on this issue. In addition officers will give further consideration to consultation responses received. This work will be reported back to Members of the LPWG in due course.

Green Belt Appraisal

30. As part of the preparation of York's Local Plan the detailed boundaries of the Green Belt need to be determined. The general extent of the Green Belt is already determined in the Yorkshire and Humber Regional Spatial Strategy to 2026 (May 2008), with relevant policies having been saved by The Regional Strategy for Yorkshire and Humber (Partial Revocation) Order 2013 (SI2013/117).
31. As part of the work on the Local Plan to date, analysis has been carried out relating to the Green Belt purposes. However the Green Belt Study will appraise that work, drawing together in one place all of the different pieces of technical work and evidence relating to York's Green Belt. It was intended that this work would be produced to support the Plan at Submission. There is however significant value in producing this at an earlier stage to aid the decision making process.
32. The study will clearly evidence the extent to which land within the non-built up areas of York fulfil the purposes for including land in the Green Belt. This directly relates to the Green Belt purposes set out in the

NPPF. This work will be reported to the LPWG as part of the series of meetings to discuss evidence base.

Infrastructure Delivery Plan

33. An Infrastructure Delivery Plan (IDP) is required to support the implementation of York's Local Plan. It sets out what infrastructure will be required to deliver the Local Plan; when it will be required; and the contingencies where there are risks. It also identifies who, in terms of authorities, agencies, and other organisations in the public and private sector, will be responsible for funding and providing it.
34. Officers are undertaking work to update various assumptions and technical work relating to the infrastructure delivery plan including further transport modelling work and this will be reported to the LPWG as part of the series of meetings to be programmed.

Neighbourhood Plans relationship with the Emerging Local Plan

35. As part of the Localism Act 2011, local communities are encouraged to come together to get more involved in planning for their areas by producing Neighbourhood plans for their area. Provision of advice and assistance to those proposing Neighbourhood Plans (NP) is a statutory duty for the Council. These NPs are required to undergo an Examination in Public before an Inspector and must conform to national and local plan policy, but are not required to meet the same stringent tests of soundness. In the absence of an adopted York Local Plan, NPs that are adopted will have significant weight in the determination of planning applications as they will constitute a part of the statutory Development Plan for York.
36. There are currently nine emerging Neighbourhood Plans in York. These are at various stages in the plan making process which includes extensive consultation with people who live, work and do business in the Neighbourhood Plan area. The Neighbourhood Plans will be independently examined and be subject to a referendum ahead of being adopted by the Council as part of the statutory development plan. It is important to evaluate how the work of communities in producing Neighbourhood Plans should be considered as a part of the emerging Local Plan.

Emerging Joint Waste & Minerals Local Plan

37. The Local Plan will include strategic policies on minerals and waste and in addition a separate joint minerals and waste development plan document is being produced with North Yorkshire County Council and the North York Moors National Park Authority. This is known as the Minerals and Waste Joint Plan. The Joint Plan will contain a suite of policies to be used when assessing planning applications for minerals and waste development. It will also contain site allocations for future minerals and waste activity. It is important that the emerging Local Plan and the Joint Waste & Minerals Plan are aligned.

Options

38. At this stage in plan preparation, Members are asked to approve the release of contingency funds as detailed in paragraphs 42-45 of this report to enable the additional work to be continued. A future report will be brought once the outstanding work in respect of the evidence base has been completed.

Next Steps

39. The reports sets out the work currently underway which will help to provide the basis for members to decide how to progress the Local Plan. This will involve a number of decisions on the form and content of the Plan and the Local Plan Working Group who will be advising the Executive on these matters will need to meet regularly, around every 4-6 weeks in order to do this.
40. The outcomes of the outstanding work in respect of the matters set out in this report will add to the evidence base, and inform decisions regarding appropriate specific policies. The timeframe for progressing the Local Plan can only be determined once Members have considered the evidence and resolved as to whether changes to the Draft Publication Local Plan (2014) will be significant, or modest. If modest, this would enable the Council to consult on a revised publication draft and then move onto Examination in Spring/Summer 2016.
41. Should Members wish to make more significant changes to the Plan the legal process would require the Council to test those changes through a new preferred options consultation. This would significantly lengthen the Plan preparation process with a new Preferred Options consultation and

a Publication Draft consultation in Autumn/Winter 2016. The exact timetable would be dependent on the outcomes of the technical work highlighted in this report.

Financial Implications

42. Further work on the Local Plan evidence base as outlined in this report including the work on objectively assessed need, economic forecasts, gypsy and traveller need assessment and SHMA will cost in the region of £45,000. Following the completion of the technical work and further reports to Members, as outlined in this report, officers will commence work on either a revised Publication Draft Local Plan or a new Preferred Options Consultation document followed by a Publication Draft Local Plan
43. Any Publication Draft Plan will then need to be subject to Sustainability Appraisal/Strategic Environmental Assessment (SA/SEA), Viability assessment and further transport assessment/infrastructure requirement work. This is anticipated to cost in the region of £20,000 depending on the level of change from work already undertaken to support the previous Publication Draft Plan. Further costs will include a city-wide consultation for Publication and Examination costs.
44. As outlined in the next steps section of this report if we are required to go back to the Preferred Options stage (due to the level of change to the previous draft plan) then additional costs would occur due to staffing resources, any additional evidence base work and the additional cost of further consultation.
45. The additional costs arising as a result of this report total £65k. This is unplanned expenditure and cannot be contained within the current budget allocated towards the Local Plan. It will be necessary therefore to request a release from contingency. The contingency following the Council budget amendment stands at £285k. Should Members agree to the release of £65k this will reduce the available level of contingency to £220k. The costs of finalising the Plan in 2016/17 will need to be considered a part of the 2016/17 budget process.

Council Plan

46. The options outlined above accords with the following priorities from the Council Plan:

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

Implications

47. The following implications have been assessed.

- **Financial** – These are detailed in paragraphs 42-45 above.
- **Human Resources (HR)** – The production of a Local Plan and associated evidence base requires the continued implementation of a comprehensive work programme that will predominantly, although not exclusively, need to be resourced within CES.
- **Community Impact Assessment** A Community Impact Assessment (CIA) has been carried out as the plan has developed and will be undertaken again at the next stage of production.
- **Legal** – The procedures which the Council is required to follow when producing a Local Plan derive from the Planning and Compulsory Purchase Act 2004 (as amended) and the Town and Country Planning (Local Development) (England) Regulations 2012. The legislation states that a local planning authority must only submit a plan for examination which it considers to be sound. This is defined by the National Planning Policy Framework as being:
 - **Positively Prepared:** based on a strategy which seeks to meet objectively assessed development and infrastructure requirements;
 - **Justified:** the most appropriate strategy, when considered against the reasonable alternatives, based on proportionate evidence;
 - **Effective:** deliverable over its period and based on effective joint working on cross-boundary strategic priorities; and
 - **Consistent with national policy:** enable the deliver of sustainable development in accordance with the policies in the Framework.

48. The Council also has a legal duty to comply with the Statement of Community Involvement in preparing the Plan. (S19(3) 2004 Act). Planning Inspectorate guidance states that “general accordance” amounts to compliance.

49. The Council also has a legal “Duty to Co-operate” in preparing the Plan. (S33A 2004 Act).
50. In due course Council will be asked to approve the publication draft Local Plan which will be subject to examination by a member of the Planning Inspectorate before being finally adopted.
 - **Crime and Disorder** – The Plan addresses where applicable.
 - **Information Technology (IT)** – The Plan promotes where applicable.
 - **Property** – The Plan includes land within Council ownership.
 - **Other** – None

Risk Management

51. In compliance with the Council’s risk management strategy, the main risks in producing a Local Plan for the City of York are as follows:
 - The need to steer, promote or restrict development across its administrative area;
 - The potential damage to the Council’s image and reputation if a development plan is not adopted in an appropriate timeframe;
 - Risks arising from failure to comply with the laws and regulations relating to Planning and the SA and Strategic Environmental Assessment processes and not exercising local control of developments; and
 - Financial risk associated with the Council’s ability to utilize planning gain and deliver strategic infrastructure.
52. Measured in terms of impact and likelihood, the risks associated with this report have been assessed as requiring frequent monitoring.

Recommendations

53. It is recommended that Members note progress on the Local Plan and the work that is being undertaken to respond to both the changing national and local context.

Reason: So that an NPPF compliant Local Plan can be progressed.

54. It is recommend that Members agree to the release of £65k from contingency to fund the additional work outlined in the report.

Reason: So that the additional evidence base studies identified in this report can be funded within budget.

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Cllrs C Stewart & K Aspden

**Report
Approved**



Date 21.7.15

Specialist Implications Officer(s):

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Alison Hartley, Senior Solicitor, Planning

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

All

For further information please contact the author of the report

Background Papers:

None



Executive**30th July 2015**

Report of the Director of Communities and Neighbourhoods

Portfolio of the Executive Member Economic Development and
Community Engagement**Business Improvement District for York City Centre****Summary**

1. A Business Improvement District (BID) is a City-wide partnership initiative led primarily by local businesses, with the Council as the accountable body. What follows outlines requirements for essential ballot arrangements.
2. This paper seeks agreement from the Executive for a ballot to take place in November 2015 to allow local businesses to decide whether they would like to form a Business Improvement District for York City Centre.
3. This is the preferred date for the City Team York Executive (CTYE), the lead organisation for this initiative in York. If a ballot cannot be undertaken in November, it will need to be delayed until at least February 2016 so that the Christmas period, a busy time for most City Centre traders, is avoided for this poll. City Team York is keen to avoid any further delay of the Business Improvement District ballot.
4. The Business Improvement District will raise over £800,000 to be invested in the City Centre. Decisions on allocation of this investment will be taken by the business-led BID Board and will focus on areas such as improving the cleanliness of the City Centre, tackling anti-social behaviour and providing business and procurement support for City Centre businesses.
5. As it currently stands, the ongoing financial implications of the Business Improvement District are that the City of York Council annual contribution to the Business Improvement District will be £30,000 a year, beginning in the 2016/17 financial year. This cost will rise or fall in line with the overall rateable value of our property portfolio within the BID area. This will need to be addressed in the next full budget.

6. There are implications surrounding the ongoing cost of collection of the BID, but it is expected that the Business Improvement District will reimburse the administrative cost of collection. Further details are contained at the 'Financial' section of this report.

Recommendations

7. This report recommends the Executive take a number of decisions to ensure that a ballot for a Business Improvement District can take place in November 2015.

Executive is requested to:

- Support the City Centre BID and approve the draft Business Plan put forward by the City Team York Executive
- Confirm that the Executive is satisfied that the York BID proposals are not in conflict with any existing Council Policy, and that the proposed BID boundary has not been manipulated inappropriately
- Approve the Baseline Service Agreement which provides a legal commitment to maintain provision of relevant services in the BID area
- Approve the arrangements for the Council to operate the ballot and act as the collection agent for the levy
- Note the stages and timescales required to implement the decision as outlined in these recommendations.

Reason:

To support the continuing development of a Business Improvement District in York, and subsequent progression to ballot stage.

- Members are asked to agree to the release of £14k from contingency to fund the additional work outlined in the report.

Reason:

To provide a budget for necessary expenditure.

Background

8. A BID is a business-led partnership that enables coordinated investment in the management and marketing of a commercial area, and is a defined geographical area.

9. Governed by legislation to ensure fairness and transparency, a BID is created for a five year period following a successful ballot of local businesses.
10. During the term of the BID, all businesses defined within the BID Business Plan geography will be required to pay the mandatory levy, irrespective of whether they cast a vote in the ballot or not.
11. For a BID to be approved the vote needs to deliver a majority in favour, both in terms of the number of businesses, and the rateable value of the business premises.
12. BIDs have been successfully implemented in over 200 towns and cities in the UK, and also in the United States, Canada and Germany. Of the BID Ballots held in the UK, 85% have so far voted in favour of a BID.
13. Each BID proposal is different depending upon local needs and priorities, but usually undertakes a range of activities to enhance the role of their area as a business location, and as a retail and visitor destination.
14. For a BID to be successful it must be driven by businesses and other occupiers, such as universities, hospitals, cultural organisations, in partnership with the public sector.
15. The BID is steered by a private sector board. Typically, a BID company is formed by the private sector, working in partnership and sharing resources with the Local Authority.
16. For York, this work is being led by the City Team York Executive. CTYE is the executive committee of City Team York, a private-public partnership with a remit for developing a collaborative approach to achieving economic prosperity in the City Centre.
17. CTYE is proposing to set up a Business Improvement District with the aim of creating services and initiatives that will improve the economic vitality and environment in York City Centre, and raise the quality of experience for visitors, businesses and customers.

Input required from the Council

18. The Business Improvement District is being designed and led by City Centre businesses. While overall project management is being taken forward by the BID Project Manager and Make it York, there are a number of actions required from the Council to help support the development of the Business Improvement District.

19. The main purpose of this paper is to give authority for the Business Improvement District to go to a ballot in November 2015, and to approve the draft Business Plan for the BID. This report will give the authority for all necessary decisions for the forthcoming Operating Agreement between the Council and the BID including:
- a. baseline services that the Council will continue to provide. These should be linked to what the BID is trying to achieve, so at present is limited to street cleansing, evening economy, business growth and anti social behaviour
 - b. the framework on how the Council will collect and administer the BID levy.

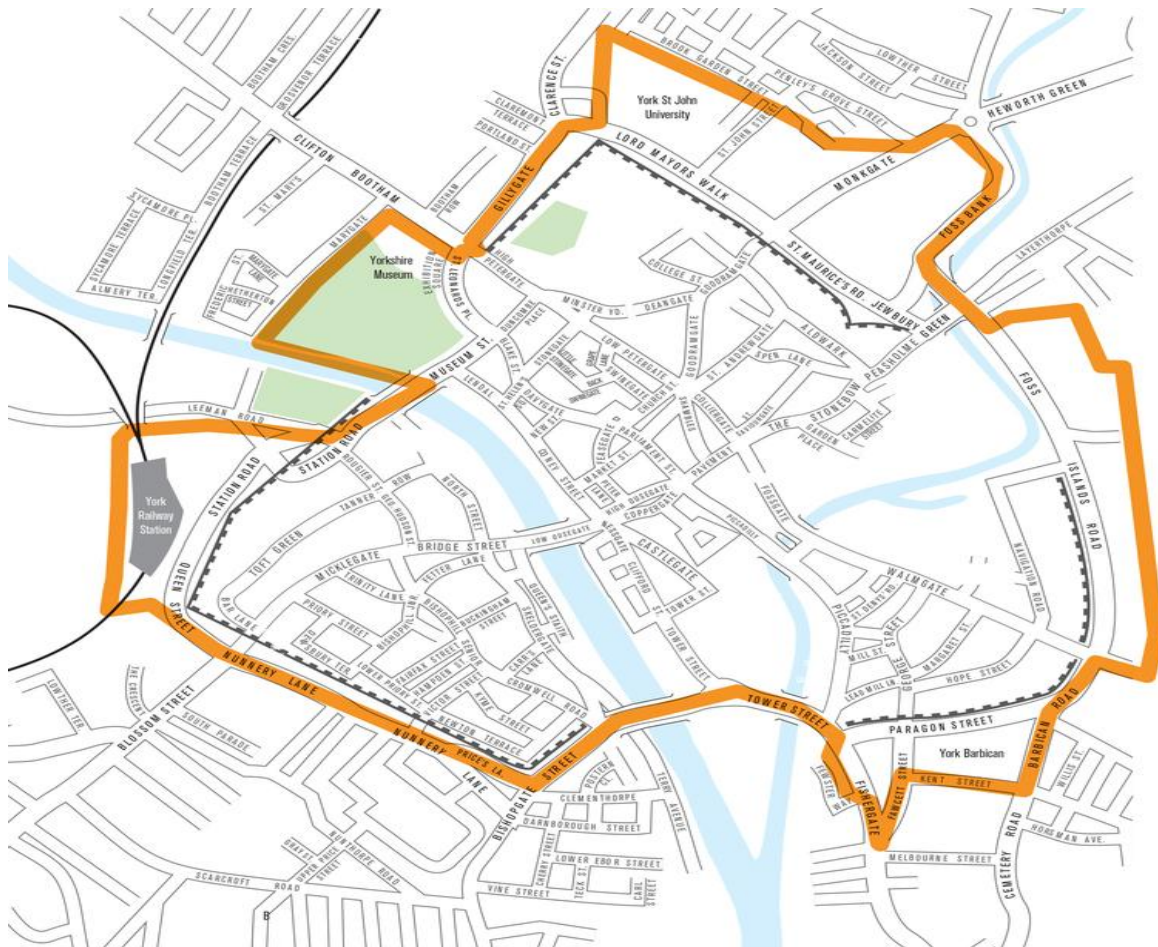
Benefits of the BID for York

20. There are many potential benefits of the BID to York's City Centre. This BID would:
- create a single source of funding of over £800,000 to be spent in the area
 - provide a Business Plan that outlines a focus on expenditure to address anti social behaviour, improving the area and providing business support to city centre businesses
 - improve the resilience of the City Centre to changes in the retail market and;
 - provide a City Centre that increases resident wellbeing and presents an improved business offer.

Progress to date

21. The business-led City Team York Executive has proposed the boundary for the York City Centre BID. This will include all businesses, shown on the map below in Figure 1, that:
- are generally within the City walls (but also include the large retailers on Foss Islands Road)
 - have a rateable value of over £12,500.

Figure 1. Proposed Boundary of York BID



22. This encompasses just under 1,150 businesses in the Guildhall, Micklegate and Fishergate Wards. Consent is required from a majority of all them, both in terms of rateable value and numbers of voters.
23. A Feasibility Study has been carried out by the York BID team and appears in this document as Annex 1.
24. The Council has already provided £35,000 to fund a BID Manager, including £25,000 from a recent EIF grant. So far the BID team have been working with some City Centre businesses to develop a prospectus. Following a consultation on this prospectus, the City Team found that the main issues for City Centre businesses were:
- Anti social behaviour and addressing issues with the early evening economy
 - The need to represent City businesses on policy decisions (and on Parking in particular)
 - The public realm, including a gold standard cleaning service

Draft Business Plan

25. In light of this feedback, the City Team have now produced a draft Business Plan for consultation, in which it is proposed that the BID funds will be used to develop an enhanced City Centre offer, including:
- additional festivals and city centre events
 - developing the early evening economy
 - improved 'gold standard' street cleansing, and
 - measures to reduce the level of anti-social behaviour in the City Centre.
26. This draft Business Plan also includes arrangements on the Governance of the BID. It is proposed that a Member be nominated by the Executive to represent the City of York Council on the Business Improvement District Board.
27. The draft Business Plan is included in Annex 2, and Executive are asked to consider its approval.

Exemption of Small Businesses

28. York originally set the lowest BID threshold amount of £7,500, with small businesses with a rateable value of less than that sum within the BID geography exempt from paying a levy. To put this into context, the Leeds BID threshold is £60,000.
29. There was some concern expressed by some of the smaller businesses at the lower end of the threshold about the proposals for the Business Improvement District, so subsequent discussions have seen that amount raised to a threshold of £12,500. This means a possible 1,142 businesses with a potential annual income of £863k less running costs.
30. Businesses below the threshold will still benefit from investment in the BID. For example, the BID team are looking at potential advantages for small businesses, such as the bulk buying of waste services.
31. We are also encouraging the City Team Executive to consider:
- Creating a non-voting role on the BID board to represent businesses with a rateable value below £12,500
 - Creating BID champions for individual high streets within the BID area (e.g. Goodramgate, Micklegate and Fossgate)

Timescales to create the BID

32. Work to create a BID is governed by legislation. The table below summarises the next steps from a Council perspective.

Date	CYC
August	Issue notice for ballot (required 42 - 90 days ahead of actual ballot)
November 2015	Ballot
December	Results from BID ballot are published
December 2015 – February 2016	If a 'yes' vote: Ensure processes are in place for administration and collection of the Business Improvement District
February 2016	If a 'yes' vote: Issue BID levy bills to in scope rate payers
April 2016	If a 'yes' vote: Target date for BID to go live

Baseline Agreements

33. The proposed programme of services to be included in the BID should be clearly in addition to those provided by the local authority, complementing work already ongoing, and not used to replace existing public sector services.
34. The Baseline Agreement, developed with heads of service, includes the minimum service provided, as well as details of employees and equipment required. These services are a combination of statutory and discretionary.
35. The document is legally binding for four years, and during that time the Council will be required to continue to provide these services.
36. This can be used to reassure the minimum service delivery to be maintained by the authority and to show which services can be provided in addition as a benefit of BID funds.
37. Many Council activities that typically fall within the Baseline Agreement, such as City Centre Management, Culture and Economic Development are now within the remit of Make it York. As an authority, we are looking at the commitment we make in a number of areas, including:
- Street Cleaning
 - Streetlighting
 - Highways Maintenance
 - Parking Services
 - Make it York
38. Whilst this is a smaller baseline in terms of areas covered, it also refers to the

Make it York SLA which includes a much wider number of services for the City Centre, including City Centre management, the markets, business support and cultural festivals.

39. The City Centre would also like us to consider including a baseline for CCTV services. As agreed in June executive, CCTV procurement is under review. Once this process is complete, we recommend that we provide a baseline agreement for CCTV based on the outcome of this review.

Parking

40. City Team York are interested in exploring a change to the Council's approach to parking.
41. Appropriate management and control of on- and off-street parking in the central area of the City is critical to maintaining movement of traffic around the City and the continued vibrancy of the City Centre.
42. The availability of parking, and the charging regime, needs to balance three key objectives:
- environmental impact – particularly air quality,
 - economic impact on city centre activity (both charging levels and congestion) and
 - income levels to the Council.
43. The way that the Council operates its parking stock is currently being reviewed to ensure that it continues to provide the service required. Options such as the roll out of 'pay on exit' to further car parks will be considered as part of this review. A report will be presented to the Council later in the year identifying options for the future management of the service.

Running a Ballot

44. The Ballot is the single most important stage in getting the BID up and running. Without 50% agreement from local businesses, the BID will not be formed, and any further work will cease. This report assumes that the requisite number of local business votes supporting the BID have been won.
45. The Chief Executive has written to City Team York confirming that we will both run and fund the ballot. The ballot will be postal and run over a period of one month.

Work required by CYC for the Ballot

46. The BID team are aiming for a November ballot to allow the collection of the Paper to the Executive, York BID, July 2015/ OCE

BID levy to begin in the 2016/17 financial year.

47. To ensure that a ballot can take place in November, the BID team need to enter into a number of fundamental stages to ensure a robust process is established before committing ourselves to a ballot. The outline process for reaching ballot stage is detailed below, and will be down to the combined efforts of the BID team, Make it York and the Council.
48. We will need to write to all BID-eligible hereditaments¹ notifying them of a forthcoming ballot. This is usually 42 – 90 days before ballot day. The ballot is done by post and will run for about a month.
49. A 28 day period exists following the ballot, during which time the result can be challenged. The ballot must be supported by 50% of levy payers. If a challenge is successful, an investigation will take place which may require the result of the ballot to be overturned.
50. We have received a quote from the Electoral Reform Society (ERS) to run a ballot. The ERS have run ballots elsewhere and would have the advantage of being an independent body. We believe the quoted cost of £4,000 for the ballot is lower than the cost of running it internally. Therefore, it is recommended that we pay for the ERS to run the ballot.

Levy collection

51. In the BID legislation, the local council is required to be the accountable body to collect the BID fund. In most BIDs, the local council is reimbursed for the BID collection costs. We need to provide an estimate of the administrative cost for inclusion in the Business Plan.

a) Billing

52. Discussions are ongoing with the Customer and Exchequer Team on the process for the collection of the BID levy. At present, City Team York prefers that the BID levy statements are delivered to businesses at the same time as the annual business rates statement.
53. The intention is that the Council are the billing authority, so would collect and transfer funds to the BID company and carry out the administration function. Practicalities as well as cost implications are being explored.
54. It is important that we create a mechanism for collecting the BID that is effective whilst being the lowest cost solution to ensure that the BID has the highest level of funding after administration costs as possible. At present, we

¹ A 'hereditament' is a property taxation term used when a property fulfils the requirements to render it subject to a rating Paper to the Executive, York BID, July 2015/ OCE

are still developing our billing process for the first year of the BID, but we are working on the basis that it will cost a maximum of £30,000 in the first year.

55. We expect that costs in the first year are likely to be much higher than those in subsequent years. We will create an open and auditable process on the cost of this billing and aim to only charge the Business Improvement District for the administrative costs incurred.
56. This paper proposes that any initial set up costs are funded from contingency.

b) Timing

57. There is an issue with the timing of the collection of the levy in the first year.
58. If the bill is to be issued at the same time as business rates, we will need the software and processes in place by February 2016, and it takes 2-3 months to embed new systems. At present, there is a significant possibility that processes might not be in place by this point. However, subject to a yes vote on the BID, we aim to ensure billing takes place at the beginning of the next financial year.

Consultation

59. The impetus to develop a BID has been initiated by City Centre businesses and local partners.
60. The Baseline Agreement has been written with the input of relevant managers.
61. The BID Manager is responsible for building robust working relationships with all potential BID members and is required to engage businesses in every aspect of the process.

Options

62. The options for Executive to consider are around financial implications and how the Council manages any costs incurred whilst assisting the establishment of the BID. The options are:
 - a) Proceed as set out above and absorb any costs
 - b) Proceed as set out above but charge a one off fee for any work carried out
 - c) Negotiate that any fees or costs incurred by the Council are removed as part of our contribution to setting up the BID.

Council Plan

63. The 12 point plan proposed by the joint administration states that Frontline

Customer Services, Value for Money and Economic Development are their key priorities. The BID proposal would support these factors by raising the profile of the City and boosting local business.

Implications

Financial

64. There are a number of areas where there are financial implications for the creation of the Business Improvement District. Our current understanding of these is outlined in the table below.
65. It is worth being aware that many local authorities charge an administration fee to cover the cost of collecting and administering the Business Improvement District. Given the financial constraints we face, it is advisable that we also raise a charge against this.

	Estimated cost	One off/ ongoing	Notes
Ballot	£4k	One off for 15/16	Estimate based on quote from the Electoral Reform Society.
Administrative support to collect the BID funds	£10k £30k	Set up Ongoing	Based on full cost (including on costs) of a grade 6/7. Most other authorities charge an administration fee for the Business Improvement District and it is expected that we will charge the BID a maximum of £30k.
BID dues on all CYC city centre buildings	£29,872	Ongoing	Based on 1% of rateable value of CYC estate within the BID area.

66. There is no budget for the one off set up costs for the Business Improvement District. It is recommended that Members agree to the costs outlined above of (£14k) to be funded from the Council's Contingency. The contingency following the Council budget amendment earlier in July stands at £285k. Should Members agree to the release of (£14k) this will reduce the available level of contingency to £271k.

Human Resources (HR)

67. We anticipate that there might be a need for additional staffing to support the BID Levy collection, so we could consider creating a new Grade 6 role (£30k plus on costs and budget for post) to:
- a. Create and manage a separate database for the BID rates
 - b. Bill levy payers for the BID and be responsible for chasing up payments not made.
68. At this point, however, there is no budget in place to fund this position, and any such proposals would need to be ratified by Council. Given that the cost and workload is currently unknown, any resourcing would also need to be reviewed after 12 months to ascertain whether this work needs to continue.

Equalities

69. All equality implications will be managed through the BID process and representative governance will be sought.

Legal

70. Our legal protections are set out within a draft Memorandum of Understanding (MOU) drawn up by the Council's Legal Team. The baseline agreements and Operating Agreement also appear in these schedules. This MOU is necessary to cover the relationship between the Council and the BID Company.

Crime and Disorder

71. One of the key BID themes would be to introduce initiatives to try and tackle anti-social behaviour and the culture of afternoon drinking which is attracting large numbers of stag and hen parties to York. Discussions with representatives from the local Police force has shown that they would be keen to support this.

Information Technology (IT)

72. Not applicable at present.

Property

73. Not applicable.

Other

74. Not applicable.

Risk Management

75. Failure to achieve the number of 'yes' votes in the ballot will result in all administration costs being lost. An attempt at a second revised ballot will have further cost implications.
76. If a majority of votes is received and the ballot is successful 'no' voters who fall within threshold parameters will still be required to pay their share of the BID Levy

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**Report
Approved**

√ 21 July 2015

Specialist Implications Officer(s)

Not applicable

Wards Affected: *Fishergate, Guildhall and Micklegate*

For further information please contact the author of the report

Annexes

Annex 1 – Feasibility Study

Annex 2 – Business Plan

Annex 3 – Baseline Agreements

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The York BID Feasibility Study

Introduction

York has one of the strongest economies in the north of England and has reinvented itself from a railway and confectionery manufacturing city into an international hub for science and technology as well as a national centre for financial and business services.

The city centre BID area is a major retail and tourism destination, mostly contained within the ancient city walls and including York Minster, one of Europe's finest cathedrals, world class museums and many beautiful and historic buildings, attracting more than 7m visitors a year.

However, it faces many unique challenges which is why business leaders decided to investigate the feasibility of the creation of a Business Improvement District to capitalise on its strengths and to safeguard and develop its economic prosperity.

Why does York need a BID?

York already has a great city centre, famous for its heritage, historic streets, ambience, big-name shopping brands, visitor attractions and scores of independent shops. But with the right vision and a coordinated management approach driven by city centre businesses, imagine what could be achieved. York cannot stand still.

There are now more than 200 BIDS across the UK, making a real difference to the economies of those areas. BIDS have just been approved in Leeds and Sheffield. York city centre is not immune to the challenges posed by out of town shopping centres.

A BID provides the best opportunity for continued investment in the city centre. It will help York to:

- Attract big-name brand retailers
- Attract more professional and financial employers to locate in the city centre
- Market the city to visitors and residents, increase footfall, dwell time and spend
- Improve the centre's appearance and environment
- Add to and enhance the city's festivals and events
- Work in partnership to improve safety and reduce crime
- Develop the early evening economy
- Provide business support and development
- Create a strong leadership voice to lobby on issues such as parking and transport

These are some of the issues businesses in York are telling us they want to see as priorities.

A BID can make this happen.

Background

The idea of setting up a Business Improvement District was suggested by City Team York, a public-private sector partnership, set up in the wake of the Portas report into the future of the British High Street.

City Team York has about 40 representatives from all business sectors and its main aim is to work collaboratively to improve the economic vitality of York city centre. The City Team York Executive (CTYE) began formalising plans in 2013 and early 2014. Initial feedback from City of York Council, other major stakeholders, businesses and service providers was positive.

The feasibility study has been overseen by the CTYE, whose members are:

- Adam Sinclair, MD of Mulberry Hall (Chair)
- Neil Setterfield, MD, Fenwick Department Store
- Frank Wood, partner, Braithwaites Jewellers
- Sophie Jewett, owner, York Cocoa House
- Michael Hjort, owner Walmgate Ale House, director, York Food Festival
- Sue Anderson-Brown, manager Coppergate Shopping Centre
- Charles Storr, City of York Council
- Jane, Lady Gibson, chair Visit York
- Paul Stansfield, property expert
- Steve Brown, MD, make it York

Following the positive feedback, CTYE chairman Adam Sinclair, wrote to 779 city centre businesses informing them of the plans and including a survey. 95 people (12.2%) responded to the survey and those responses, along with personal feedback to CTYE members helped shape the next stage of the consultation process. A story about the plans was also featured on page 1 of the city's daily newspaper, The York Press and on its website.

More than 30 City Team York members, representing a cross section of York city centre businesses voted unanimously to press ahead with plans to set up a BID at a special meeting hosted by HSBC on October 31, 2014.

Following that meeting the CTYE and the city council worked closely together on establishing arrangements, checking the business rates database and drawing up a proposed boundary.

Initial support from businesses across the city has been overwhelmingly positive.

The BID Area

The proposed BID area is largely within the natural boundary of the inner ring road, but includes businesses facing the inner ring road. To view the map, go to www.theyorkbid.com

How much could a York BID generate?

We consulted on a 1% levy based on rateable value, with a minimum threshold of £7,500. This would apply to 1,322 hereditaments, or 1090 separate businesses. This would generate in excess of £870,000 a year. The money would be spent according to the wishes of local businesses (through the auspices of BID champions and the BID Board once established).

Areas of Focus – Initial consultation suggested four areas of Focus as follows:

1 Appearance and environment

We want to promote York city centre as a great place to live, work and visit. This could include providing an enhanced street cleaning and litter collection service; improving public spaces, flower displays, seating and other street furniture; employing uniformed city ambassadors and improving access points to the city centre and signage to create a great first impression.

2 Events and Festivals

York has an enviable reputation for the number and breadth of its events and festivals but this could be enhanced and extended by working with partners to create a year-round programme. This could include a spectacular Christmas/Winter lights display, fashion and restaurant weeks, and making more use of public spaces, and tapping into the potential of the city's historic buildings, revamped theatre and art gallery and world class museums. There could also be a focus on developing the early evening economy with later opening hours for shops and cafes, street entertainment, public art displays and other open air events.

3 Safe and secure

The BID would look to work with partners to minimise crime and create a truly family friendly environment during the day and at night. Crime reduction initiatives could include: closer working relationship with the York Business Against Crime Scheme, support partners in tackling problem areas such as anti-social behaviour and drunkenness, improved lighting and secure bike storage.

4 Business Support and Development

The BID company would focus on the investment needs of the city centre, working with partners to coordinate one voice for all sectors to lobby the council and other public sector organisations to ensure the centre gets a fair deal and maximises its funding opportunities. It would seek to address concerns over parking and transport and to reduce overheads through procured services for utilities, insurance, waste collection and recycling.

We are now seeking further views on the areas of focus via our consultation document which has been sent to all 1,090 businesses.

Conclusion

There is considerable momentum in support of a BID across the full range of sectors included in the feasibility consultation. The largest sector contributors in terms of levy payment would be Retail, Professional and financial services companies, hotels and the public sector, including education and culture, all of whom have expressed their overwhelming support in favour of BID.

City of York Council would be the largest levy payer and it has agreed to be the accountable body for the ballot and levy collection.

To capitalise on the level of support and momentum, a ballot date of November 2 would be desirable. The council has already indicated that this is possible but this will require a concentrated focus, requiring a good deal of collaboration between the council and private sector as the date of the ballot must be included in the 84-day notice of intention to create a Business Improvement District issued to the Secretary of State for Communities and Local Government.

If the ballot is successful in November 2014, the new BID company would formally commence in April 2016 with levy collection invoices issued in March 2016 for payment in April.

The Board is recommended to endorse the contents of this report and recommend to City of York Council that a delivery process for establishing a BID for York city centre is set up with immediate effect with a ballot date of November 2 as the desired outcome.

Business Plan for the York BID, as supplied by the BID Team

The York BID

Chairman's Statement

York has one of the finest city centres in the UK. I am lucky to have been brought up in the city and traded in the centre for most of my life. So, I am fully aware of the special environment and characteristics setting it apart from other towns and cities. It is, quite simply, York's greatest asset.

It is the city's historic centre and unique mix of top name retailers, range of independent stores, quality attractions and events which bring in more than 7 million visitors a year.

It is this special quality which has attracted investment from employers and which makes our beautiful city such an appealing place to come and live and work. It is why York has one of the most buoyant economies in the north and employment levels are relatively high and stable.

Nevertheless, the world is changing rapidly and York city centre has no divine right to an assured future. We face increased competition from other centres in the UK and across the world, as well as the Internet.

More locally there has been prolific out of town development in recent years. All town and city centres are under increasing pressure and there is widespread vulnerability. A recent survey by Deloitte confirmed that there would be many more city centre losers than winners across the UK. I want us to ensure that York city centre continues to be a winner.

We need to up our game in terms of attracting investment, entrepreneurship and financial and professional services, as well as our shopping offer. Our public realm and our cleanliness need to be gold plated and our streets and car parks need to be welcoming, clean and convenient and to feel safe and secure. We need to champion our character and heritage and must boost our cultural offering, including in the evening, to attract more families and high spending visitors.

We can achieve this by working together to secure more than £800,000 a year and a real business voice for York city centre. Importantly, the BID will be business led and the money will be used to address the priorities decided by you - our existing businesses.

Please support the BID with a 'Yes' vote in November.

Adam Sinclair

Chairman York BID
MD Mulberry Hall

Vote YES

This is YOUR BID. It will be set up to deliver the services and improvements that you want to see with communication through BID champions from all sectors and across all areas of the city centre. The BID is for the whole of the city centre, not just the core. Streets on the edge of the city centre are often a visitor's first impression and are every bit as important, The BID's mission will be to improve trade and the appearance of the city for everyone.

The BID will strengthen the city centre. It will reinforce and develop its position as a major shopping destination, world class international tourist city and important commercial centre. It will protect jobs and attract new business.

The BID is a vote for the future prosperity of the city centre. Please vote YES on November 2nd.

What is a BID?

A Business Improvement District is a specific area where businesses work together to invest in services, special projects and events. There are now more than 200 across the UK, delivering economic and environmental benefits.

This BID plan has been developed in consultation with the business community and can be voted on by all businesses who will be asked to pay a levy of 1% of their rateable value.

If a majority of voters, more than 50% both by number and rateable value, vote to support the business plan, then a BID will be established for five years. All businesses in the BID area will be required to pay the mandatory levy whether or not they cast a vote.

Why does York need a BID?

York already has a great city centre, famous for its heritage, historic streets, big-name shopping brands, visitor attractions and independent shops. But with the right vision and a coordinated management approach driven by city centre businesses, imagine what could be achieved.

York cannot stand still. BIDS have recently been launched in Leeds and Sheffield and York city centre is not immune to the challenges posed by the internet and out of town shopping centres. A BID provides the best opportunity for continued investment in the city centre. It will help the city centre to:

- Attract big-name brand retailers and new independents
- Attract more professional and financial employers to locate in the city centre
- Market the city to visitors and residents, increase footfall, dwell time and spend
- Improve the centre's appearance and environment
- Add to and enhance the city's festivals and events
- Work in partnership to improve safety and reduce crime
- Develop the early evening economy
- Provide business support and development
- Create a strong leadership voice to lobby on issues such as parking and transport

These are some of the issues businesses in York are telling us they want to see as priorities.

A BID can make this happen.

Feasibility

A comprehensive feasibility phase was undertaken from October 2014 to May 2015. This initial consultation involved more than 100 businesses, through a series of presentations and workshops, individual meetings and a business survey. Support for a BID for York city centre was overwhelming and the feedback helped to shape the next stage of consultation.

Consultation

We extended the consultation in May with a high profile launch of a consultation booklet at the offices of Aviva attended by more than 50 key stakeholders in the city. The 8-page A5 booklet, which explained the BID proposal in detail and included a questionnaire, was made available to every business within the BID area, either by post, email, online or hand delivered. Consultation continued throughout May and June, including BID drop-in events, talks to business support groups, and dozens of individual meetings. We will continue to consult with businesses right up to the ballot in November.

Your views have helped us develop this business plan and prospectus. The ideas and projects are yours. BIDS are operating extremely well all over the UK and the time is now right for all businesses in York to work together with partners to make our city centre even better.

The Four Programmes

1. Appearance and Environment

York is a beautiful city but has the potential to be even better. More needs to be done to ensure its appearance is maintained and enhanced over the coming years and that our streets and public spaces throughout the city centre are cleaner and more vibrant than ever before.

The BID will:

- Provide an enhanced street cleaning service to give the city the appearance it deserves. This would include deep cleansing, extra litter collections, rapid response and graffiti removal. This would be in ADDITION to the service provided by the city council.
- Improve the gateways to the city to create a much better welcome and first impression for visitors, customers and everyone who lives and works in the city.
- Work with partners to ensure empty shops and properties are properly maintained and continue to convey a positive image.
- Improve ease of navigation around the city with the use of consistent, visible and appropriate signage for all areas.
- Add to and enhance floral displays and street art.

2. Safe and Secure

York is one of the safest cities in the UK. But businesses and other organisations in the city have told us that we need to do more. There are concerns that ant-social behaviour and drunkenness, especially during the day on Saturdays, are driving shoppers and families away from the city centre. We will work with partners to create a vibrant, welcoming family friendly city centre.

The BID will:

- Appoint a team of ambassadors and volunteers (initially on Saturdays). This team of easily identifiable, friendly faces would welcome visitors, report any environmental or safety issues that damage our city's appeal and act as a reassurance to businesses, shoppers, tourists and workers that York is a welcoming and safe city.
- Work closely with North Yorkshire Police and the Safer York partnership on a range of issues, especially around excessive drinking, begging and unlicensed or intimidating street trading.
- Work with agencies to support the homeless and vulnerable.
- The BID would also look to team up with partners to improve the provision of secure bicycle parking in the city centre

3. Events and Festivals

York already has an enviable reputation for the number and breadth of its events and festivals but there is the potential to do more to suit all users of the city and to include more streets to maximise footfall and increase revenues for all businesses. The BID would look to work closely with existing event organisers, streets and businesses to add value and support promotional activity. It would also work with partners to develop the early evening economy.

The BID will:

- Work with partners to develop and promote York's growing reputation as a City of Festivals and host of a year-round programme of events.
- Invest in street and community events throughout the city aimed at encouraging visitors and locals to discover York's hidden gems and its variety of independent shops, bars, cafes and restaurants. We could help businesses launch events in specific areas.
- Work with partners to further develop York city centre as a pre-Christmas tourist and shopping destination. This will include a spectacular and expanded Christmas lights display which we would seek to extend beyond its existing boundaries and develop over the five years of the BID.
- Develop the early evening economy by encouraging more late night shopping (on certain nights or at certain times of the year), open air entertainment and cultural events aimed at encouraging visitors and people leaving work to spend more of their leisure time in the city centre.

4. Business Support

The BID will provide a strong collective voice for more than 1,000 businesses in York city centre. It will mean every business, large or small, will be able to have a say on important decisions that affect the trading environment.

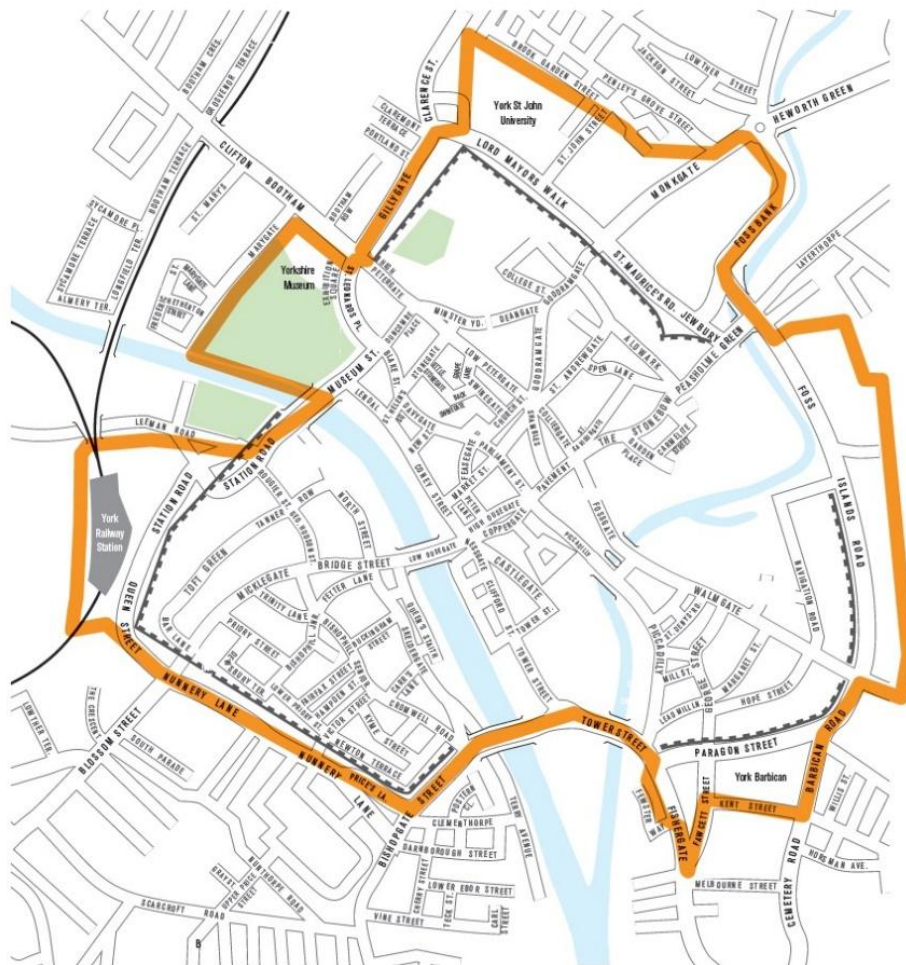
The BID will:

- Seek to address concerns over transport and parking. Meaningful talks have already been held with City of York Council with a view to the introduction of pay on exit at its major car parks. This will enable shoppers and visitors to be more relaxed and stay longer.
- Promote York city centre as an attractive commercial destination and a great place to work. The ability of York to retain talent and not have it drawn to other locations will be crucial to remaining competitive.
- Lobby the council and other public sector organisations to robustly represent the views of companies in the BID area.
- Work to protect York's uniqueness and, in particular, the strength and variety of the independent sector, providing training, advice and networking opportunities to give businesses the best possible chance of success.
- Work with businesses and other partners to develop new ways of coordinating the collection and recycling of trade waste with the aim of saving you money.
- Use collective buying power to negotiate discounts on other business costs such as utility bills and insurance.
- Secure investment from new sources and pursue leverage of additional funding.

Where will the BID operate?

The proposed BID area is outlined on the map subject to further consultation. During the initial consultation stage all sectors supported the principle of a BID and the suggested boundary which is largely within the inner ring road but includes

businesses facing the inner ring road.



- Monkgate
- Museum Street
- Navigation Road
- Nessgate
- New Street
- Newgate
- North Street
- Nunnery Lane
- Ogleforth
- Palmer Lane
- Paragon Street
- Parliament Street
- Patrick Pool
- Pavement
- Peasholme Green
- Peckitt Street
- Percys Lane
- Peter Lane
- Piccadilly
- Priory Street
- Queen Street
- Rougier Street
- Shambles
- Skeldergate
- Spurriergate
- St Denys Road
- St Helens Square
- St Johns Street
- St Leonards Place
- St Martins Lane
- St Mary's Square
- St Maurices Road
- St Sampsons Square
- St Saviourgate
- St Saviours Place
- Station Rise
- Station Road
- Stonegate
- Stonegate Walk
- Swinegate
- Swinegate Court East
- Swinegate Court West
- Tanner Row
- Tanners Moat
- The Stonebow
- Toft Green
- Tower Street
- Trinity Lane
- Walmgate
- Wellington Row
- Whip-Ma-Whop-Ma Gate

- | | | |
|----------------------|----------------------|------------------|
| Aldwark | Duncombe Place | High Petergate |
| Back Swinegate | Dundas Street | Hungate |
| Barbican Road | Exhibition Square | Jewbury |
| Bishopgate Street | Fawcett Street | Jubbergate |
| Blake Street | Feasegate | Kent Street |
| Blossom Street | Fetter Lane | King Street |
| Bootham | Finkle Street | Kings Court |
| Bridge Street | Fishergate | Kings Square |
| Buckingham Street | Foss Bank | Kings Staith |
| Castlegate | Foss Island Road | Lendal |
| Chapter House Street | Foss Islands Road | Lendal Bridge |
| Church Lane | Fossgate | Little Shambles |
| Church Street | Franklins Yard | Little Stonegate |
| Clifford Street | Garden Place | Lord Mayors Walk |
| Coffee Yard | George Hudson Street | Low Ousegate |
| College Street | George Street | Low Petergate |
| Colliergate | Gillygate | Lower Friargate |
| Coney Street | Goodramgate | Margaret Street |
| Coppergate | Grape Lane | Market Street |
| Coppergate Walk | High Ousegate | Merchantgate |
| Cromwell Road | | Micklegate |
| Cumberland Street | | Mill Street |
| Davygate | | Minster Gates |
| Deangate | | Minster Yard |

Projected Income and Expenditure

We are determined to make York city centre one of the most attractive, vibrant and welcoming locations in the UK. We will introduce new initiatives to take the city centre to the next level and make it the ideal choice for employers, shoppers, residents, and visitors.

	York BID Budget 2016 - 2021					
	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Income	£k	£k	£k	£k	£k	£k
1% Levy (@ £12.5k RV)	790	800	800	800	800	3,990
less Levy Collection Fee	(25)	(25)	(25)	(25)	(25)	(125)
Total Income	765	775	775	775	775	3,865
Projects / Expenditure						
Appearance & Environment	220	230	230	230	230	1,140
Safe & Secure	180	180	180	180	180	900
Business Development	135	135	135	135	135	675
Events & Festivals	90	90	90	90	90	450
Contingency	40	40	40	40	40	200
Total Projects	665	675	675	675	675	3,365
Administration & Overheads	100	100	100	100	100	500
Total	765	775	775	775	775	3,865

As well as revenue from levy payments, we will also seek to secure other funding from sponsorship, voluntary contributions and other sources.

All figures are estimates, and project costs may change over the term of the BID subject to Board approval.

- Assumes 6% non collection Yr1 and 4% Yr2-5.
- Assumes a 3% fee, per BID guidelines
- Contingency includes £15k loan repayments Yr1 and Yr2
- Overheads are consistent with benchmark BIDs, eg Norwich

The BID levy figures are based on data available as at June 2015 from York City Council. The City of York Council is the accountable body for collection of the BID levy. The Council will specify the collection fee in advance of the vote, and has confirmed the cost will not exceed £30,000 a year. The York BID will pursue potential sources of income additional to the levy. These includes commercial sponsorship and income generation, including voluntary contributions to supplement the levy throughout the lifetime of the BID.

How much will you pay?

As a levy payer you will be required to pay one annual payment towards the BID each year for five years. This payment will be calculated at 1% of the rateable value for your individual property. So if you own a business with a rateable value of £50,000, you will pay £500 a year to the BID.

We have introduced a lower threshold which means that a business with a rateable value that is £12,500 or lower will not have to pay.

About the vote

So it's now over to you...

If your rateable value is more than £12,500 and you are in the BID area you will have a vote. This is a vote for the future, a vote for continued improvement and a vote for a prosperous City Centre economy.

Voting commences on November 2, 2015. When you receive your ballot paper by post, simply fill it out and return it in the envelope provided.

Who will run the BID?

Following a successful ballot, a not for profit BID company limited by guarantee will be set up. An Interim Board, made up from a cross section of the business community, will run the company until its first AGM when elections will be held. Directors will not gain financially from their positions. The Board will be responsible for implementing the BID Business Plan and will be accountable to the BID levy payers.

A BID Champions Group has also been set up to support the Board. The BID champions come from different sectors and different streets to ensure BID funds are spent on projects across the city. They will also communicate the wishes of businesses to the Board.

Interim Board

Adam Sinclair (Chairman)	Mulberry Hall
Frank Wood	R.A. Braithwaite jewellers
Jane Gibson	Chairman, Make It York
Michael Hjort	Walmgate Ale House and York Food and Drink Festival
Neil Setterfield	Fenwick Limited (York)
Nick Symington	Langleys Solicitors
Colin Crawford	Aviva
Paul Stansfield	Property Consultant
Vacancy	City of York Council
Sophie Jewett	York Cocoa House
Steve Brown	Managing Director, Make It York

Sally Burns

City of York Council

BID champions to be listed here: (Not yet complete)

BID Levy Rules

The BID process is governed by Government Legislation. As such, once a majority vote has been achieved, the BID levy becomes mandatory on all defined ratepayers. The rules for the BID levy are as follows:

- The levy will be fixed at 1% of rateable value. This will not be subject to changes in inflation and if this is to change, we would hold a new ballot.
- The term of the BID will be for a period of five years from April 1, 2016
- The BID levy will be applied to all ratepayers with a rateable value of more than £12,500.
- All new hereditaments entering the Rating List will be levied at 1%.
- The owners of empty hereditaments will be liable for the BID levy with no void period allowed.
- There will be no VAT charged on the BID levy.

Additional services

City of York Council is backing the BID. As well as being a substantial levy payer it will align its activities to help the York BID bring about substantial improvements for the city centre. However, a BID cannot be used to replace core public sector services. There is legislation in place to ensure that a BID must provide additional or enhanced services.

Legal agreements

A baseline agreement will be established to set out agreed levels of service provided by City of York Council. An operating agreement between the York Bid and City Of York Council will also be developed to define the contractual arrangements for the collection and enforcement of the BID levy.

Copies of the baseline agreement will be available to view at:

www.theyorkbid.com

How will we communicate with members?

If we secure a 'Yes' vote our BID will be one of the biggest in the UK. It will represent around 900 levy payers plus a further 600 businesses who will benefit from the BID but won't pay because their rateable value is less than our minimum threshold of more than £12,500.

Methods of communicating will include regular newsletters, email alerts, online updates at www.theyorkbid.co.uk, and latest news via Facebook and Twitter. We will also hold regular meetings with our BID champions and feed information through to them.

All levy payers will be invited to become members of the BID company and there will an AGM and an annual report

How will I know if the BID is working?

We believe accountability comes from asking the levy payers, who help and fund the BID, to tell us each year how they feel the BID company has performed versus the annual business plan. We will survey all paying businesses in the BID area annually and ask them to assess our performance against the objectives as set out in the business plan.

You should see an uplift in footfall and sales figures. After all, this is the ultimate aim of the York BID.

Other performance measures will include:

- Footfall monitoring
- Number of vacant units brought back into use or improved
- Quarterly revenue survey sent to all BID levy payers
- Number of new businesses operating in the BID area
- Number of new initiatives launched
- Street cleanliness survey
- Analysis of media coverage about the city centre
- Analysis of crime figures

Ballot Rules

From November 2 until November 30 businesses will be given the opportunity to vote in a formal postal ballot. To ensure neutrality, it will be a confidential ballot.

All defined ratepayers, will be entitled to one vote per hereditament. Some businesses will occupy more than one hereditament within an area and therefore will have more than one vote. Ratepayers that have been exempted from paying the BID levy will not be eligible to vote.

It will be possible to appoint a proxy to vote on your behalf. Proxy applications will need to be made to the ballot holder by ? . Proxy application details will be included in your ballot pack.

To establish a BID, the ballot will need to satisfy two tests as follows:

1. A majority in number of those voting.
2. A majority in Rateable Value of those voting.

Steps in the ballot process:

- Your notice of ballot will be sent on ?
- Your ballot paper will reach you by ?
- You will need to cast your vote by 5pm on ?
- The ballot result will be announced on ?

What if I vote “No”?

If more than 50% of eligible businesses vote ‘no’, those within the BID district will lose the opportunity to make a tangible difference to their trading environment. Promoting the city centre will continue to be the responsibility of individual organisations and the opportunity for collective marketing initiatives will be lost.

We believe that with a BID York city centre will gain new confidence and thrive.

Without a BID new marketing opportunities will be lost, it will be harder to attract new business, and York will fall further behind its competitors, locally, nationally and internationally.

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City of York Business Improvement District

Baseline Agreements 2016-2020*

- Due to Local Government cost pressures, these costs are reviewed on an annual basis as per national BID guidance.
The baselines here are for 2015/16.

The purpose of this baseline agreement is to set out, for the avoidance of doubt, the **STANDARD SERVICES** provided by the Council within the BID area and to set the benchmark criteria against which the provisions of additional services will be assessed.

Any services provided by the BID levy are *complementary* to these baseline services.

Service	Street Cleansing
Head of Service	Russell Stone, Head of Public Realm
Telephone	(01904) 553108
Email	russell.stone@york.gov.uk

Baseline activity	Street cleansing of the City Centre
Service specification	Tasks undertaken include manual and mechanical cleansing, emptying of litter bins, litter picking and collection, cleaning of the Market areas. City Centre cleansing begins at 05.00, targeting hotspots then covering other areas. This continues throughout the day, focussing on high traffic vicinities, such as entertainments areas.
Statutory or discretionary?	Statutory
Timing of activity	<p>City Centre street cleansing is carried out within the foot streets, seven days a week throughout the year.</p> <p>April to September <i>Monday to Friday – 05.00 to 20.00:</i> The number of operatives on duty fluctuates throughout the day with a minimum number of three operatives and a maximum number of eight. <i>Saturday and Sunday – 05.00 to 19.00:</i> The number of operatives on duty fluctuates throughout the day with a minimum number of four operatives and a maximum number of five.</p> <p>October to March These will change slightly between October and March due to weather and daylight hours.</p> <p>Additional include co-ordinating/ overseeing the Spring Clean initiatives across the City</p>
Staffing and equipment	1X Mechanical sweeper 1 X Mechanical sweeper/scrubber 1 x Pedestrian controlled sweeper Various hand held manual equipment 1 x Supervisor 12 x City Centre Cleansing Operatives

Key performance measures	Measure	2013/14	2014/15 YTD
	• CSPEC5 - Calls to Service – Cleansing	2225	1729
	• CSPEC6 - CYC Calls to Service – Graffiti	178	156
	• SLA01 - 2 Hour Cleansing cases completed within SLA	69%	78%
	• SLA02 - 2 Hour Cleansing cases completed within SLA - (YTD)	69%	78%
	• SLA03 - Standard Cleansing cases completed within SLA	91%	90%
	• SLA04 - Standard Cleansing cases completed within SLA - (YTD)	91%	90%
Non-compliance procedure	We are not a contractor		
Existing value of contract/ service	No contract, but cost of service provision is approximately £250,000		
Boundary area	As per agreed BID boundary		
Proposed additional BID activity	Not yet known		
Cost of additional BID activity	Not yet known		

Service	Highways Maintenance
Head of Service	Bill Manby/ Steve Wragg/Mike Durkin (Interim arrangement)
Telephone	(01904) 553233
Email	bill.manby@york.gov.uk

Baseline activity	Maintenance and repair of the highways network whilst minimising disruption on the transport network and protecting infrastructure
Service specification	<p>The Highways Act 1980 places a duty on the Highway Authority to maintain the public highway network in a condition that is safe for users.</p> <p>The public highway network includes all roads, footpaths and verges which the highways authority has responsibility for.</p> <p>We regularly inspect our network in accordance with the current Code of Practice for Highway Maintenance. The frequency of inspections depends upon the importance of the road and footpath in question. A busy main road and footpath may be inspected monthly while a minor estate road or rural lane may only be inspected annually.</p> <p>The New Roads and Streetworks Act 1991 also places a duty on us to coordinate and regulate work carried out in the public highway by any organisation. An organisation includes contractors working for gas, waste, electricity and telecom companies as well as private works on behalf of individuals.</p>
Statutory or discretionary?	Statutory
Timing of activity	This is an 07:30 - 17:30 activity with an out of normal working hours

	emergency response service		
Staffing and equipment	<ul style="list-style-type: none"> • 19 FTE • 2 Supervisors • (7) 18 ton hook lift vehicles • (1) 32 ton hook lift vehicle • (1) 7.5 ton hook lift vehicle • (1) 7.5 TM Vehicle 		
Key performance measures	Measure	2012/13	2013/14
	• CES03 - % of road and pathway network that are grade 3 (poor condition) – roadways	15%	16%
	• CES04 - % of road and pathway network that are grade 3 (poor condition) – pathways	5%	4%
	• CES05 - % of Principal roads where maintenance should be considered (NI 168)	2%	2%
	• CES06 - % of Non-principal classified roads where maintenance should be considered (NI 169)	5%	4%
	• CES07 - % of Unclassified roads where maintenance should be considered (old BV224b)	10%	10%
	Data from the City of York Council 'Get York Moving' scorecard – June 2015		
Non-compliance procedure	Basic maintenance is supported with two 180 excavators with planer attachments		
Existing value of contract/ service	£100,000		
Boundary area	As per agreed BID boundary		
Proposed additional BID activity	Not yet known		
Cost of additional BID activity	Not yet known		

Service	Streetlighting
Head of Service	Derek Grant, Street Lighting Delivery Manager
Telephone	(01904) 553090
Email	derek.grant@york.gov.uk

Baseline activity	Provision/ maintenance of street lighting within the City of York council boundary, including all street lights, illuminated signs, bollards, and floodlighting
Service specification	<p>The street lighting service is unique within York, as both installation & maintenance of all street lighting assets are undertaken by City of York council's internal street lighting team.</p> <ul style="list-style-type: none"> • Citywide maintenance of street lighting and illuminated signs, floodlighting and bollards. • Cyclical maintenance on routine lamp changes/maintenance. • Any alterations to existing installations are undertaken including column relocations and conversion of lights to newer more energy efficient technologies.

	<ul style="list-style-type: none"> • New lighting installations for Council highway schemes. • A design and install service for developers is offered by city of York councils street lighting team as regards any new developments/works including section 38/278 schemes. • A Street lighting design service is available through City of York council if developers require design only. • All electrical testing is undertaken by the internal street lighting team. • Structural testing on steel/concrete lighting columns is undertaken on a rolling annual program by a CYC preferred specialist contractor. • Emergency call out facility is in place to cover any out of hours dangerous situations arising.
Statutory or discretionary?	Under Section 97 of the Highways Act 1980, it is not mandatory for authorities to install street lighting, but once installed on adopted highways there is a responsibility for maintenance.
Timing of activity	The maintenance service operates 7 days a week, 24 hours a day, and includes a Freephone emergency telephone number for fault reporting and an email reporting capability linked to the City of York Council website
Staffing and equipment	<p>Staff 6 X FTE 1 X PT: including Delivery Manager, Technical Officer, Street Lighting Technician (PT), 2 x Electricians, 2 x Street Lighting Operatives.</p> <p>Equipment: 2 x 14.5 metre MEWPS (cherry pickers) 1 x SL rig 18 Tonne.</p>
Key performance measures	<ul style="list-style-type: none"> • CES02 - Reduction in CO2 through investing in more efficient street lighting. Annual outturn from 2012/13 - -13.64% (This is happening through an ongoing capital programme)
Non-compliance procedure	<p>COYC strive to adhere to their SLA requirements as regards fault repairs 4 days and emergency call outs 2 hours.</p> <p>Electrical testing is undertaken to BS7671 and completed on all street lights within a minimum six year period as per requirements.</p> <p>Structural testing on concrete/steel lighting columns is undertaken by a COYC preferred specialist contractor on an ongoing annual program.</p>
Existing value of contract/ service	Budget annually circa £800k.
Boundary area	As per agreed BID boundary
Proposed additional BID activity	Not yet known
Cost of additional BID activity	Not yet known

Service	Make it York
Head of Service	Steve Brown
Telephone	(01904) 55 4464
Email	steve.brown@makeityork.com

Baseline activity	Delivery of business support, events programming of the City Centre, market management and marketing of the City.
Service specification	<p>Make it York has been commissioned by City of York Council to develop a sustainable model for delivery of its services; therefore service specification and standards are subject to change dependant on commercial viability.</p> <p>Nevertheless, as part of the agreement, City of York Council, through Make it York will:</p> <ul style="list-style-type: none"> • Ensure there is a single front door for businesses to access support and advise • Seek to attract new businesses to the city, providing a clear and effective process for responding to inward investment enquiries in the city • Work with the visitor economy sector and city centre businesses to ensure a quality 'product' is offered to visitors and residents • Ensure there are clear and effective ways for visitors and residents to find out about the city • To manage the Shambles Market to create a vibrant hub and programme that is an attraction in its own right, and promote this to key customer groups • To support and develop high quality city centre festivals, activities and events • To support and develop new events and initiatives, that deliver ambitious, high quality artistic or cultural programmes, attracting significant audiences [as commercially viable] • To facilitate and promote a coherent image / brand for York nationally and internationally.
Statutory or discretionary?	Discretionary
Timing of activity	Year round service

Staffing and equipment	Staff: Variable, dependant on funding Equipment: No specialist equipment. Office based.	
Key baseline performance measures (relevant to bid)	Measure	2014/15
	GVA per employee in visitor economy sector	£17,571 (this is projected to rise in line with national economy)
	GVA per employee in retail sector	£25,507 (this is projected to rise in line with national economy)
	GVA per employee in arts and recreation sector	£15,310 (this is projected to rise in line with national economy)
	Visitor satisfaction	4.6 / 5 or greater overall visitor satisfaction score, with 77% or more visitors likely to return and 99% or more likely to recommend
	Visitors accessing promotion material about York	Visit York had 1.5m unique visitor to its website in 2014, and 490k visitors through VIC footfall.
Non-compliance procedure	City of York council may terminate the contract if performance measures are not being met.	
Existing value of contract/ service	City of York Council's contribution in year 1 of the service level agreement is a net £544k; however this is due to be reviewed each year through the Council's budget process, with the aim of moving towards sustainability of Make it York with reduced Council contribution.	
Boundary area	York Local Authority area but also working with businesses in the wider hinterland which benefit York residents	
Proposed additional BID activity	Not yet known	
Cost of additional BID activity	Not yet known	

Service	Parking Services
Head of Service	Graham Titchener
Telephone	(01904) 551495
Email	graham.titchener@york.gov.uk

Baseline activity	Parking Services for York
Service specification	Parking enforcement
	Maintenance of all Council car parks
	Parking permits (N.B. Parking Services is the lead department and supervises the administration of this, which is based within Customer Services and Business Support)
	Penalty Charge Notice (PCN) appeals and representations
	Abandoned vehicles
Statutory or discretionary?	Statutory

Timing of activity	<p>All non-enforcement work is within standard office hours</p> <p>All enforcement work is done year round with two shift patterns per day within the main hours of 06:30 and 21:30, seven days per week</p> <p>In addition to this we have one technician who works within normal office hours, but who is on also on call outside normal office hours.</p>
Staffing and equipment	<p>X 19 Civil Enforcement Officers and Assistant Supervisors</p> <p>X 1 Parking Enforcement Supervisor</p> <p>X 1 Representation Officer</p> <p>X 5 Parking Business Support staff supervised by Representation Officer but based within Business support</p> <p>X 1 Technician</p> <p>X 2 vans</p> <p>X 2 motorbikes</p> <p>All supported by various hardware systems, mainly for the enforcement service</p>
Non-compliance procedure	Council Policy, and under the Traffic Management Act 2004, led by the Department for Transport.
Existing value of contract/ service	No contract, but cost of service provision is approximately £550,000 (having to manage a £43K cut)
Boundary area	As per agreed BID boundary but also covers the whole of the York boundary.
Proposed additional BID activity	Not yet known
Cost of additional BID activity	Not yet known

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Executive

30 July 2015

Report of the Monitoring Officer

Consultation on Decision Making Arrangements

1. Summary

- 1.1 A key priority of the new council leadership is to ensure there is greater cross-party involvement in the decision making process and that these decisions are taken in a more open and transparent way.

The new leadership want policy and scrutiny committees to have the opportunity to debate and make recommendations on matters requiring an executive decision before a final decision is taken.

This report sets out proposals for how such a system could be introduced and identifies some issues which may arise. It is proposed that this report form the basis for consultation with Audit and Governance Committee, Corporate and Scrutiny Management Policy and Scrutiny Committee, political groups and independent members.

- 1.2 The proposals seek to balance three key principles:

- That there should be an opportunity for scrutiny of executive decisions before they are made
- That proper decision making should not be unduly delayed or fettered
- That there should be greater transparency not only of what decisions are made but by whom.

2. Who will undertake pre decision scrutiny?

- 2.1 It is proposed that the arrangements for scrutiny will vary according to whether the decision is proposed to be taken by the full Executive or an Executive Member acting alone.

- 2.2 For an Executive Member decision it is suggested that the policy and scrutiny committee within whose remit the issue lies will have the scrutiny responsibility. For matters coming to the Executive it is proposed that CSMC will be the scrutiny committee.
- 2.3 The suggestion that CSMC have oversight of Executive reports is made simply for reasons of effective administration. There may be concerns that this means that members of the relevant scrutiny committee will not get to scrutinise the most significant decisions relating to their area. This concern could be mitigated by one or more of the following:
- Scrutiny committees asking for early reports on significant issues in advance of Executive reports being drafted and thereby influencing policy development and the contents of the final Executive report
 - Arrangements for representatives of the scrutiny committee to have a right to participate in the debate at CSMC
 - Considering the make up of CSMC – could it, for example, be largely made up of the Chairs of the other scrutiny committees?

3. How will a decision come for scrutiny?

- 3.1 It has always been possible for a Scrutiny Committee to identify issues which will, in due course, require an Executive decision and for the Committee to review those issues. Such scrutiny at an early stage of policy development can help frame future debates and reports and is not in any way affected by these proposals.
- 3.2 What these proposals do seek to achieve is to give Scrutiny and Policy Committees the opportunity to see a report in its final (or close to final) form and to debate recommendations on the report prior to the final decision being made.
- 3.3 There are various ways that the Council could arrange to bring a report to the relevant scrutiny and policy committee including:
- All decisions coming for scrutiny routinely
 - Any Member being able to request a proposed decision be added to the Scrutiny agenda

- Replicating the post decision “call in process” requiring three Members to call the decision to Committee
- Have the Chair/Vice Chair operate as a filter for Member requests in much the same way as Planning Committee operates in bringing to Committee matters which would normally be decided under delegated powers.

3.4 Having all matters come for scrutiny routinely may not be the best use of Committee or Officer time and so some filter system is recommended. That in use for planning matters works well and may be an appropriate model.

4. **How will Members know what decisions are to be made?**

4.1 The Forward Plan is key to this and there will need to be considerable discipline in adding matters to the Plan in good time and with sufficient detail as to what is to be decided.

5. **What would the timescales be?**

5.1 Working backwards a possible **minimum** timeline for a decision to be taken at a meeting of the Executive might look something like:

Day 0 (Thursday)	Executive meets
Day minus 8 (Wednesday)	Executive agenda published with CSMC recommendations
Day minus 14 (Thursday)	CSMC meets
Day minus 22 (Wednesday)	CSMC agenda published
Day minus 24 (Monday)	Democratic services notified that decision is to be scrutinised
Day minus 41 (Friday)	Forward plan published

5.2 This timeline has some issues.

- The only practical way to make this system work is to move CSMC from a six weekly to a monthly cycle, meeting a fortnight before each Executive meeting.
- The Forward plan is currently published monthly as standard (previously this was a legal requirement). 28 days notice is required between publication and decision. It is suggested that a move to a rolling Forward Plan with weekly publication would make sense and the timetable above requires it.
- More seriously this time line allows only one full working day between notification that the decision will be scrutinised and the report needing to be with democratic services. Accordingly either Officers would have to work to having final reports ready for the CSMC agenda deadline or the timetable needs to be pushed back.
- The timeline is based on giving Members at least two week's notice to "call in" a decision. There is a question as to whether that is reasonable notice. Whatever the right notice period is, it is suggested that it needs to be set by reference to the decision date.

5.3 The issue is perhaps even greater for Executive Member decisions. The proposal is that decision sessions will run to the same timetable as the relevant scrutiny committee. With the exception of Health Scrutiny, those Committees are scheduled to meet seven times a year. If that continues then this may have consequences for the timeliness of proposed decisions. Given publication deadlines, some decision may wait up to twelve weeks. Possible options discounting a return to private decision making are:

- Move all Scrutiny Committees to a monthly cycle
- Schedule Executive Member decisions sessions between as well as alongside Scrutiny meetings allowing matters which have not been called in to be progressed more swiftly

5.4 Under current arrangements any decision made by the Executive or an individual Member is open to post decision call in. That could, of course, further stretch the timetable.

5.5 None of these issues are insurmountable and most decisions should be able to follow this process. There does though need to be a level of pragmatism which accepts that some urgent decisions will have to be made sooner than this system allows. Some decisions have a statutory timeline which may be difficult to meet while following this process – for example the Council has eight weeks to designate a Neighbourhood Area in connection with neighbourhood plan applications. Officers can determine these if straightforward but where there are objections they will be presented to the Executive Member. At best this will be known four weeks into the process. Other decisions may be urgent because of potential financial or reputational impacts on the Council. These decisions ought to be very much in the minority.

6. Urgent decisions

6.1 There are several ways that the issue of urgent decisions could be tackled. Options might include:

- A “special urgency” process for decisions which are particularly urgent. There is such a process for making key decisions which are not on the Forward Plan. That involves seeking the consent of the Chair of the relevant scrutiny committee to the decision being taken. An alternative would be for the Leader to certify that the decision cannot wait and then be accountable to CSMC for so certifying.
- A “general urgency” process for decisions which cannot wait until the next scheduled meeting but can be taken after normal notice of a meeting has been given and the meeting held.

6.2 A general urgency process might then involve one of the following:

- a) Scheduling a special meeting of the appropriate scrutiny committee
- b) Refer the decision to CSMC if it has a scheduled meeting within an appropriate timescale
- c) Establishing an “urgency” sub committee of CSMC to be called on an ad hoc basis. Such a committee could even meet immediately before the Executive or the decision session.
- d) Referring these decisions to Staffing Matters and Urgency Committee (which has fortnightly meetings scheduled but is not a scrutiny committee)

6.3 Whatever system is implemented Members may wish to consider reviewing its use periodically.

7. How would the scrutiny committee/decision session operate?

7.1 Under current procedures decision sessions operate as though they are a formal local authority meeting. If we continue on that basis then logically the new system would either have:

- the Committee meet, adjourn to allow the decision session to take place and then reconvene or
- the executive business would be the final item on the agenda and the decision session would open on the committee meeting closing.

7.2 Of these two options the latter provides a clearer distinction between the two sets of proceedings but may mean an Executive Member and members of the public interested in an executive decision having to wait some time before the executive business can be completed.

7.3 An alternative solution might be that the executive business is an early agenda item for the Scrutiny committee, public participation takes place at least on that item, an officer presents the report, the Executive Member participates in the debate and at the close of the debate the Chair asks the Executive Member whether he or she is able to announce his or her decision. That decision would then be recorded in a decision notice in accordance with legal requirements. If a decision is delayed it would either be referred to the full Executive or taken at another decision session.

7.4 One potential downside to this suggestion is that it might not be clear who the decision maker is. While it is to be expected that the views of the Committee would be given very great weight, legally the decision rests with the Executive and decisions would be open to challenge if the Executive member does no more than rubber stamp a decision.

8. What about decisions requiring Council approval?

8.1 There are relatively few decisions which require Full Council approval but they include:

- Agreeing the budget

- Agreeing expenditure outside of virement limits – typically significant capital spend
- Agreeing specified key plans – including the local plan and the Council plan

These decisions would not currently be subject to post decision scrutiny.

- 8.2 Cross party engagement in the local plan is already ensured through the Local Plan Working Group.
- 8.3 The budget report is inevitably finalised close to the deadlines for an Executive recommendation and in any case opposition parties tend to like to propose a full budget amendment for Council. Scrutinising the Executive's budget report, even if it can be made available, may not be terribly productive. However, Scrutiny could develop a more significant role in looking at the principles underpinning the budget in the run up to the Executive producing its draft.
- 8.4 It is therefore suggested that Executive recommendations to Council should not be subject to the new pre decision scrutiny process.

9. Scrutiny Committee remit

- 9.1 There is a further consequence for Executive Members in that many of the portfolios come within the remit of more than one Scrutiny Committee. It seems appropriate to review those remits to see whether it is possible to bring them more in line with portfolios.

10. Officer in consultation decisions

- 10.1 To improve openness and transparency the new council leadership also proposes to end the occasional practice whereby decisions may have been taken by an officer in consultation with the Executive Member. Where a decision requires the active involvement of the Executive Member the new leadership believe that the decision should be taken by the relevant Executive Member in a public decision session. This will allow reports to be published in advance and for residents and councillors to speak at the meetings.

11. Options

11.1 The Executive may accept or reject any of the proposals put forward and may put forward alternatives.

12. Analysis

12.1 The analysis is contained in the body of the report.

13. Consultation

13.1 This report is being presented to the Executive, Audit and Governance Committee and Corporate and Scrutiny Management Committee by way of consultation. Political groups and the independent Members will also be asked for their views.

14. Council Plan

14.1 Effective and inclusive decision making will assist in achieving all Council plan priorities

15. Implications

15.1 The implications are:

- Financial – there are no financial consequences arising directly from this report. The final proposals following consultation may have a resource impact, particularly for the staffing of the Democratic Services team, which will need to be considered in due course.
- Equalities - none
- Legal - as York operates a Leader and Cabinet model of decision making under the Local Government Act 2000, executive decisions must be taken in accordance with the provisions of that Act and Regulations issued under it. Decisions will be open to challenge if the Executive or an Executive Member were to slavishly follow the recommendations of a Scrutiny Committee without applying their own independent judgment.

16. Risk Management

16.1 The report identifies risks in respect of the timeliness of decision making and the transparency of decision making.

17. Recommendations

17.1 Members are requested to:

- Indicate any immediate views on the proposals contained in this report
- Agree to consult with both the Audit and Governance Committee and the Corporate and Scrutiny Management Policy and Scrutiny Committee along with political groups and independent members on the proposals in July. Before a final proposal is brought forward in August.

Reason: To enable revised decision making arrangements to be put in place

**Author and Chief Officer
responsible for the report:
Andy Docherty
Assistant Director
Tel No. 01904 551004**

Report **Date** 01/07/2015
Approved

Wards Affected: All

For further information please contact the author of the report

Background Papers:
None

Annexes:
None

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Executive

30 July 2015

Report of the Director of Communities and Neighbourhoods

Listening to Residents: Ward Committees

Summary

1. This report sets out a new approach to community engagement through working with local neighbourhoods and the establishment of revised ward committees.

Recommendations

2. The Executive is asked to agree:
 - The new approach to community engagement including revised ward committees
 - The allocation of increased funding to these ward committees
 - The production of ward fact sheets in order to support ward councillors and explain the process to residents
 - The production of a range of local service choices giving options for how the ward committee funding pot can support local communities
3. The Executive is asked to give a view on which of the options set out in paragraph 8 for the constitution of ward committees they wish to see implemented

Reason: To support the Council's commitment to working with local communities and devolving power and budgets to residents.

4. The Executive is asked to approve the virement of £150k from Health & Wellbeing Directorate to Communities and Neighbourhoods Directorate representing the transfer of that element of the Adult Social Care Community Fund to Ward Committees.

Reason: In accordance with Financial Regulations

Background

5. The Council's approach to neighbourhood working aims to support ward members so that they can:
 - Work with local communities to develop local priorities and help deliver on these
 - Help empower local communities and devolve more budgets to residents
6. It is proposed that ward committees are re-instated with increased funding at the heart of this approach in order to strengthen engagement with residents.

Next Steps

Ward Committees:

7. Ward Committees will be re-established so that the Council can work in partnership with residents to tackle local issues. Additionally they will improve the Council's accountability to residents, providing opportunities to influence services at the local level. They will be chaired by the ward councillor(s) in each ward and will:
 - Engage residents on issues affecting the ward and draw up priorities to address these issues
 - Agree expenditure and services from budgets allocated to the ward
 - Stimulate community schemes that tackle local issues
 - Engage with local residents about some of the big issues facing the Council
 - Work with communities to scrutinise the delivery of local services
 - Select ward planning panels where required
8. There are two main options with regard to how Ward Committees could be established within the Council's constitution:
 - a. They could be formally constituted as committees
 - b. They could remain informally constituted relying on the delegated authority of the relevant chief officer to implement the wishes of the committee (subject to Council policy and procedures), for example its spending decisions
9. Option a) is the more formal route. If this were chosen it would mean that single member wards would be grouped with other wards in order to create a committee with the minimum requirement of two members. Under this option all decisions would be taken through formal

meetings. This requirement to use formal meetings could have negative consequences for equalities as the equalities impact assessment shows that formal meetings are not particularly inclusive and a greater variety of more informal engagement methods are needed to reach all sections of the community.

10. If option b) were chosen ward members could make decisions much more flexibly with those decision implemented between meetings under officer delegation. It would mean that there would be less reliance on formal meetings allowing members to use a greater variety of meeting styles and events which, experience shows, are more effective at engaging all sections of the community. Grouping of single member wards would not be required.
11. It is proposed that a minimum of one formal Ward Committee meeting is held per annum. Wards may wish to set a programme of additional meetings / events for the year but it will be for ward members to determine. For this financial year 2015/16, the formal ward committees will take place in the autumn. In future years, formal meetings would be more effective earlier in the financial year so that budgets can be allocated and projects allowed the maximum possible time to be delivered.
12. The formal Ward Committee meeting will follow any public consultation undertaken by ward members on proposed schemes. At the formal meeting members will feedback on the previous year's achievements, discuss the priorities for the year ahead, decide on which ward projects to fund, make any other devolved budget decisions and select Ward Planning Panels where required¹.
13. Ward members will also engage with their communities throughout the year in a variety of ways, appropriate to their circumstances. Ward profiles will provide members with information about the demographics of their ward to help determine the appropriate method of engagement, for example, if there is a high percentage of young people in the ward the councillor may consider methods that engage local school and community based organisations. Councillors may also consider existing or ongoing consultation and engagement work lead by partner organisations e.g. Healthwatch.
14. The Communities and Equalities Team will be able to support up to 4 meetings / events per annum per ward and advise on other forms of engagement; however, if members go for a high proportion of formal

¹ Planning Panels operate in non parishes areas made up of local volunteers that comment on current planning applications.

meetings this is likely to over-stretch the resource available. The position will need to be assessed in January (see paragraph 25 below) in the light of experience.

15. Members may also choose to have joint ward meetings with another ward where priorities cross boundaries.

Ward Teams:

16. Members, partners and officers will hold regular (suggested a minimum of 6 per year) Ward Team meetings to work on projects that address the ward priorities. These meetings will also provide an opportunity for liaison between ward partners. They should complement any Ward Committee arrangements. Representatives at the meeting will be those officers and organisations that can help address the ward priorities. The Ward Team will help the ward councillors by bringing to the table:

- Feedback from residents about their views and ideas,
- Local knowledge from partner organisations,
- Statistical data and other ward information in the form of a ward profile,
- Awareness of key agenda that would not normally crop up in ward meetings such as resident health and experience of adult social care services
- Ideas for projects and solutions.

These will help highlight priorities for the ward member(s) which will guide use of the ward budgets.

17. Each ward team will have a ward co-ordinator who will be drawn from the Communities and Equalities Team or another service area relevant to the ward's priorities. The ward councillors will champion their ward at the Council to ensure issues are tackled. To share the learning of the approach and tackle key issues at a ward level there will be a standing item on the Service to City agenda, a forum that brings together senior managers from across the authority.

Devolved Budgets:

18. It is proposed to devolve additional budgets to wards in order to create a single, enhanced pot that wards can use flexibly to help address their priorities and to develop community initiatives which benefit local residents and may reduce reliance on Council services. The new, revised ward committees will have a significant overall increase in budget. The ward pot will be made up of the following areas:

- The general “**Ward Budget**” of £150k allocated to each ward committee on a per capita basis.
- A “**Pride in York Fund**” totalling £450k (reallocating the former “Environmental Improvement Fund” and £200k growth fund for reactive street services) made up of 2 parts: i) £250k on a one-off basis and ii) £200k per annum on a recurring basis:
 - i) The one-off fund would be allocated to wards, based on current grounds maintenance spending. It would be used to provide grants to partner, community and voluntary organisations to develop initiatives that benefit the community and help reduce the reliance on Council services. The reason for this method of allocation is that in the budget process the Council agreed savings from its public realm budgets of £250k a year for each of the years 2015-18. Whilst an element of the saving can be made from efficiency savings it will also be necessary to change the tasks carried out in wards. It is therefore proposed to allocate this budget in proportion to the current activity in each ward and therefore the level of saving to be made.

Wards will be consulted about the current grounds maintenance activity in their localities, so that they can state their priorities and assist in delivering required savings through the use of their budgets.

- ii) This fund will enable wards to commission projects and initiatives that improve the local environment and street level issues in the ward. As it would be a recurring fund it could be spent on council services if the ward wished. It would be allocated to wards based on a per capita basis alongside the general ward budget.

Those wards that receive the highest amounts from the Pride in York fund will receive additional support from the Environment Officer team to help them develop schemes and initiatives.

- A “**Community Care Fund**” of £75k per annum (taken from the Adult Social Care Community Fund) will be devolved to wards, on a per capita basis, over 2 years in order to support the prevention or delay of people needing to access formal care packages and statutory support (or, where people already have formal care, preventing the need for this to increase). Wards can have an important role in this through facilitating community level activity that helps people to receive the right level of support, at the right stage, reducing the need for Council care services.

We are aware, from current demand and feedback, that support in the following areas can enable people to stay living independently in their own homes for longer:

- Reducing social isolation and loneliness
- Prevention of falls
- Nutrition
- Transport
- Practical support and handy person services
- Support for carers

Wards will be provided with information that helps them to understand the picture in their ward. It will be expected that wards develop a priority to reflect this picture and to guide the use of this funding allocation.

19. The detail of the allocations is shown at Annex 1. These pots added together will give wards a single, flexible budget that they can spend as they see fit within Council policies and procedures. The budgets may be used to give grants or to buy services. Initially, where a ward wishes to buy services it will be from a Council department, subject to the ability of those departments to supply additional services at an economic cost. A range of local services options will be developed to guide wards in this regard (see Annex 2). This list will grow and develop as the requirements of wards become clearer and will be expanded to include purchasing options outside of the Council under the Council's framework agreements. This will ensure that the Council's best value and statutory obligations continue to be met. Ward budgets must not be used in any way that increases the Council's revenue costs.
20. Examples of initiatives that ward funding could support include:
 - Helping a community group to take on management of a local project e.g. looking after a piece of local open space
 - Undertaking a local clean-up
 - Changing the planting or other arrangements to make a space more attractive and easier to maintain in the future
 - Forming a volunteer group to ensure older and/or vulnerable people have access to a regular nutritious meal
 - Supporting affordable and accessible transport options so people are able to access services

- Providing a grant to a local group or Parish Council in order to provide an additional service for a community or group of residents
21. In addition to the devolved budgets there are other ways that wards will be invited to make decisions about the allocation of resources:
 22. **Ward Highways Programme:** The process for allocating highway improvements will be partly localised through the new ward committees. Highways funding is currently allocated to schemes using a risk based approach whereby highways inspectors assess the condition of the highway against a range of risk factors to identify potential schemes in order of priority against those risks. Schemes are then funded down the priority list until the available funding is exhausted. This approach could be enhanced through the ward committee process. Ward committees will be invited to use the knowledge of residents about local highways, footpaths and cycle ways to identify possible schemes that, whilst they did not meet the criteria for inclusion in the Council's main programme, nonetheless would provide improvements that are considered important by local residents.
 23. It is therefore proposed to top slice £125k from the annual highways maintenance budget and £125k of Local Transport Plan capital to create a £250k ward highways programme. See Annex 1 for the amount that this will provide per ward. In November, wards will be informed about schemes to be included in the main highways programme and invited to propose additional schemes that they would like to see undertaken in their wards from their allocation, to be programmed over the following year. Wards could choose to defer their allocation to a following year in order to fund a larger scheme in that year. It would be expected that these would be schemes that perhaps did not meet the threshold for inclusion in the main programme at that point of time but where repairs were needed and they were identified as important by local residents.
 24. It is proposed that work is undertaken to identify further budget areas that could at least in part be devolved to wards, for example public health budgets. In the meanwhile wards will be increasingly engaged in discussion about the relevant issues for their localities and in developing appropriate responses. The Public Health team will take the lead in providing ward co-ordinators for 3 wards enabling them to pilot an approach at ward level joining up local issues with a public health approach.

Monitor and Review

25. To support the implementation of devolved budgets, a number of processes, factsheets (see Annex 3) and member briefings will be developed to ensure that there is a clear and transparent approach and quality decision making processes for ward spending. The approach will be kept under review and a report brought back after 6 months which will be considered by the relevant scrutiny committee in the first instance. The report will cover all aspects of the system including progress with ward spending. This will include the impact of spend and the outcomes and benefits that it has achieved within each ward.

Publicity

26. The Communications Team are currently drawing up proposals regarding the best way to keep residents informed about ward activity, including through council newsletters in addition to the recently upgraded Council website.

Implications

27. **Finance:** The budgets in 2015/16 will be allocated as follows:
- Base Ward Committee funding £75k - will be devolved taking into account in-year spends and commitments
 - Additional Ward Committee funding - fully devolved
 - Pride In York Fund (one off) - fully devolved
 - Pride in York (Recurring) - 50% of funding to be devolved in 2015/16
 - Community Care Fund - fully devolved
 - Highways Programme - fully devolved
28. **Equalities:** The equality impact assessment points to the need for a wide variety of methods being required to enable the engagement of all residents in ward priorities and action planning. It also suggests the need for multiple channels of communication.
29. **Legal:** As Members are aware in making decisions of this nature the Council must have regard to its obligations under the Equalities Act 2010 and particularly the need eliminate discrimination, advance equality of opportunity and foster good relations between people who share a “protected characteristic” and those who do not.
30. If the Executive wish to establish formal, decision making Ward Committees then Full Council will need to appoint those committees

and the Executive will then need to allocate decision making responsibilities in respect of relevant executive functions.

31. There are no additional Property, Human Resources, Crime and Disorder, or Information Technology implications arising from this report.

Corporate Objectives

32. The proposals in this report contribute to the Council Plan objective that “All York’s residents live and thrive in a city which allows them to contribute.”

Risk Management

33. In compliance with the Council’s risk management strategy the main risks that have been identified associated with the proposals contained in this report are those which could lead to the inability to meet business objectives and to deliver services, leading to damage to the Council’s reputation and failure to meet stakeholders’ expectations. The level of risk is assessed as “Low”. This is acceptable but means that regular monitoring is required of the operation of the new arrangements.

Annexes:

- 1 - Devolved budget amounts
- 2 - Initial list of local services options
- 3 - Fact Sheets

Contact Details

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Report Approved ✓	Date: 16 July, 2015

Specialist Implications Officers:

Patrick Looker, Finance Manager

Andy Docherty, Assistant Director of Governance and IT

Wards Affected:

All

✓

For further information please contact the author of the report

Background Papers: Equality Impact Assessment

Ward Funding Allocations

Annex 1

Wards	Population	Ward Budget ¹	Communi-ty Care Fund ^{1 2}	Annual Pride in York Fund ^{1 3}	Total Annual Ward Budget	One-off Pride in York Fund ⁴	Ward Highway Programme ¹
Acomb	8,938	6,769	3,385	9,026	19,180	6,557	11,282
Bishopthorpe	3,906	2,958	1,479	3,944	8,381	2,462	4,931
Clifton	9,890	7,490	3,745	9,987	21,222	7,547	12,484
Copmanthorpe	4,134	3,131	1,565	4,175	8,871	2,704	5,218
Dringhouses & Woodthorpe	11,084	8,395	4,197	11,193	23,785	4,260	13,991
Fishergate	9,342	7,075	3,538	9,434	20,047	15,197	11,792
Fulford and Heslington	4,480	3,393	1,697	4,524	9,614	3,926	5,655
Guildhall	13,760	10,422	5,211	13,895	29,528	42,431	17,369
Haxby and Wigginton	12,038	9,117	4,559	12,156	25,832	6,613	15,196
Heworth	13,440	10,179	5,089	13,572	28,840	19,704	16,965
Heworth Without	4,025	3,048	1,524	4,065	8,637	2,823	5,081
Holgate	12,498	9,466	4,733	12,621	26,820	29,180	15,776
Hull Road	12,535	9,494	4,747	12,658	26,899	11,620	15,823
Huntington & New Earswick	12,108	9,170	4,585	12,227	25,982	5,484	15,284
Micklegate	12,516	9,479	4,740	12,639	26,858	53,584	15,799

¹ Devolved on a per capita basis

² Two year fund

³ 50% devolved in 2015/16, 100% devolved from 2016/17

⁴ Devolved pro rata to current grounds maintenance activity in the ward

Osballdwick and Derwent	7,197	5,451	2,725	7,268	15,444	3,357	9,085
Rawcliffe & Clifton Without	12,425	9,410	4,705	12,547	26,662	16,855	15,684
Rural West York	7,835	5,934	2,967	7,912	16,813	4,091	9,890
Strensall	8,137	6,163	3,081	8,217	17,461	3,309	10,271
Westfield	13,611	10,309	5,154	13,755	29,218	7,046	17,181
Wheldrake	4,153	3,145	1,573	4,194	8,912	1,252	5,242
Totals	198,052	149,998	74,999	200,009	425,006	250,002	249,999

ANNEX 2

Pride in York – Example Local Services Options

Item	Conditions of purchase	Cost per year
Litter bin	1 st year to include the purchase and servicing of the bin	£850.00
	2 nd and subsequent years servicing only	£500.00
Dog waste bin	1 st year to include the purchase and servicing of the bin	£700.00
	2 nd and subsequent years servicing only	£500.00
Special Note for bins	We would require a minimum of 70 bins from across the wards to make the request viable	
To provide a half days (4 hours) manual labour	1 operative and vehicle	£180.00
To provide a full days manual labour	1 operative and vehicle	£360.00
To provide a half days (4 hours) manual labour	2 operatives and vehicle	£360.00
To provide a full days manual labour	2 operatives and vehicle	£720.00
Tasks that could be covered	Manual weeding, sweeping, grass cutting, hedge cutting, planting	

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Factsheet 1 Ward Priorities

Ward Priorities

The ward councillors set the ward priorities based on feedback from residents, taking into consideration statistical information and local intelligence available from ward team members and partners that work in the ward. Ward priorities are generally set for one year, but that can vary depending on the nature of the area of work and timescale required to accomplish desired results. By setting priorities the ward team can focus their work and allocate the ward budgets to projects that help address these local priorities. To support the ward team to develop the ward priorities, ward teams will need the following information:

1. **What residents say** – Ward councillors can gather information from a variety of engagement methods e.g. consulting at events taking place locally, at ward committees, ward engagement events, surveys, drop-ins or social media networking platforms.
2. **Ward Statistics** - The council's Business Intelligence Team has developed ward profiles that detail statistical information from various data streams such as the Census, Experian and NOMIS.
You can download your ward profile by visiting your ward web page at [https://www.york.gov.uk/info/20037/statistics and information/94/ward profiles](https://www.york.gov.uk/info/20037/statistics-and-information/94/ward-profiles) .
3. **Local Intelligence** - The Communities and Equalities team will provide information to help build a picture of the ward: ward assets; local volunteering; active community groups and organisations, history of ward projects, current and planned ward projects. The team will have also worked with you to bring together your Ward Team, that will include officers, residents and other partners that have a wealth of local information and intelligence.
4. **Elderly and Vulnerable People Information** – The Adult Social Care team will provide information to help build a picture of the needs of elderly and vulnerable adults in the ward and what could help the to remain independent or prevent further support being needed for this group locally.
5. **Local environment and street issue information** – Public Realm will provide ward information on what services have been delivered in 2014/15 in order for the ward to identify where savings can be made and where voluntary action can alleviate some of these savings. At least one priority must relate to this topic area.

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Factsheet 2 - Ward Teams

Ward Teams are led by ward councillors and bring together council officers, other partners, community groups and residents that operate within wards. Collectively, they set ward priorities and work in partnership to address them.

Ward councillors may choose to work alongside neighbouring ward teams to work on common issues or priorities that are relevant to that locality.

The purpose of a ward team

- Set and address local ward priorities through collaborative project working.
- Develop projects and initiatives to address the ward priorities
- Make recommendations on how to allocate: a ward budget to encourage, or commission, community groups or specialist organisations to deliver projects that address ward priorities, and; a devolved environmental budget to allow residents to improve and maintain their neighbourhoods.
- Organise the selection of Planning Panels
- Plan ward committee meetings and other engagement events.

To do this the ward team will be supported with training information and guidance but it must decide for itself how it chooses to carry out these actions.

Involving residents

It is expected that residents are given the opportunity to be involved and influence the work of the ward teams and ward councillors will set out how they will involve residents in their ward.

Recording of recommendations

Any decision made about an allocation of ward or devolved budgets must be recorded and made available to the public. e.g. at a ward committee, via a ward web page or newsletter.

Membership

- Ward councillors
- Representatives from other organisations eg. North Yorkshire Police
- Stakeholders based in the ward (this may include voluntary and statutory sector, police, businesses, residents' group representatives).



Factsheet 2 - Ward Teams

People are invited on to the group due to their local knowledge, connection to a local community asset or activity and/or expertise in a particular field.

Roles within the Ward Team

- i) **Ward councillors** will lead and chair the team. This is the main mechanism for elected members to engage with stakeholders, partners and service providers at a ward level. It enables them to recommend the allocation of funding in their ward and engage with partners. It allows them to set priorities and work with their ward team to develop projects and initiative.
- ii) **Partners and stakeholders'** is to bring expertise, capacity and local knowledge to problem solve, build relationships and contribute towards progressing actions that address local priorities.
- iii) **Ward Coordinator** - a council officer that supports the ward councillors to coordinate and facilitate their ward teams. Communities and Equalities officers will cover this role, or, in some instances, will support officers from others teams to do this where there is a priority area that would benefit from their expertise in that ward.

The support and help that the ward coordinator provides will be to:

- prepare and circulate the agenda in advance of meetings;
- identify realistic priorities for the team and help to set timescales for achievements;
- ensure the right partners are at the ward team;
- capture and progress on projects and initiatives that address ward priorities;
- update the ward webpage, ward twitter/facebook following the ward team.

Format

Recurring items on an agenda would include ward budget allocation, planning ward committees and other engagement events and progressing projects and initiatives that address ward priorities.

At times there could be issues of confidentiality so subgroups may need to be set up to develop a project and report back the headlines to the main meeting.



Factsheet 2 - Ward Teams

Accessibility

Under the Equality Duty a ward team meeting must be held in an accessible venue and ward team members supported to attend if they have any special requirements.

Location

The ward team should agree when and where to meet that is agreeable to all and at a reasonable cost. In a large ward it may be decided to rotate venues. The cost would be met by the Communities and Equalities team support budget.

EXAMPLE Terms of Reference

‘Westmanthorpe’ Ward Team Terms of Reference (as agreed 1 April 2015)

Our Purpose:

- We will:
 - Set ward priorities to address the key issues in XXXXX Ward
 - work to address local issues as identified through ward priorities
 - disseminate locally devolved budgets according to the criteria
 - plan up to four public meetings or events per annum

Our ward team is made up of:

Cllr XXXX

Cllr XXXX

Member 1 Residents Association

Member 2 Parish council

Member 3 Headteacher

Member 4 Police

Member 5 Estate Manager

Member 6 Faith leader

(This list is not exhaustive and people will be invited to attend as and when appropriate)



Factsheet 2 - Ward Teams

Our responsibilities:

The ward team is responsible for setting local priorities and identifying projects to address local issues through partnership working.

The ward team will allocate ward budgets and funding decisions will be made public.

How we will work:

We will meet every XXX weeks [in a community venue in the ward OR XXX]. The meetings will be chaired by the ward councillors on a rotational basis. The meeting will be supported by a council officer.

Agenda

The agenda will be generated by the ward team members and coordinated by the ward coordinator. It will be circulated to the ward team in good time. We will use the ward priorities as a framework for discussion and the ward coordinator will record actions and update the ward webpage following each meeting. Smaller subgroups may be set up when and where appropriate.

Sharing Information

We will keep residents informed in a variety of ways through public meetings / events, the ward website, posters, Our City newsletter and social media.

Review:

We will regularly review the team to ensure we have the right people attending.



Factsheet 3 – Ward Budgets

This factsheet is designed to provide a script for ward councillors to use at their ward team to discuss how devolved ward budgets can address local issues.

The Council has decided to give wards more control of the money that it currently spends within its communities.

Each ward now has a budget made up of three components:

- A general ward fund
- The Community Care Fund
- The Pride in York Fund (annual fund and ‘one-off’ 2015/16 fund)

Adding the amounts together the ward will get a combined budget of:

- £x each year
- £xk in a one-off fund (when it’s gone it’s gone)

Here is what we are being asked to do as a ward:

- Familiarise ourselves and discuss the information about the ward that we have available to us:
 - Statistical information about the ward – Ward Profile
 - Local intelligence from partners in the ward team
 - Information gathered from residents of the ward through engagement
 - Information about the needs of elderly and vulnerable people in the ward
 - Information about environmental services in the ward
- Identify 3 to 4 ward priorities that would best address the needs of the ward’s residents through partnership working
- Invite local community and voluntary groups to bid for ward funding that would address one or more ward priorities and / or
- Commission local community and voluntary groups, or a specialist organisation, to deliver a project that addresses one or more ward priority
- Purchase Council services that will address one or more ward priority (see list).

It is up to us how we use our budget; however, we will be asked to bear in mind the purposes of the Community Care and Pride in York funds:



Communities and Equalities Team

The **Community Care Fund**: This encourages us to look at ways that could prevent or delay the need for elderly and vulnerable people to access formal care packages and support or, if formal care is already in place, delay or prevent the need for this to increase.

We are well placed to know where elderly or vulnerable people live in this ward and we can help to identify and facilitate community activity that can ensure they receive the support they need to remain independent for longer. Current feedback has shown that support in the following areas can help with this:

- Reducing social isolation and loneliness
- Prevention of falls
- Nutrition
- Transport
- Practical support and handy person services
- Support for carers

We are asked to identify a ward priority that would best address our elderly and vulnerable residents. Examples of initiatives that ward funding could support include:

- Forming a volunteer group to ensure older and/or vulnerable people have access to a regular nutritious meal
- Supporting affordable and accessible transport options so people are able to access services
- Providing a grant to a local group or Parish Council in order to provide an additional service for a community or group of residents.

The **Pride in York Fund**: This fund is there to improve the local environment and street level issues in the ward. Examples of initiatives that ward funding could support include:

- Helping a community group to take on management of a local project e.g. looking after a piece of local open space
- Undertaking a local clean-up
- Changing the planting or other arrangements to make a space more attractive and easier to maintain in the future.



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The one-off budget for 2015/16 is there to provide grants to partners, community groups and voluntary organisations to develop street-level environment initiatives that benefit the community and help reduce the reliance on Council services. When it's gone, it's gone.

It has been allocated to wards, based on current grounds maintenance spending by the Council in the ward. The reason for this is that the Council is having to making savings from its grounds maintenance budgets over the next few years. This affects the tasks that the Council can carry out in the wards. Naturally, the more activity that takes place in the ward, the bigger the savings that need to be made. So, wards with more current activity get a bigger share of this budget to help develop appropriate community projects.

Wards will be consulted about the current grounds maintenance activity in their ward, so that they can state their priorities and use this budget effectively in the light of tasks that the Council can no longer carry out (See Fact Sheet 3). There will be support from a relevant Council officer to develop ward projects.

How will we go about spending the money? We will do it either by:

- inviting groups and organisations to bid for a grant, or
- directly commissioning local groups to carry out projects that the ward team has identified will address ward priorities, or
- a mix of these two options.

Details of how groups and individuals can access and influence how the funding is allocated will be shown on posters locally, through social media and online on the ward web pages. If you wish to use funding application forms to enable organisations to bid for grants, the application pack is available on the Communities and Equalities team web page and on request.



Communities and Equalities Team

Do's and Don'ts

- The annual ward budget may be used to give grants or to buy services or a mix of these two options
- The Ward Budget can be spent throughout the financial year.
- The one-off ward York in Pride budget may only be used to give grants
- Grants may only be given to organisations based in the ward unless there is a specialist need which cannot be met locally
- Grants may only be given to organisations will be from the voluntary sector, community initiatives, residents' associations, parish councils (where they have a stake in supporting a project), community halls, sports and other clubs. They must be constituted and hold a bank account or have a sponsor organisation that can hold funds on their behalf
- Ward budgets must be spent in accordance with Council policies and procedures ensuring that the Council's best value and statutory obligations are met and that projects are legal and feasible
- Initially, where a ward wishes to buy services it will be from a Council department, subject to the ability of those departments to supply additional services at an economic cost
- A range of local services options will be developed to guide wards in this regard. This list will grow and develop as the requirements of wards become clearer and will be expanded to include purchasing options outside of the Council under the Council's framework agreements
- Ward budgets must not be used in any way that increases the Council's revenue costs
- If a commissioning route is taken, decisions on funding allocations will be recorded at ward team meetings on a commissioning pro-forma available from the Communities and Equalities Team, and shared via ward web pages, posters and social media.
- Ward councillors will need to apply due declarations of interests when considering applications.
- Details of how the Ward Budget is allocated will be outlined on the ward web pages.



Communities and Equalities Team

Making an application:

Details of how groups and individuals can access and influence how the funding is allocated will be shown on posters locally, through social media and online on the ward web pages. The application pack is available on the Communities and Equalities team web page and on request.

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Factsheet 4 - Ward Planning Panels

Planning panels are made up of local volunteers (ward residents) who come together to discuss and respond to local planning applications. Planning Panels operate in non parished areas of the city. They meet locally usually every 3 – 4 weeks depending on the level of local planning applications. Resident volunteers get involved out of an interest in the built environment and how their area looks and develops into the future.

Membership

Membership of a ward planning panel is determined annually through an open selection process at a ward committee meeting. Planning panels operate to a terms of reference document (see attached). This encourages greater interaction with more ward residents and the use of the Council's electronic planning system.

Planning panels were established to enable a coordinated resident response by ward to planning applications in order to give parity to parished areas. However a key distinction is that parish councils are statutory consultees in terms of planning whereas planning panels are not. Planning panels' comments are made in an advisory capacity.

Planning panels exist where there is local interest, are connected and have a responsibility to report back to residents through ward committee meetings. Resident members of the planning panels are 'selected' through an open selection process.

Administration

Ward planning panels select one of their members to act as 'clerk' for the panel. The ward planning panel clerk is the first point of contact between City of York Council and the panel and coordinates panel meetings.

Training and Support

Support to the planning panels is through the Communities & Equalities Team e.g. access to training, room hire for meetings and out of pocket expenses for planning panel members.

The amount of support needed by each panel is different, in some cases they meet in a local venue and in others they meet in their own houses e.g. Guildhall Planning Panel has recently started meeting in West Offices which offers them access to a free of charge meeting room and the relevant IT equipment to facilitate ease of group



Communities and Equalities Team

viewing of electronic plans. Planning panel members are often also members of the Open Planning Forum and through this independent forum can discuss 'big picture issues' with others including parish council representatives.

Equalities

Planning Panels must demonstrate compliance with the Equality Act 2010 eg ensuring accessible location of meetings, accessible information etc

Ward Planning Panels

Currently there are planning panels operational in the following ward committee areas:

**Clifton
Dringhouses & Woodthorpe
Fishergate
Guildhall
Heworth
Hull Road
Micklegate
Holgate**

If you would like to start a Planning Panel in a non-parished ward that does not have one, please contact the Communities and Equalities team by email: shapingneighbourhoods@york.gov.uk or tel: (01904) 551832. Non-parished wards that do not currently have a planning panel are:

**Acomb
Westfield**



Ward Planning Panels – Terms of Reference

1. General Aims

- 1.1 To scrutinise planning applications on behalf of local residents and to make appropriate comments and recommendations to the planning authority.
- 1.2 To work in partnership with the local Ward Committee.
- 1.3 To report activities of the Planning Panel to the local Ward Committee on at least two occasions each year.

2. Membership

- 2.1 Planning panel members should be residents of, or work in, the ward. However in recognition of the valued experience and contribution made by the longer serving planning panel members who do not currently meet this criteria, an exception will be made and they will be eligible to stand in the annual selection process. Any new members MUST be resident of, or work in, the ward.
- 2.2 Planning panel members are confirmed annually at their local ward committee meeting. The names of those selected shall be published on the Council's website following the meeting.
- 2.3 Planning panel members are selected for a period of 12 months and existing members can re-stand for each 12 month period.
- 2.4 Membership will be detailed in the ward committee minutes following the selection of the planning panel. The planning panel clerk should notify the neighbourhood manager / community involvement officer of any potential new members during the following 12 months, at least one week prior to the next ward committee meeting. Selection of new members should then take place at the next annual ward committee meeting.
- 2.5 Nominations for selection to the panel are to be submitted to the panel clerk at least one week prior to the ward committee. Nominations will be invited through



Communities and Equalities Team

ward newsletters annually. It is desirable that planning panel membership will include residents from across the ward to represent a cross section of views.

2.6 There are no fixed limits on the numbers of members a panel can have. However, experience has shown that effective meetings are achieved with around 8 residents, so details of 12 residents may be a good number to keep, assuming not all will be able to attend each time.

2.7 Members of the panel shall declare any interest in a particular matter for noting prior to consideration of the relevant application.

3. Planning Panel Clerk/Secretary – ‘Job Description’

3.1 The planning panel clerk should be a resident of, or work in, the ward. However, in recognition of the valued experience and contribution made by the longer standing planning panel clerks that do not currently meet this criteria, an exception will be made until they choose to stand down. Any new clerks **MUST** be resident of, or work in, the ward.

3.2 The planning panel clerk is selected by the planning panel members and is the point of contact for the members of the panel and officers of the planning department. This will involve:

3.2.1 Receiving notification of planning applications, which may include plans, maps, drawings etc., these will be sent by the planning officer.

3.2.2 Formulating a list of planning panel meeting dates and venues to be forewarned to the Communities and Equalities Team for publication on the Council's website

3.2.3 Working with the ward committee in terms of arranging special public meetings to obtain local resident views on more significant planning applications.

3.2.4 Sending the notice of their meetings and views and comments of the panel relating to applications to the City and Environmental Services Directorate.

3.2.5 Sending the notice of their meetings and copies of views and comments of the panel relating to applications to ward committee members and



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neighbourhood manager / community involvement officer unless otherwise requested.

3.2.6 Receiving feedback on the success / failure of each planning application and reporting back to planning panel members.

3.2.7 Arranging to report back to the ward committee on a twice per year basis.

3.2.8 Submitting claims for reasonable out of pocket expenses (incurred as a result of participation on the panel) for the planning panel clerk or on behalf of panel members to the City of York Council. Receipts need to be submitted as evidence of expenditure.

3.2.9 The planning panel clerk may also need to obtain further information from planning officers.

4. Expenses procedure

4.1 Expenses are paid for reasonable and legitimate expenses incurred by planning panel members in the course of their work for the planning panel. The basic principle is that members should not be out of pocket as a result of their participation in the planning panel.

4.2 Claims forms should be completed by the claimant and handed to the clerk who will then pass on to the City of York Council contact address at point 5.1

5. City of York Council Contact

5.1 Queries related to Ward Committee Planning Panels should be directed to:

City of York Council

Communities and Equalities, West Offices, Station Rise, YO1 6GA

Tel: 01904 551832

Email: shapingneighbourhoods@york.gov.uk

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Factsheet 5 – Public Realm Budgets

This topic sheet is designed to provide a script for ward councillors to use for engaging residents and partners about the allocation of budgets devolved to wards.

The council has decided to give wards more control of the money that it currently spends within its communities. Each ward now has a budget made up of three components:

- A general ward fund
- The Community Care Fund
- The Pride in York Fund (annual fund and ‘one-off’ 2015/16 fund)

In addition wards are being given control of the public realm activity that the Council undertakes at ward level. This includes:

- Parks and Gardens
- Open spaces
- Grass cutting, including highways grass
- Flower beds maintenance and planting
- Cleansing

So, what does this mean for us? Here is what we are being asked to do as a ward:

- familiarise ourselves with the ward spreadsheet and how our budget is currently spent
- identify our priorities for future expenditure i.e. the things that are important to us - and identify the things that are less important i.e. areas where savings can be made
- decide how we will use our share of the ‘one-off’ Pride in York budget to develop community and volunteering schemes in our ward

The Council is having to make savings in its public realm budgets over the next few years. This means that the Council will not be able to carry out all the tasks listed on the spreadsheet. As a ward, we are best placed to work out where the reductions should be made.



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The ward spreadsheet shows all the tasks that were carried out last year (2014/15). The activities have been put into three categories:

- a) GREEN: These are tasks that the Council believes must continue in the future and that it should carry on undertaking itself
- b) RED: These are tasks that the Council can no longer undertake. As a ward, we need to decide whether these tasks are important to us and, if so, whether there is scope for them to be carried out in a different way, perhaps by volunteers
- c) AMBER: These are tasks which don't all have to stop but where there does have to be an overall reduction as soon as possible but no later than 31 December 2015. Therefore we need to make choices about identifying:
 - tasks we want the Council to carry on doing
 - tasks which stop altogether, or
 - tasks where we might be able to get volunteers to do them instead

We will now spend a few minutes:

- familiarising ourselves with the green category
- looking through the red and amber categories to see if there is anything there that we would want to make a saving

There is a savings target to meet of **x%** in **xx** ward.

DO THE TASK!

(Note for ward councillors: you can choose to do this task as part of your ward team meeting or you can do this with residents of your ward at an engagement event. A decision will need to be made by.....*insert date*)

Further information:

The ward will need to do this task in conjunction with its ward budget and especially the Pride in York fund each year. The spreadsheet will be updated annually to show the impact of the savings for the following year. If the ward can identify more than the minimum savings needed by reducing tasks, the ward can either:

- Redirect the Council's resource to other tasks that the ward requires (subject to the necessary management arrangements, health & safety, etc. being deliverable), or



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- The Council will aim to turn the resource saved into a cash budget that the ward can then spend on other priorities. This will only be possible if the Council is able to make the saving cashable.

Two or more wards may choose to join up to create a larger saving.

If wards are not able to agree upon the required savings it will be necessary for the Director of Communities and Neighbourhoods to do it on the ward's behalf.

The 'one-off budget' (Pride in York) is only available once so it needs to be spent wisely to ensure it continues to benefit the ward into future years. New community activity will need to have an impact over future years.

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Factsheet 6 – Ward Highways Programme

This topic sheet is designed to provide a script for ward councillors to use for engaging residents and partners about the allocation of budgets devolved to wards.

The Council has decided to give wards more control of the money that it currently spends within its communities. Each ward now has a budget made up of three components:

- A general ward fund
- The Community Care Fund
- The Pride in York Fund (annual fund and 'one-off' 2015/16 fund)

In addition to this budget, wards have an allocation within the **Wards Highways Programme** so that they can decide on schemes to be undertaken in their local area.

The **Wards Highways Programme** will cover expenditure in the following areas:

- Resurfacing
- Footpaths / Public Rights of Way
- Cycle way improvements
- Street lighting: ornamental / aesthetic improvements to existing lamp standards

The **Wards Highways Programme** enables us to identify and progress schemes within the ward over and above those already included in the Council's annual Highways Programme.

Each year the Council's highways inspectors look at the streets of York to assess their condition against a range of risk factors. From this they produce a list of schemes to be carried out over the next financial year, ensuring that the most urgent schemes are done first.

Here is what we are being asked to do as a ward:

- The Council will explain to us the schemes that are to be included in the Council's highways programme highlighting those that will be carried out in our ward.



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- We will be invited to use the knowledge of residents to collect information about local highways, footpaths and cycle ways.
- We will use all this information to identify possible schemes that perhaps did not meet the criteria to be included in the Council's main programme, at the point when it was compiled, but where improvements are identified as important to local residents.
- If necessary, the budget can be carried over to the following financial year to enable a bigger scheme to be done.
- We can refer to: a price list for different types of work, and, the list of schemes remaining for the current financial year so that we don't duplicate.
- From this we will agree our scheme(s) to be included in the Ward Highways Programme.



Executive**30 July 2015**

Report of Executive Leader for Finance & Performance

Holiday Pay and Overtime**Summary**

- 1 This report presents Members with the pay and process implications relating to the calculation of holiday pay for non contractual overtime and additional hours earned. Members are asked to agree the rate and mechanism relating to Holiday Pay to be applied from 1st August 2015.

Background**Impact of Employment Tribunal decisions**

- 2 Recent case law has confirmed:
 - When overtime, additional hours, other pay allowances are worked on a “regular and systematic” basis then holiday pay should include these elements of pay. There is no definition for “regular and systematic”. The direction of travel is to ensure holiday pay reflects the normal pay that a worker receives. All pay elements should be included in the calculation of holiday pay and not basic pay;
 - In order for workers not to be deterred from taking annual leave, they must not suffer any financial “detriment”, disadvantage for taking leave; and restated the principle that holiday pay must correspond to normal remuneration;
 - The legal decision applied to leave under the Working Time Directive (WTD) 20 days/4 weeks and not the additional leave which stems from the Working Time Regulations (WTR) additional 8 days/1.6 weeks or contractual leave;
 - Non-guaranteed overtime (overtime which the employer does not have to offer, but the employee must work if requested) is part of

normal remuneration and must be included in holiday pay, as must any other payments;

- Contractual overtime should be included in holiday pay in respect of the full 5.6 weeks' leave.

Current arrangements at City of York Council (CYC)

- 3 At CYC **overtime** is defined as “authorised hours that are worked above the standard 37 hour week. An employee will be paid their normal basic hourly rate for the job plus a fixed cash amount per hour”. ‘**Additional Hours**’ are hours worked in excess of contractual hours up to the standard 37 hour week and which are paid at single time rate.
- 4 Where staff are **contractually** required to work overtime and also attract specific contractual allowances in connection with their role, these contractual pay elements are already taken in to account when calculating a day’s holiday pay, so no further action is required.
- 5 The recent Bear v Scotland ruling specifically concerned **non guaranteed** overtime; overtime which the employer is not contractually obliged to provide but employees are obliged to work if offered.
- 6 The majority of overtime worked within the council is **voluntary**, whereby the council is not contractually obliged to offer overtime and the employee is not obligated to work it, if offered. Voluntary overtime is not currently taken into account when calculating a day’s holiday pay.
- 7 The management and administration of annual leave is undertaken within each service area. There is no link or capture of information between the recording of when holidays are taken and monetary payments for holidays in the HR system.

Response by other councils

- 8 Only one other upper tier authority in the region has reached a local decision so far on the calculation of holiday, the calculation agreed is on the basis of 7.6923% in line with the CYC proposal (see paragraph 10 below). At least one other local authority does not have non contractual overtime and others are still considering their position.

Options for holiday pay payments

Approach to date

- 9 The approach taken by the council in relation to back-dated claims made to date so far, has been to calculate the additional holiday pay entitlement as a percentage of non contractual earnings.
- 10 The calculation has been based on minimum statutory requirements which is based on 20 statutory annual leave days, 260 working days in the year, and calculated as 7.6923% of additional non contractual earnings.
- 11 Elements to be included in the Holiday Pay calculation:
- Contractual salary
 - Overtime allowances (contractual¹ & claiming²)
 - Standby allowance (contractual & claiming)
 - Call out Hours (claiming)
 - Residential Sleep-in allowance (claiming)
 - Shift allowance (contractual)
 - Tool allowance (contractual)
 - Night Work allowance (contractual & claiming)
 - Weekend allowance (contractual & claiming)
 - Living Wage supplement (contractual)
 - Market supplement (contractual)
 - Pay protection (contractual)
 - Temporary Additional Responsibility Allowance (TARA) (contractual)
 - Additional hours (claiming)
 - First Aid (contractual)
 - Cycle Allowance (contractual & claiming)

Looking forward

- 12 The council is expected to have in place mechanisms for the correct calculation of holiday pay going forward. Until these arrangements are in place the council continues to leave itself open to grievances and/or employment tribunal claims for back-pay.

¹ Note: "Contractual" denotes pay element automatically included in the calculation of holiday pay, where applicable.

² "Claiming" denotes a claimed pay element currently not included in the calculation of holiday pay.

- 13 Subject to Executive approval the proposed calculation of holiday pay would be effective from 1st August 2015. There will, however, be a requirement to put in place a revised automated payroll process which may take a number of months to implement.

Recommended rate of payment

- 14 Based on experience and evidence to date it is proposed the payments would be based on the recommended 7.6923% which would be subject to statutory national insurance and tax deductions for the employee/employer. Any other option to pay higher rates as referred to by the Trade Unions (see paragraph 20 to 21) would result in proportionately higher costs. There is no evidence base at the current time to pay any other rate.

Mechanism for payment

- 15 In terms of the mechanism there are only two options open to the council:
- apply the calculation for holiday pay across all CYC employees; or
 - limit the calculation of holiday pay to those groups of staff who claim voluntary overtime, additional hours, etc, on a 'regular and systematic' basis.
- 16 The practicalities of the latter option is that the transactions would be too numerous and resource intensive to administer, and potentially open to challenge given the lack of a clear definition of 'regular and systematic'.
- 17 The former mechanism is the most pragmatic option for services and payroll to implement. It is a simple process which would enable an automated calculation of holiday pay to be implemented and maintained going forward within the payroll system.
- 18 This mechanism also reflects the legal 'direction of travel' whereby employees must not suffer any financial detriment for taking leave and holiday pay reflects the normal pay that a worker receives.

Impact on schools

- 19 Any changes to the calculation of holiday pay will only apply to employees on non-teaching contracts. Staff on teachers' terms and conditions are unaffected by the case law as their terms and conditions of employment excludes overtime. Headteachers have received a briefing paper on the recent legal judgements and potential implications for schools and there is

planned consultation with schools Trade Union representatives in September.

Consultation

- 20 The following matters have been discussed with Unison, GMB, UCATT and Unite Trade Unions:
- a. Proposed calculation of holiday pay based on 20 statutory annual leave days, 260 working days in the year and calculated as 7.6923% of additional earnings. (see paragraph 14)
 - b. Elements to be included in the calculation of holiday pay (see paragraph 11)
 - c. How the calculation of holiday pay will be applied (see paragraphs 15-18).
- 21 The Trade Unions have given joint responses which are summarised as follows:
- They fully support the mechanism being applicable to all employees.
 - They agree to points b. and c. above which cover the elements to be included in the holiday calculation and the mechanism for application.
 - Whilst there was agreement on the use of 260 working days in point a, they did not agree to the number of leave days to be used and they would expect to see, as an employer of choice, the council use contractual holidays; and if the council was not willing to look at that then at least to use the base of 28 days, rather than the 20 days.
 - They have strongly stated that they believe this is a matter relating to pay and terms and conditions then it should be negotiated through the collective bargaining machinery in place. They have requested that negotiations are commenced on this basis so that staff can be engaged in the decision-making. Their view is that negotiation on this matter would be consistent with previous regional discussions and agreements.

Options

22. There is no option not to set a rate as case law has established that holiday pay on non contractual overtime/additional hours must be paid based on the terms set out in the report.

23. The options on a pay rate are as follows:

- To pay the rate based on CYC previous claims experience and a rate set by another local authority as outlined in paragraphs 8 and 14).
- To pay a higher rate, but there is no evidence base on which to base a decision on a higher rate. Any higher rate would have a greater impact on the council's financial position and on funding for front line services.

24. In light of paragraph 22 and 23 above the council is not in a position to negotiate these matters. With reference to Trade Union comments on regional discussions, these have been held in relation to agreeing back pay arrangements, which is not the subject of this report.

25. The options on a pay mechanism are outlined in paragraphs 15 and as outlined there is no alternative but apply the rate to all non contractual overtime and additional hours earned, given the lack of definition of 'regular and systematic'.

Analysis

26 All analysis is contained in the body of the report.

Council Plan

27 Outcomes achieved by the activities covered in this report help to deliver priorities in the draft Council Plan 2015-19 in support of 'Our purpose is to be a more responsive and flexible council that puts residents first and meets its statutory obligations'.

Implications

28

a) Financial

All pay related costs will be borne by the budget area commissioning the overtime. The additional amount to fund, based on current practice is estimated around £270k based on the recommended calculation of 7.6923%, approximately £36k of which will be borne by the Housing Revenue Account. The areas of greatest impact are Adult Social Care, Communities & Neighbourhoods and Schools. Stringent monitoring and controls over the use of such overtime has already commenced and will help to control future costs.

b) Human Resources (HR)

Most implications are covered in the report but there will be an ongoing priority for service areas to identify where working practices can change in order to reduce or remove overtime and the associated costs.

c) Equalities

The Community Impact Assessment for this decision is attached at the Annex to this report.

The proposed holiday pay calculation will have a positive impact on all Community of Identity groups – if an employee receives their normal remuneration whilst on annual leave they will be in position to maintain standards of living and are more likely to take all their leave aiding general health and wellbeing.

31% of the workforce claim overtime or related allowances proposed to in the holiday pay calculation, of which 67% are females and 33% male. This indicates women will be more positively impacted by the changes, These gender percentages are representative of the general workforce

70% of the employees who claim pay allowances are employed in grades 4-6 of our 12 Grade Pay Structure. The proposals will therefore positively impact on some of our lowest paid employees.

d) Legal

Legal Implications are covered in the body of the report.

These proposals are based on the currently known minimum requirements however there is the potential for future legal challenge in UK/European case law which may require the council to give further consideration to the holiday calculation. It is recommended that any further changes to the rate that are statutorily imposed as opposed to a local decision, will be implemented by the Director of Customer & Business Support Services.

e) Crime and Disorder

No known implications.

f) Information Technology (IT)

These changes as proposed will be achievable through the existing payroll/HR system and any costs will be managed within existing service budgets.

g) Property

No known implications.

h) Other

No known implications.

Risk Management

29 The key risk is that inadequate and wrongful payment arrangements for staff incurring non contractual overtime or additional hours result in grievances and possibly new and repeated employment tribunal claims.

Recommendations

30 Members are asked to approve:

- a. the proposed calculation of holiday pay to be applied to all non contractual overtime and additional hours worked at a rate of 7.6923% of additional non contractual earnings effective from 1st August 2015.
- b. Any future statutorily imposed rate change for the deduction of holiday pay in relation to non-contractual overtime/additional hours will be implemented by the Director of Customer & Business Support Services.

Reason: to ensure Members are aware of the implications of changes to holiday pay for non contractual overtime and additional hours worked.

Contact Details

Author:

Pauline Stuchfield
AD Customers &
Employees
Tel No.01904 551100

Chief Officer Responsible for the report:

Ian Floyd
Director of Customer, Business and Support Services

Report Approved

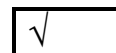


Date 14.7.15

Specialist Implications Officer(s) *List information for all*

Financial: Ian Floyd
Director of Customer & Business Support Services
Legal: Andrew Docherty
AD for Governance and ICT

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



Background Papers:

Annexes

Annex Community Impact Assessment

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SECTION 1: CIA SUMMARY
Community Impact Assessment: Summary
1. Name of service, policy, function or criteria being assessed:

Human Resources are assessing if there are any equality implications for implementing new arrangements for the calculation of holiday pay.

2. What are the main objectives or aims of the service/policy/function/criteria?

To comply with recent changes in case law which require when overtime, additional hours, other pay allowances are worked on a “regular and systematic” basis then holiday pay should include these elements of pay.

3. Name and Job Title of person completing assessment:

Judith Bennett - Performance & Reward Manager

Janet Neeve - Senior HR Business Partner

4. Have any impacts been Identified? (Yes/No)

Community of Identity affected:
All

Summary of impact:

The recommended option is to introduce to all employees so these new arrangements will ensure all employees receive the appropriate rate of pay during periods of holiday.

5. Date CIA completed: 17/6/15
6. Signed off by: P Stuchfield

7. I am satisfied that this service/policy/function has been successfully impact assessed.

Name: Pauline Stuchfield

Position: Assistant Director Customers & Employees

Date: XXX

8. Decision-making body:

Members at Executive meeting

Date:

30th July

Decision Details:

XXX

Send the completed signed off document to ciasubmission@york.gov.uk It will be published on the intranet, as well as on the council website.

Actions arising from the Assessments will be logged on Verto and progress updates will be required

Community Impact Assessment (CIA)

Community Impact Assessment Title:

Calculation of holiday pay

What evidence is available **to suggest that the proposed service, policy, function or criteria could have a negative (N), positive (P) or no (None) effect** on quality of life outcomes? (Refer to guidance for further details)

Can negative impacts be justified? **For example: improving community cohesion; complying with other legislation or enforcement duties; taking positive action to address imbalances or under-representation; needing to target a particular community or group e.g. older people.** NB. Lack of financial resources alone is NOT justification!

Evidence

All employees currently received holiday pay in line with their contractual annual leave entitlement.

For 90% of employees overtime, additional hours or other working arrangements that attract allowances are worked on a voluntary basis, in these circumstances the voluntary pay elements are currently excluded from the calculation of holiday pay and the employee received their basic pay when they take a holiday.

For 10% of employees whose overtime, standby, shift working etc is part of an employees contractual working arrangements the additional allowance payments made for these elements of work are automatically calculated with monthly pay and paid during any period the employee is on holiday.

Recent case law has determined:

- Workers on annual leave should receive their normal remuneration and this normal remuneration should include any payment which is intrinsically linked to the performance of their role, under their contract of employment. For example overtime, standby and other associated allowances.
- In order for workers not to be deterred from taking annual leave, they must not suffer any financial “detriment”, disadvantage for taking leave; and restated the principle that holiday pay must correspond to normal remuneration.
- The ruling applies to leave under the Working Time Directive (WTD) 20 days/4 weeks and not the additional leave which stems from the Working Time Regulations (WTR) additional 8 days/1.6 weeks or contractual leave.
- Non-guaranteed overtime (overtime which the employer does not have to offer, but the employee must work if requested) is part of normal remuneration and must be included in holiday pay, as must any other payments.

Revised Holiday Pay Proposal

- When considering all factors realistically there are only two options open to the Council to ensure future mitigation against holiday pay claims; to either apply the calculation for holiday pay across all CYC employees or to limit the calculation of holiday pay to those groups of staff who claim voluntary overtime, additional hours, etc, on a “regular and systematic” basis. The practicalities of the latter option is that the transactions would be too numerous and resource intensive to administer. The former mechanism is the most pragmatic option for services and payroll to implement. It is a simple process which would enable an automated calculation of holiday pay to be implemented and maintained going forward within the payroll system. No employee would suffer any financial detriment for

taking leave as holiday pay would reflect the normal pay that the worker receives and as it will be applied fairly and consistently to all employees it would positively impact on all groups of staff.

Community of Identity: Age					
Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)	
Proposed holiday pay calculation applied to all employees.		<p>Standard Of living (receipt of a normal pay whilst an employee is on annual leave will mean they can maintain their regular income to cover regular costs)</p> <p>Health, including wellbeing (not being deterred from taking annual leave due to financial detriment will ensure they take regular leave from work which will aid general health & wellbeing)</p>	None	Positive	
Details of Impact		<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date
Employee would suffer no financial detriment for taking leave as holiday pay would reflect the normal pay that worker receive.					

Community of Identity: Carers of Older or Disabled People

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
Proposed holiday pay calculation applied to all employees.		As above	None	Positive
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date
Employee would suffer no financial detriment for taking leave as holiday pay would reflect the normal pay that worker receive.				

Community of Identity: Disability

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
Proposed holiday pay calculation applied to all employees.		As above	None	Positive
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date
Employee would suffer no financial detriment for taking leave as holiday pay would reflect				

the normal pay that worker receive.				
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Community of Identity: Gender

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
31% of the workforce claimed pay allowances which will now be included in holiday pay – of which 33% were male & 67% were female.		As above	None	Positive
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date
Employee would suffer no financial detriment for taking leave as holiday pay would reflect the normal pay that worker receive.				

Community of Identity: Gender Reassignment

Evidence	Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
Proposed holiday pay calculation applied to all employees.	As above	N	Positive

Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date
Employee would suffer no financial detriment for taking leave as holiday pay would reflect the normal pay that worker receive.				

Community of Identity: Marriage & Civil Partnership

Evidence	Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
Proposed holiday pay calculation applied to all employees.	As above	None	Positive

Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date
Employee would suffer no financial detriment for taking leave as holiday pay would reflect the normal pay that worker receive.				

Community of Identity: Pregnancy / Maternity

Evidence	Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
Proposed holiday pay calculation applied to all employees.	As above	None	Positive

Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date
Employee would suffer no financial detriment for taking leave as holiday pay would reflect the normal pay that worker receive.				

Community of Identity: Race

Evidence	Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
Proposed holiday pay calculation applied to all employees.	As above	None	Positive

Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date
Employee would suffer no financial detriment for taking leave as holiday pay would reflect the normal pay that worker receive.				

Community of Identity: Religion / Spirituality / Belief

Evidence	Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
Proposed holiday pay calculation applied to all employees.		None	Positive

Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date
Employee would suffer no financial detriment for taking leave as holiday pay would reflect the normal pay that worker receive.				

Community of Identity: Sexual Orientation

Evidence	Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
Proposed holiday pay calculation applied to all employees.		None	Positive

Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date
Employee would suffer no financial detriment for taking leave as holiday pay would reflect the normal pay that worker receive.				

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Executive**30 July 2015**

Joint Report of Executive Leader, Finance & Performance and Executive Member for Adult Social Care and Health

Annual Report of the Financial Inclusion Steering Group 2014/15**Summary**

- 1 This is the 2014/15 Financial Inclusion Steering Group (FISG) outturn report. It informs Members of the progress made in delivering financial inclusion activity across the city facilitated by the council's Financial Inclusion Strategy. It also provides information about the council's Council Tax Support Scheme in response to Advice York's recent review, and the performance of the York Financial Assistance Scheme (YFAS).

Background**The work of the Financial Inclusion Steering Group**

- 2 FISG was established in January 2013 following approval by Cabinet on 6 November 2012. Membership includes relevant council directorate representatives, York Citizens Advice Bureau (CAB) and South Yorkshire Credit Union. Cabinet approved draw down of £300k from the Economic Infrastructure Fund (EIF) to deliver the Financial Inclusion Action Plan for 2013/14 and 2014/15. A further £100k was approved as part of the council's budget for 2015/16 to continue to support financial inclusion work.
- 3 The group's purpose is to:
'ensure that local people have the knowledge of and access to appropriate services, allowing them to make more informed choices to achieve and maintain financial stability'.
- 4 The aim of the group is to secure the following outcomes:
 - residents have the knowledge to manage their finances effectively
 - advice services are better coordinated across the city

- residents, advice givers and those 'sign-posting' better understand the welfare benefits system and
 - to explore opportunities to reduce general living expenses.
- 5 In line with the Cabinet decision of 6/11/12 FISG has responsibility for overseeing the delivery of financial inclusion work and the allocation of funds from EIF to support that delivery.
- 6 Bids were invited from partners for projects that met the aims of promoting financial inclusion. These were subject to panel selection at which providers made a presentation about their proposals. Rigorous selection was made against a range of criteria. Successful schemes are subject to the council's Financial Regulations and a signed Service Level Agreement. Grants are paid over the life of the project with regular reporting on progress built in to ensure delivery.
- 7 During 2014/15 FISG made four further grants following a competitive bidding process which attracted ten proposals. A summary of all funded projects are in table 1 below:

Table 1: Grants made to all projects since 2013/14

Provider	Project Title	Description	Duration	Period	Grant
York CAB	Advice Services Transformation Fund (ASTF)/ Big Lottery	To overhaul the provision of Advice services with funding from the ASTF/Big Lottery funding. 'Advice York' set up.	2 years	1/8/13 - 31/7/15	£80,000
Schools	Cashless payment systems	To promote take up of free school meals in three secondary schools.	n/a	Sept 2014+	£60,000
Yorkshire Energy Partnership	'Save Money by Saving Energy'	Contribution to fuel poverty campaign work - 'Big Switch' and behavioural change initiatives	1 year	13/14 & 14/15	£10,000
CYC	Living Wage	Publicity material	n/a	2013/14	£230
Yorkshire Energy Partnership	'Save Money by Saving Energy'	Continue 'Big Switch' fuel poverty work until the introduction of the regionally procured 'Better Homes' contract from 15/16.	6 months	1/10/14 - 31/3/15	£18,236
Peasholme Charity	'My Money My Life'	Provide financial capability support for vulnerable and excluded people	1 year	1/9/14 - 31/8/15	£27,018
York CAB	GP surgeries outreach advice service	Placement of a benefits and debt advisor in two GP surgeries in wards with high deprivation.	2 years	5/1/15 – 4/1/17	£67,003
York Housing Association	Digital Inclusion at home and in the community	To provide one to one training to tenants (YHA & CYC) - online discounts / job searches, benefit applications & accessing banking.	15 months	1/10/14 - 21/12/15	£37,513
Total					£300,000

- 8 Following the success of the 2014/15 bid process, proposals have been invited from stakeholders to bid for grants from the £100k budget for 2015/16. Twelve bids have been received for grants totalling £299k, far in excess of the available budget. This process will be completed over the next few months.
- 9 Monitoring of the projects, most of which run into 2015/16, is ongoing. Outcomes so far include the following.

CAB - Advice Services Transformation Fund (ASTF)/ Big Lottery Fund (BLF)

- 10 The grant from CYC enabled an additional £248k matched funding from the BLF to the CAB to transform advice services in the city. Progress to date has been formally approved by BLF to continue draw down of funds. Notable outcomes to date include:
- Advice York was established - a network of advice providers in York offering free, independent, impartial, confidential legal advice in areas of social welfare law.
 - Fifteen training sessions have been delivered to 209 delegates from 19 different organisations.
 - An Advice Strategy for the city will be launched in early July following an audit of existing advice provision.
 - A website has been launched¹ and four social policy reports have been produced.
 - Twenty four new trainee volunteers have been taken on.
 - Advice training has been delivered jointly with CABx in North Yorkshire.
 - Published and circulated widely a 'Guide to Advice Services'.
 - A Benefits Advice and Tribunal Support worker provided 338 instances of second tier (i.e. adviser) support and helped 139 residents with appeals.
 - Specialist benefits support was provided to 322 residents which helped gain £570k in unclaimed benefit income.

Yorkshire Energy Partnership

- 11 This project includes encouraging behavioural change to reduce fuel costs and to promote collective energy provider switching. A summary of the results of the first three Switch campaigns are in table 2. It is worth noting

¹ <http://www.adviceyork.org.uk/adviceyork.html>

that York has a higher conversion rate than the national average of 29%. A fourth campaign is currently underway and another will take place in the autumn. A range of drop in sessions for residents and training for advisers as well as a wide range of publicity initiatives has taken place to support both aspects of the campaign.

Table 2: Outcome of Community Switch campaigns

Period	No. Signed up	No. Switched	Conv. Rate	Ave. Saving	Total saving
Dec '13 - Feb '14	751	242	32%	£169	c.£41k
Aug '14 - Oct '14	590	223	38%	£207	c.£46k
Dec '14 - Feb '15	578	255	44%	£243	c.£62k
Total	1919	720	38%	£206	c.£149k

- 12 From April 2015 the Better Homes Scheme was launched². This is a consortium of nine local authorities across Yorkshire that works with key partners Keepmoat and Willmott Dixon to bring insulation and renewable technologies to residents.

York CAB - GP Surgeries Outreach Advice Service

- 13 Outreach sessions began in late January 2015 working closely with Priory Medical Group providing a generalist advice service focusing on welfare benefits and debt in GP surgeries in Rawcliffe and Cornlands Road. A range of promotional material has been used to encourage take up and the project has been well received by GPs and their staff with 14 clients gaining annualised income equivalent through benefit take up of just under £41k by the end of April. Work continues to promote the service.

Peasholme Charity - My Money My Life

- 14 This is a supported learning initiative, delivering enhanced financial capability support and education packages for vulnerable and excluded people. The project started in September 2014. It provides one-to-one supported learning offering 20 hours intensive financial capability support, small group training offering 12 hours of supported learning delivered over 4-6 weeks and open events/drop-in providing one-off themed sessions. It is delivered at Peasholme Resettlement Centre, Kyra Women's Centre, York Mind and Howe Hill Hostel.
- 15 By the end of February 2015 50 people had used the service with 20 taking part in small group training, 7 in the one-to-one service and 24 attending an open event - with 7 going on to access training. Some 36 had completed their training programme. Specific outcomes include 88% stating that they

² <https://www.york.gov.uk/betterhomes>

will know how to get help if they were in financial difficulty and 82% saying that will have the ability to make effective decisions when purchasing financial products and making effective agreements.

York Housing Association – Digital Inclusion

- 16 The project began in October 2014 and has provided tailored support to 34 people by the end of December and a further 102 from January to end of March 2015 making a total of 136. On-line support and training packages are used. Residents affected by claiming Universal Credit are given priority. There are drop-in sessions at Auden House and Lyndsey Avenue and the project worker liaises closely with CYC Housing Services to promote digital inclusion and attended the AGM of the CYC Residents Federation. Two people have obtained low cost tablets through a partnership with Argos.
- 17 In addition to providing training to meet individual needs clients are shown how to save money on line. One client, who was with the same energy provider for ten years, switched and saved £600 a year and received a £200 refund from her current supplier.

Other activities

- 18 FISG has also been involved in helping to develop and agree changes to the YFAS scheme (noted below) for 2015/16. This was undertaken in partnership with CAB, Advice York and the South Yorkshire Credit Union.
- 19 The Credit Union have been active participants in FISG over the last two years and opened new premises in Acomb on 1 June 2015. The shop called 'My Living', offers affordable financial and purchasing services to all.
- 20 The council actively supported the successful food collection for Carecent and the York Foodbank as part of the 'Yorkshire Harvest' during September 2014 by securing donation points and providing transport logistics for the collections.
- 21 The 'Rental Exchange' scheme will be introduced for CYC tenants during 2015. Developed by the Big Issue and Experian it helps build up the credit scores of social housing tenants using their rent payment histories. Around 66% of CYC tenants will see an increase in their credit score as a result of incorporating their rental data to the credit bureau database. This will allow residents to obtain wider access to financial products. Other York based social housing providers have expressed an interest in the scheme for their tenants.
- 22 On the education front regular communications via Head Teachers and Governors Briefings and weekly newsletters encourage school involvement in anti-poverty work generally and financial literacy specifically. The Illegal

Money Lending Team has produced and circulated lesson plans to schools and the new National Curriculum, which includes money, budgeting and managing financial risk, has been in place since September 2014.

Council Tax Support (CTS)

- 23 In April 2013 the council introduced its current local CTS scheme (with maximum 70% relief) following full statutory public consultation. The scheme has remained unaltered since then. The council tax collection rate for those residents who had to rely on CTS in 2013/14 & 2014/15 were 83.39% & 82.02% respectively. This compares to the non-CTS collection rate of 97.55% in 2014/15.
- 24 During 2014, Advice York reviewed council tax support schemes nationally and particularly the York scheme. The outcome was their paper '*Pushed into Poverty – The real cost of council tax support*'.³ This report looked at the impact on financially vulnerable residents of having to meet at least 30% of their council tax costs. The previous scheme (Council Tax Benefit), fully funded by the Government, allowed up to 100% support. The council can consult again on its CTS scheme at any point but would need to plan any consultation at this point in the financial year to inform decision-making for the following financial year.
25. Since the national introduction of CTS schemes in 2013/14 there has been an increase nationally in the percentage of council tax being charged to benefit customers by local authorities. From April 2015, only 42 councils (out of 326) are continuing to provide the levels of support available under the former Council tax Benefit scheme, down from 45 in April 2014 and 58 in April 2013. Many who took the Government's transitional grant in year one and charged 8.5% or less are now charging considerably more e.g. Hull who moved from 8.5% to 20%. From April 2015, 250 schemes include a minimum payment, up from 245 in April 2014 and 229 in April 2013.
26. Schemes vary in type and the minimum payments expected of claimants. Research has shown that there were no obvious patterns by political control, demography or location. 9 councils are at the 30% level including locally, Barnsley a further 30 between 25% – 29% and these numbers are rising. There is no legal 'cap' or expectation for a minimum payment as schemes are agreed by individual local authorities.
27. Along with a minimum payment, some councils have made other changes to CTS which has the effect of reducing the overall cost of the scheme.

³ <http://www.adviceyork.org.uk/counciltaxsupport.html>

This makes simple comparisons of the minimum payment % less straightforward.

28. The other changes include:
 - reduced or removed the second adult rebate
 - introduced a band cap
 - lowered the maximum savings limit
 - introduced a minimum weekly CTS award
 - changed the income taper.

29. The council in developing its financial assistance scheme (YFAS) provided additional funds to the initial government grant aimed at providing a safety net for customers who suffered the most financial hardship when the scheme was introduced. The ability to provide targeted support through the YFAS scheme was and is still considered the best way to assist the most financially vulnerable customers. There was a notional amount of £100K set aside each year in the YFAS scheme although it was all part of the same fund. To date claims for support with council tax has seen less than 40% of this money been claimed in any one year and extrapolating of the week 12 position (2015/16) would see this figure fall as low as 20%.

30. There has been ongoing support provided to try and target this funding including visiting all customers who are in arrears and have not contacted the council. A project has been initiated to look in more detail as to why claims for assistance are so low, why some customers do not qualify and what can be done to make customers more aware and target those most in need. Once the initial analysis has been completed work to promote this support to the most financially vulnerable customers will be undertaken in partnership with our financial inclusion partners CAB and Advice York.

York Financial Assistance Scheme

- 31 YFAS was established on 1 April 2013, following the transfer of responsibility and funding from central Government. The former national scheme, delivered by the DWP, was part of the Social Fund. Funding was allocated to local authorities to replace the Crisis loans and Community Care Grants elements. YFAS is locally administered and can assist residents to stay or move into the community or with emergencies.

- 32 The Government announced, as part of the Autumn Statement on 3 December 2014, the end of the existing funding arrangements for these local schemes.
- 33 From April 2013 to 5 April 2015 assistance was provided through non-repayable grants with residents receiving pre-loaded cash cards that could be used to pay for goods in shops or to withdraw cash at cash-point machines.
- 34 The mid-year report of FISG to Cabinet on 29 May 2014 recommended a review of the scheme based on the increasing number and value of claims being received. The review was undertaken during the autumn and winter of 2014/15. The result of this was a revised scheme implemented from 6 April 2015 following approval in December 2014. The key changes are:
- Provision of goods and services (not cash) – provided through the Community Furniture Store including delivery and fitting
 - Use of supermarket vouchers (one-offs). [Note - food bank vouchers are issued through other supporting services/agencies]
 - Fuel top-ups
 - Use of prepaid cards only in exceptional circumstances.
- 35 Expenditure on the scheme in 2014/15 was £357k against the DWP grant of £315k with the balance of £42k coming from CYC's budget. The first 26 weeks of 2014/15 saw an average of 83 applications per week for community and emergency grants with an average payment of £96. This reduced to an average of 52 applications per week in the last 26 weeks (average payment of £95).
- 36 The reduction in expenditure during the second half of the year was achieved through the implementation of a revised claim process intended to manage the fund more effectively. Full details of YFAS spend for 2014/15 is attached at Annex A. Judicious intervention through the scheme is invaluable in supporting residents through difficult personal circumstances allowing them to respond to immediate needs and giving them a 'breathing space' to be better able to manage their lives independently.
- 37 The lessons learnt from this monitoring and changes made in the autumn of 2014 helped to shape the new scheme introduced on 6 April 2015. The scheme was developed and supported in partnership with our key third sector partners (Citizen's Advice Bureau and Advice York). The council has committed an additional £200k in 2015/16 to support YFAS following

the withdrawal of Central Government grant. Early activity in 2015/16 is showing a much lower take up of YFAS support but it is too early yet to draw any conclusions and there are further planned welfare changes which may have a significant impact on those residents reliant on welfare support.

Consultation

- 38 As noted above consultation with stakeholders was carried out to shape changes to YFAS through key partners such as Advice York.

Analysis

- 39 There is no further analysis other than the existing information in the report.

Council Plan

- 40 Outcomes achieved by the activities covered in this report help to deliver priorities in the draft Council Plan 2015-19 in support of 'A prosperous City for all' by promoting financial inclusion by supporting the Living Wage, supporting voluntary organisations and developing financial inclusion work with measurable outcomes.

Implications

41 **a) Financial**

All implications are covered in the report.

b) Human Resources (HR)

None

c) Equalities

The Community Impact Assessment for YFAS is published on the council's website but the key points for ongoing monitoring and action are:

- Analysis of application data will ensure that CYC directs funds to those most in need.
- Using this analysis, look at alternative ways of supporting residents, which may be, for example, seeking partnerships with more groups who can help address those needs.

- To use the financial Inclusion strategy to provide city wide support to financially vulnerable customers.
- Staff will receive applications from potentially stressed, desperate and upset customers. Staff are trained to deal with these issues.

d) Legal

None

e) Crime and Disorder

None

f) Information Technology (IT)

None if no change to current service provision

g) Property

None

h) Other

None

Risk Management

42 The key risks are in relation to YFAS:

- Managing the costs of the service (both service delivery and administration) within a fixed budget for 2015/16.
- managing the budget to ensure that customers get the same service irrespective of when they apply in the financial year;
- minimising opportunities for abuse, whilst ensuring that customers who need help can access scheme easily and quickly;
- any failure to provide an appropriate service will have a negative impact on the wellbeing of vulnerable people and the reputation of the council.

Recommendations

43 Members are asked to:

Note the work of the Financial Inclusion Steering Group (FISG).

Reason: to ensure Members are aware of Financial Inclusion activity and how related financial support is administered through CTS and YFAS schemes to inform planning for future financial pressures relating to these schemes.

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Chief Officer Responsible for the report:

Ian Floyd
Director of Customer, Business and
Support Services

Report Approved



Date 20.7.15

Specialist Implications Officer(s)

Financial: Ian Floyd
Director of Customer & Business Support Services

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



Background Papers:

Report of Cabinet Member for Finance, Performance & Customer Services 7th January 2014 - Review of the York Financial Assistance Scheme

Report of Cabinet Member for Finance & Performance 29th May 2014 - Amendment to the qualifying criteria of the York Financial Assistance Scheme (YFAS).

Report of Cabinet Member for Finance, Performance & Customer Services 1st July 2014 - Annual Report of the Financial Inclusion Steering Group 2013/14

Annexes

Annex A YFAS award information 2014/15

Annex B Abbreviations

Annex A– York’s Financial Assistance Scheme statistics 2014-2015

Table 1 Total applications by the circumstances of applicant with values

Applications & status	Couple	£	Family	£	Lone P	£	Pensioner	£	Single	£	Total no.	Total £
Ineligible									23		23	
New									22		22	
Paid	60	9,792	176	33,942	489	120,452	58	14,209	809	121,389	1,592	299,785
Pending information	1	0	1	0	1	0	0	0	5	0	8	
Refused	56	0	126	0	291	0	29	0	859	0	1,362	
Awaiting payment run	0	0	0	0	5	2,467	1	0	5	855	11	3,323
Withdrawn	1	n/a	2	n/a	1	n/a	1	n/a	32	n/a	37	
Grand total	118	9,792.8	305	33,941	787	122,919	89	14,209	1,755	122,245	3,055	303,108

Table 2 Circumstances as % of applications

	2014/15 %	2013/14 %
Single	57	68.5
Lone Parent	26	18
Families	10	8
Couples	4	2.5
Pensioners	3	3

Table 3 Refusals % by family circumstances

	2014/15 %	2013/14 %
Overall	45	38
Single	49	38
Lone parent	37	34
Families	41	35
Couples	47	34
Pensioners	33	32

Table 4 Spend across funds

Number of payments across funds per month

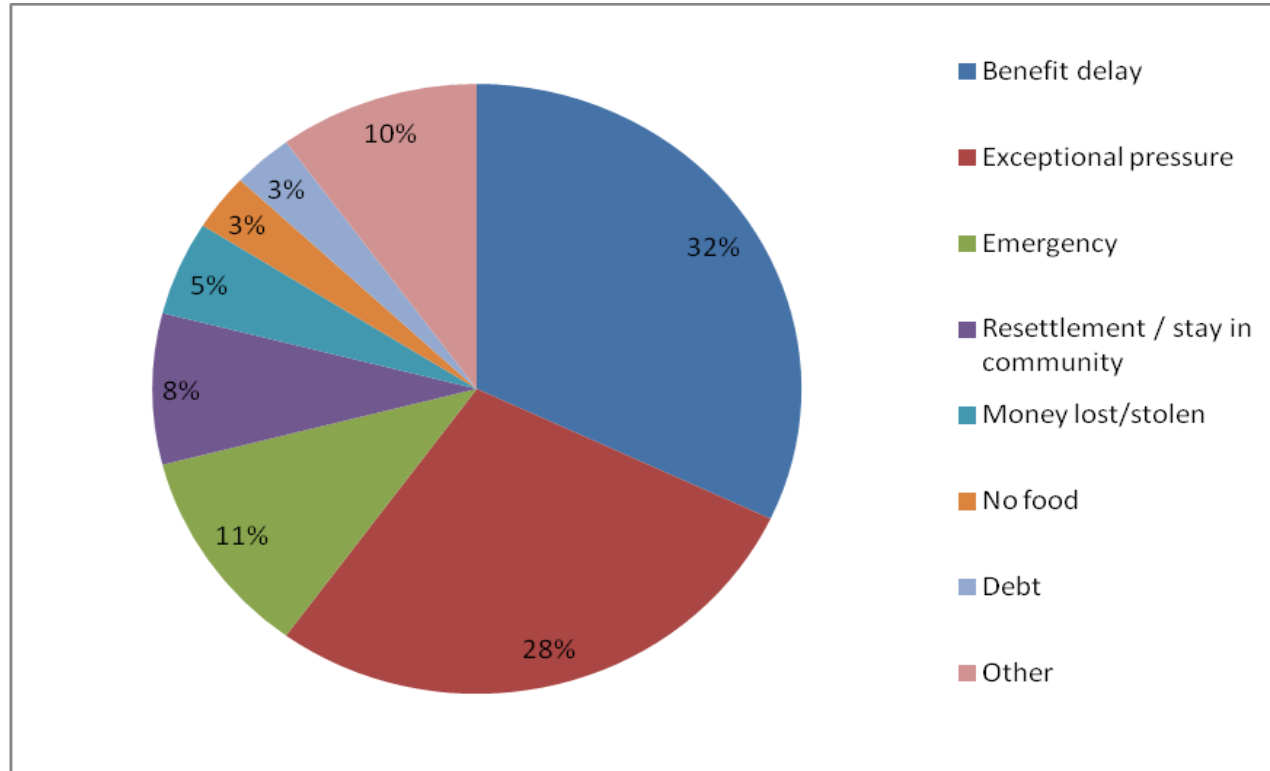
Month	Community fund	No.	Emergency fund	No.	£ totals	No. totals
April	£22,837.58	262	£9,249.45	123	£32,087.03	385
May	£26,825.51	255	£12,964.71	148	£39,790.22	403
June	£18,074.64	169	£8,712.41	117	£26,787.05	286
July	£20,816.27	195	£11,273.17	131	£32,089.44	326
August	£14,268.73	142	£17,378.30	183	£31,647.03	325
September	£18,847.67	203	£15,512.94	183	£34,360.61	386
October	£11,976.41	149	£9,532.92	111	£21,509.33	260
November	£10,838.77	120	£9,569.33	105	£20,408.10	225
December	£11,198.83	130	£5,548.73	57	£16,747.56	187
January	£4,935.94	60	£5,260.91	66	£10,196.85	126
February	£13,136.82	156	£7,312.45	66	£20,449.27	222
March	£11,877.43	153	£5,158.08	53	£17,035.51	206
All	£185,634.60	1994	£117,473.40	1343	£303,108	3337

This report counts payment records not applications. An application can, for example, have two payment records, one from each fund.

Table 5 Items paid

Items	Community Fund		Emergency fund		Total no.	Total value £
	No.	£	No.	£		
Bed	258	22,217.8	61	5,594.6	319	27,812.44
Clothing			78	4,481.8	78	4,481.83
Cooker	206	35,684.44	87	14,987	293	50,671.86
Cook pans	105	1,967.91			105	1,967.91
Curtains	116	5,526.93			116	5,526.93
Daily living expenses			951	69,534	951	69,534.27
Drawers	123	4,520.79			123	4,520.79
Floor coverings	106	22,168.22			106	22,168.22
Fridge	208	31,854.81	60	8,759.8	268	40,614.59
Iron	11	185			11	185
Kettle	35	451.99			35	451.99
Microwave	4	160	3	92	7	255
Repairs			9	907.71	9	907.71
Sofa / Chair	125	9,937.84			125	9,937.84
Table / Chair	36	2,425.99			36	2,425.99
Towels	65	870.97			65	870.97
Cost of exceptional travel	22	1,879.48	35	2,123.9	57	4,003.42
Wardrobe	123	10,119.88			123	10,119.88
Washer	196	35,736.55	59	10915	255	46,651.55
Grand total	1,739	185,708.60	1,343	11,7396	3,082	303,108.19

Reasons for applying to YFAS in 2014/2015



Top 7 reasons

Delay in Benefit payments	32% down from 37%
Exceptional Pressure	15% up to 28%
Resettlement / stay in community	12% down to 8%
No food	9% down to 3%
Emergency	9% up to 11%
Debt	6% down to 3%
Money lost or stolen	5% same

Annex B

Annual Report of the Financial Inclusion Steering Group 2014/2015 (7/7/15)

List of Abbreviations

ASTF	Advice Services Transformation Fund
BLF	Big Lottery Fund
CAB	Citizen's Advice Bureau
CTS	Council Tax Support
CYC	City of York Council
DWP	Department for Works and Pensions
EIF	Economic Infrastructure Fund
FISG	Financial Inclusion Steering Group
YFAS	York Financial Assistance Scheme

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Executive
30th July 2015
Report of the Executive Member for Finance, Performance and Customer Services
2014-15 Draft Outturn

1. This report provides a year end analysis of our financial performance. Dashboards for performance under the previous Council Plan priorities are also attached, based on the latest available data.
2. The council's net General Fund budget for 2014/15 was £124,186k and the provisional outturn position is an under spend of £688k, an improvement of £1.4m since Monitor 3. This improvement is primarily as a result of continued stringent cost control methods, and internal management reporting has tracked the impact of this positive action.

	2014/15 Net Budget	Monitor 3 variance	Draft Outturn
Directorate			
	£'000	£'000	£'000
Children Services, Education & Skills	31,517	+421	+196
City & Environmental Services	19,759	+941	+957
Communities & Neighbourhoods	17,007	+150	+98
Customer & Business Support Services	4,773	-35	-219
Adult Social Care	51,418	+528	+193
Public Health	389	+187	+108
Office of the Chief Executive	364	-26	+8
Directorate total	125,227	+2,166	+1,341
Central budgets	-1,041	-1,395	-2,029

TOTAL	124,186	+771	-688
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Table 1 – Financial Overview

3. This position is consistent with previous years where expenditure has been within the overall approved budget. It maintains the Council's overall financial health and provides a strong platform upon which to meet the further financial challenges in the future.
4. An overview of this outturn, on a directorate by directorate basis, is outlined in Table 1 above and the key variances are summarised in the following paragraphs.
5. Whilst the year-end position is positive, there remain considerable financial challenges looking ahead into 2015/16 and beyond. The February 2015 budget council report approved £11.9m of savings in 2015/16 and progress against delivering these, as well as dealing with the underlying issues experienced during 2014/15, will again require careful monitoring.
6. Beyond 2015/16, it is expected that significant financial challenges will continue and the ongoing development of the financial strategy will ensure that the Council prepares effectively for these challenges.
7. The following sections provide further information on the financial outturn of each directorate as outlined in Table 1 above.

Children's Services, Education & Skills

8. Despite a reduction in the number of Looked After Children and a reduction in expenditure of almost £1m since 2012/13, the underlying budget pressure from previous years results in a net overspend within children's social care resources budgets. This includes overspends on Out of City and Independent Foster Agency placements (£439k and £451k respectively), contract placements (£196k), The Glen Respite Care Home (£129k), Transport (£101k) and Adoption, Residence & Guardianship orders (£218k). It also includes additional staffing costs within Children's Safeguarding teams and the Integrated Family Service (£91k and £127k respectively).
9. Within children's safeguarding teams additional staffing being employed in excess of the numbers provided for within the budget creates an overspend of £289k.

10. Offsetting these overspends are staffing underspends totalling £117k within the Youth Support Service and Education Psychology Service, as a result of posts being kept vacant for part of the year, additional income from Inter Agency Adoption Fees (£147k) and savings of £218k on legal fees.
11. A number of posts being kept vacant within the school improvement and connexions services in advance of delivering savings proposed for the 2015/16 financial year results in a net underspend of £438k. Bringing forward the implementation of some Early Years, Children's Centres and Connexions savings from 2015/16 has delivered a one-off saving for 2014/15 of £259k and limiting the level of new expenditure to be committed from the SEN, Adoption Reform and Short Breaks grants has also delivered a one-off saving of £237k.
12. Additional short term savings from the directorate moratorium on discretionary expenditure within service team budgets total £419k.

City and Environmental Services

13. The draft outturn shows a net overspend of £957k, which is a slight deterioration of £16k from the Monitor 3 report. The overspend is primarily due to the position within Waste Services as a result of unachieved budget savings and reduced income (£573k), along with a shortfall in parking income (£325k). Further detail is provided in the following paragraphs.
14. Underspends on highway maintenance (£622k) due to the use of alternative capital funding and on street lighting (£147k) due to lower expenditure on materials and electricity have been offset by overspends on the civils account (£379k) due to lower than forecast income, additional staffing for engineering consultancy (£149k), £94k overspend on winter maintenance and lower than budgeted income relating to utilities working on highways (£75k).
15. An underspend of £178k on transport due to lower than forecast operating lease costs and staffing vacancies is offset by £112k unachieved fleet saving, £100k overspend on vehicle maintenance mainly due to unachieved income targets.
16. Within waste collection the main variances were £216k additional staffing costs, increased transport costs of £98k for vehicle repairs/hire and £84k for new vehicle costs. These overspends were offset by £34k saving on fuel due to lower prices.

17. There was an underspend on waste disposal mainly from reduced tonnages (£188k) and additional income from the sale of landfill gas (£108k). These underspends were offset by a shortfall in income from garden waste subscriptions (£60k).
18. There was an overspend on Household Waste Recycling Centres (£203k) mainly due to lower than anticipated trade waste income and income from Household Waste chargeable items.
19. There continues to be a shortfall on the Yorwaste dividend (£200k) but this was partly offset by interest received from the company on an outstanding loan (£56k).
20. Within transport, unachieved income from ANPR enforcement of £175k, £86k additional expenditure on the connected cities and ECMA projects, £59k overspend on subsidised buses and £48k for temporary staff within CCTV were offset by mitigating savings on quality bus contract (£65k) and road safety (£35k).
21. The year end shortfall on the parking account was £325k (4.5%). This is a continuation of the shortfalls within the account over the past few years (£258k in 2012/13 and £230k in 2013/14). There have been a number of initiatives that have impacted the account during the year, including the closure of Haymarket Car Park in April 2014, the impact of lost income due to the free parking initiative from June 2014 (funded by £300k from section 106), the introduction of charges for residents discount pass from September (which was later than assumed at the budget), the introduction of pay on exit at Marygate car park in July 2014 (which has faced technical issues resulting in lost income), the use of Marygate by Network Rail in the final quarter of the year and the commencement of the expanded Park & Ride Network in June 2015. Members agreed to a reduction of £400k in the overall parking income budget expectation at budget council in February 2105 and this should ease the pressure on the parking account going forward.
22. A shortfall in Building Control income (£108k), higher than budgeted income from land charges (£76k) offset by the cost of the legal decision for all authorities to refund personal search agencies for fees charged between 2005 to 2010 (£200k) and a range of small variations make up the overall directorate position.

Communities & Neighbourhoods

23. The draft outturn position shows an overspend of £98k, an improvement of £52k since Monitor 3. Overspends in Learning Services (£196k) due to the cost of moving premises and a shortfall in income and Library Services (£122k) due to additional costs resulting from the extended closure of the central library and other support and insurance costs, were offset by underspends in Registrars (£41k) and the Crematorium (£131k) due to additional income. A freeze on expenditure in some areas, along with staff vacancies across a range of services make up the overall directorate position.

Customer & Business Support Services

24. The draft outturn shows an underspend of £219k which is a £184k improvement from the Monitor 3 report. The main areas of underspend relate to vacant posts in ICT, procurement and finance, along with a range of other minor underspends including additional income from schools.

Adult Social Care

25. The draft outturn position shows a net overspend of £193k an improvement of £335k since the Monitor 3 report. Demographic pressures continue to be evident in relation to demand for care and have resulted in an overspend of £342k across a range of budget areas, offset by staffing underspends of £120k due to a number of posts being kept vacant in the later part of the year.
26. An additional pressure, that was not evident at the time the budget was set, is in relation to DOLS (Deprivation of Liberty Safeguards). All councils with adult responsibilities have been impacted by a recent court ruling that is dramatically increasing the number of formal applications that must be processed. At Monitor 1 Cabinet agreed to allocate one-off contingency funding to cover the estimated net additional costs in 2014/15. However, due to delays in recruiting the extra staff needed to process the increased number of cases the financial position in 2014/15 is now £245k more favourable than expected. There is, however, a significant backlog so there is likely to be a short term impact of this in 2015/16 until things settle down into a more regular pattern.
27. There has been a significant overspend of £1,021k within the Elderly Persons Homes budgets due to utilities, cleaning, catering and R&M (£325k), increased staffing ratios (£237k) and temporary staffing costs (£332k).

28. A net underspend of £259k has been delivered on Small Day Service budgets and £224k from the final stage of the Strategic Review of Accommodation Options for People with Learning Disabilities.
29. Additional income to support the reablement service of £307k has been negotiated and received from the CCG, partly offset by an overspend of £80k on the reablement service contract.
30. A net underspend of £153k, mainly due to savings on the directorate wide redundancy and early retirement budget, along with a range of other variations contribute to the overall position.

Public Health

31. The former Primary Care Trust budget for genitourinary activity was allocated on a population basis (25% to York and 75% to North Yorkshire County Council). However in practice the actual activity has been closer to 50:50, leading to a significant overspend on this budget (+£658k). In addition there is a one-off backdated payment of £125k outstanding for 2013/14. For 2014/15 a one-off budget virement of £488k has been made from other Public Health budgets to help offset the pressure and work is underway to retender this contract from July 2015 with the aim of delivering a new service within the available budget.
32. A range of minor savings and variations within a number of other contracts total £112k, resulting in a net overspend of £100k.

Office of the Chief Executive

33. The Office of the Chief Executive directorate has reported an overspend of £8k due to a range of minor variations across the directorate.

Corporate Budgets

34. These budgets include Treasury Management activity and other corporately held funds. Treasury Management has generated an underspend of £1.4m due to reduced interest paid on borrowing and long term borrowing not being taken during the year along with increased interest earned due to higher than anticipated cash balances and the volatility in financial markets which has allowed for the Council to take advantage of favourable interest rates. In addition, pension strain costs to date have been lower than anticipated resulting in an in year underspend of £460k.

New Homes Bonus

35. Previous decisions of the Council have allocated the majority of New Homes Bonus to the Economic Infrastructure Fund. In 2014/15 some funding has been used to support the Local Plan and the Lendal Bridge trial. The remaining unallocated funding in 2014/15 and 2015/16 totals £2,065k. This is currently allocated to one off investments, as set out in the February 2015 budget report.

Business Rates

36. The collection of Business Rates and the overall base liability remains strong. 2014/15 was the second year of the localisation of business rates with councils able to receive a share of gains from the business rates pool. The projected additional income of £300k was achieved in line with the budget and the Council will be making a levy payment of £1.3m into the Leeds City Region Pool.

Dedicated Schools Grant

37. Within the Dedicated Schools Grant (DSG) funded budgets there is a net underspend of £130k against a total grant allocation for the year of £116,939k (including post 16). This is mainly as a result of underspends on nursery place funding due to the delayed take up of the enhanced entitlement to 2 year old provision introduced during the year (-£624k), staff vacancies in SEN teaching teams and work done in reviewing post 16 SEN placement costs following the transfer of this responsibility to the LA in 2013/14 (-£77k), offset by increased costs of high needs provision in schools and other post 16 providers (+£538k) and a net overspend on school contingency budgets partly due to the requirement to write off the final deficit balance following the closure of Burnholme Community College in August 2014 (+£227k). As there was a surplus DSG balance brought forward from 2013/14 of £111k (compared to a budgeted deficit of £200k) this results in a carried forward surplus balance of £241k to 2015/16.

Housing Revenue Account (HRA)

38. The Housing Revenue Account budgeted to make a surplus of £567k in 2014/15. There has been an overspend of £513k on repairs and maintenance, mainly due to resolving significant damp works at a number of properties. This was offset by a number of underspends, including £954k from a change to the financing of capital works and £273k from lower than budgeted levels of arrears and bad debts. This resulted in an overall surplus of £1,908k and therefore an underspend of £1,341k.

Reserves

39. The February 2015 budget report to Council stated that the minimum level for the General Fund reserve should be £6.4m (equating to 5% of the net budget). At the beginning of 2014/15 the reserve stood at £8m and as part of the budget report, approval was given to reduce the level of actual reserve by £500k in 2015/16, leaving a balance of £7.5m still giving some headroom about the minimum level to take account of the increased risks facing the Council.
40. The 2014-15 underspend of £688k has been fully utilised in the emergency budget motion agreed by Council on 16th July.

Performance

41. This report gives an overview of the Council's performance covering 1st January to 31 March 2015, as well as looking back at events in the year, assessing performance against key themes, including Council Plan Priorities 2011-2015.

Create Jobs & Grow the Economy

42. Achievement: A feasibility study has been completed for York Central (the city's largest development site), and a memorandum of understanding signed with Network Rail. Unlocking and maximising the development opportunity through the wider York Central site, would unlock 1100 homes and 85,000m² of grade A office space, as well as building on the National Railway Museum's existing offer to realise a world class museum attracting 1m footfall a year. Projections demonstrate this will deliver up to £254m in GVA per annum and a net 4,750 jobs on completion.
43. Achievement: The Leeds City Region Enterprise Partnership (LEP) confirmed further devolved funding through the government's Employer Ownership Pilot to create a £17.5 million skills service for local businesses. The aim of the funding is to provide funding to small and medium sized businesses to enable them to source the skills solutions they require to develop and grow. An additional £30k investment to help cut red tape and enable local small businesses bid for council contracts has been identified in the emergency budget in line with the priority set out in the draft Council Plan
44. Achievement: The first year of the Super-Connected City (SCC) programme has seen the delivery of significant projects, funded principally by DCMS:

- Wifi and Public Transport. 80x buses had free wifi successfully installed in the last quarter of 2014/15
- Public Buildings Connectivity and Wifi. The installation of wifi and improved connectivity (principally Gigabit fibre connections) has been completed to 28 public buildings: the Art Gallery, Guild Hall, 11 sheltered Housing Schemes and 15 Community Hubs.
- City Centre Wifi. Phase 1 of the city centre wifi has been enhanced by the recent collaborative working with York University to extend the access to Eduroam via the city connect wifi platform.
- Connection Vouchers. The York Voucher Connection Scheme has always been seen as the mainstay of the national SCC programme. Over the first 12 months, 23 vouchers have been delivered allowing these SMEs to more than double their broadband speeds. For businesses supported by the voucher scheme/ grant the increased competition has lowered average monthly revenue costs for broadband service from £460 to £75.

45. Challenge: In York average weekly gross earnings of residents have fallen (from £520 to £479) but nationally pay has increased (to an average £521 a week). Regionally pay is static. In line with the approach proposed in the draft Council Plan, the Council is working with businesses to understand and address this trend, while also promoting the benefits of paying the Living Wage

Build Strong Communities

46. Achievement: The net number of additional homes provided increased to 523 in 2014/14 from 345 in 2013/14. Construction of a further 655 homes at Germany Beck moved a step closer after the Appeal Court denied further appeals to block development.

47. Achievement: York Central has been given Housing Zone status which gives the opportunity to accelerate development of up to 1,100 homes on brown-field land, as part of an emerging partnership between Network Rail and City of York Council.

48. Achievement: The Council has been awarded the Excellent Level of the Equality Framework for Local Government. Positive findings included members engaging directly with communities on equality and fairness issues and that the Council and employees have clear understanding of their role in the equalities agenda. However, more needs to be done. An action plan to address the issues identified in the review is being developed. It is intended that this will be approved by the responsible Executive Member in September. Work is also underway through the

Fairness and Equalities Board on a city-wide plan for equalities which will be launched later this year.

49. Challenge: The average number of days taken to remove obscene graffiti has increased to nearly 1.34 in Quarter 4 from 0.69 in 2013/14. Investment of £25k in additional city wide cleaning has been identified in the emergency budget.
50. Challenge: The attainment gap between pupils from deprived backgrounds and their peers continues to be an area of focus both nationally and in York. In 2014 the Key Stage 2 attainment gap in York narrowed (improved) but at Key Stage 4 it widened and is now the third worst of all Local Authorities in England. Analysis showed the widening of the gap was affected by several smaller pupil groups and the Council, schools and partners are investigating further. An additional £25k has been identified in the emergency budget to address this issue, in line with the priority set out in the draft Council Plan

Protect Vulnerable People

51. Achievement: The latest 2013/14 figures show Childhood Obesity is improving in York, while nationally they are worsening. However, while only around 8% of children starting school are obese, by the end of Primary School this has nearly doubled.
52. Achievement: By May 2015, all 315 of York's Phase 1 Troubled Families had been "turned around" or met outcomes for reducing crime, anti-social behaviour, absence from school and worklessness (99% nationally). Work on Phase 2 (targeting a further 1,030 families over 5 years) continues and has already identified over 300 additional Troubled Families. 52 families have entered the programme, with a further 175 required by March 2016.
53. Achievement: The percentage of pupils gaining five or more A*-C grades at GCSE (or equivalent), including English and Maths, is 62%. This is 6 percentage points above the national average and places York in the top spot in the Yorkshire and Humber region.
54. Achievement: The fourth national Stock Take on Care Act readiness has been completed and the outcome of consultation on Part 2 of Act will be released in July, following a spending review. Final guidance on the Care Act and its regulations may be delayed until later in the year.

55. Challenge: Delayed discharges from Hospital due to Adult Social Care have decreased to 6.4 per 100,000 population in Quarter 4 from 11.1 in Q4 2013/14. Despite the reduction, performance is likely to remain worse than regional and national averages which were 2.5 and 3.1 per 100,000 respectively in 13/14. The bottom-up review of health and adult social care proposed in the draft Council Plan and funded through the allocation of £50k within the emergency budget will help understand better the reasons for this performance and help address the underlying issues.
56. Challenge: In York an estimated 14.5% of 15 year olds are regular or occasional smokers, compared to the national estimate of 12.7%. The figures mirror adult smoking rates which are falling less rapidly in some areas, with smoking rates considerably higher in deprived communities. Smoking is the single biggest cause of the difference in life expectancy between the richest and poorest in England.

Protect the Environment

57. Achievement: A contract to build a new waste treatment facility was signed with AmeyCespa in November 2014. Construction will take 36 months and the facility should be operational in 2018, producing enough electricity to power 40,000 homes.
58. Achievement: A contract was also signed with a consortium, known locally as Better Homes York, to implement and promote the Green Deal. To launch the scheme in York, 80 Green Deal Communities Fund Vouchers will be offered which will help with the costs of installing green measures in homes.
59. Achievement: The council has been awarded an additional £475,760 from the Government to help convert older diesel buses into electric vehicles.
60. Challenge: The total cost of Landfill Tax for Household and Commercial waste increased to just under £4.2m (from £3.8m in 2013/14).
61. Challenge: Whilst performance on waste recycled and composted has improved slightly in 2014/15 to 44.11%, performance has not improved significantly and remains below best performance in 2011/12 (46.41%). The Council will carry out research on how promotional work has influenced the quality of material collected in waste services. The city centre kerbside recycling service is being reviewed to identify

barriers impacting participation. There is also a renewed focus on this issue in the draft Council Plan and emergency budget.

Get York Moving

62. Achievement: Evaluation of The Tour de France highlighted an estimated £102m benefit to the Yorkshire economy with around 1.8 million people feeling inspired to cycle more frequently. York's economy benefitted from £8.3m in spends over the weekend.
63. Achievement: the council's i-Travel York initiative, made possible by £4.6 million of government funding which the council successfully bid for in 2011, and a further £1million awarded last year, targets areas of the city where there are high numbers of short car trips to employment and retail destinations. 12,240 households have been engaged by Personal Travel Advisers to help them plan to travel sustainably.
64. Challenge: The percent of customers arriving at York Station by sustainable modes of transport (cycling, walking, taxi or bus) has decreased to 68.3% from 73% in 2013/14. The draft Council Plan sets out a continuing focus on sustainable transport in order to help address this. Extra support of £75k for local and rural bus travel has been included within the emergency budget.

Our Organisation

65. Achievement: New speech server telephony software has been introduced which improves the experience of callers using automated speech recognition. The technology could also be used to allow customers to navigate themselves to information they require without having to talk to a member of staff and opportunities for further deployment of this technology are being explored.
66. Achievement: Council Tax and Business Rate collection have improved throughout the year and are on a par with previous year levels at 97.5% and 98.2% respectively (both 98% in 2013/14).
67. Achievement: The Workforce Strategy 2012-2015 had five key themes, Skills and Behaviours, Recruitment and Retention, Pay, Reward and Recognition, Wellbeing and Engagement, and Performance and Change. Under each of the key themes, a range of measures have been delivered, such as the introduction of a Behavioural Standards Framework and a Rising Stars Programme for High Performers, a new staff discounts scheme with national and local discounts, the Living

Wage and the Living Wage allowance for apprentices, a Support through Change programme, and a new Performance Management Framework.

68. Challenge: Sickness in the Council averaged 11.4 days per employee between April and March, which is higher than 2013/14 (8.39 days).
69. Challenge: In Quarter 4 79.5% of telephone calls into the York Customer Centre were answered, 47.6% within 20 seconds. This is an improvement from 2013/14 when 76.4% of calls were answered, 42.5% in 20 seconds. Securing further improvements to performance in the Customer Centre is a priority in the draft Council Plan.

Implications

70. The financial implications are all dealt with in the body of the report.
71. There are no other specific implications of this report.

Recommendations

72. Members are asked to note the year end under spend of £688k and that this has been fully utilised in the emergency budget motion agreed by Council on the 16th July.

Reason: To ensure significant financial issues can be appropriately dealt with.

Authors:	Chief Officer Responsible for the report:		
Debbie Mitchell, Corporate Finance Manager, Ext 4161	Ian Floyd, Director for Customer & Business Support Services		
Sarah Kirby, Principal Accountant, Ext 1635			
Ian Cunningham Group Manager - Shared Intelligence Bureau, Ext 5749	Report Approved	√	Date 21 July 2015
Wards Affected: All			
For further information please contact the authors of the report			

Annex one – Performance Dashboards

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Our Organisation 2014/2015

Produced by the Shared Intelligence Bureau June 2015

Direction of Travel (DoT) shows the trend of how an indicator is performing against its Polarity over time

No of Indicators = 23

				Previous Years			2014/2015						
			Collection Frequency	2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT
Do it online	YCC026	Do it Online - Number of service requests (Data Unvalidated)	Weekly	-	15629	16969	3305	6931	3653	3080	-	Neutral	Neutral
	YCC027	Do it Online - Number of new user account created	Weekly	-	9,313	-	2503	3280	-	-	-	Up Is Good	Neutral
Phone Stats - YCC Total	YCC117	YCC % Calls answered in 20 seconds - TOTAL	Weekly	-	42.50%	47.60%	56.3%	29.6%	47.7%	59.7%	-	Up Is Good	Neutral
	YCC118	YCC % Calls Answered - TOTAL	Weekly	-	76.40%	79.50%	86.1%	65.6%	80.1%	88.4%	-	Up Is Good	Neutral
Finance	OCC01	% of council tax collected in year (cumulative) - (YTD)	Monthly	97.94%	97.58%	97.55%	29.51%	56.69%	85.39%	97.55%	97.80%	Up is Good	Neutral
		Benchmark - National Data	Annual	97.37%	96.96%	(Available July)	-	-	-	-	-		
	OCC02	Council tax receipts collected in year (cumulative) £ million - (YTD)	Monthly	82.85	87.21	90.27	27.65	53.47	79.75	90.27	-	Up is Good	Good
	OCC03	% of non-domestic rates collected in year - (YTD)	Monthly	98.02%	98.02%	98.20%	29.58%	56.70%	82.84%	98.20%	98.50%	Up is Good	Neutral
		Benchmark - National Data	Annual	97.73%	97.93%	(Available July)	-	-	-	-	-		
	OCC10	Non-domestic receipts collected in year £ million - (YTD)	Monthly	93.67	96.73	100.38	29.69	58.26	85.17	100.38	-	Up is Good	Good
	OCC05	% reduction in council tax prior year's balances - (YTD)	Monthly	35.29%	38.34%	33.78%	10.05%	15.02%	18.36%	33.78%	42.00%	Up is Good	Neutral
	OCC04	% reduction in non-domestic rates prior year's balances - (YTD)	Monthly	23.03%	47.27%	33.09%	9.24%	17.52%	22.56%	33.09%	42.00%	Up is Good	Neutral
	OCC06	Number of days taken to process Housing Benefit/Council Tax Benefit new claims and change events	Monthly	14.57	18	11	15	16	15	11	-	Up is Bad	Good
	OCC07	Benefit Reception Numbers	Monthly	2,314	1,868	1,848	1,771	1,836	1,616	1,848	-	Neutral	Neutral
	OCC08	Average Benefit Caseload for CYC	Monthly	15,123	13,919	13,103	13,685	13,427	13,331	13,103	-	Up is Bad	Good
OCC11	% of supplier invoices paid within 30 days	Monthly	94.93%	93.19%	96.48%	NC	93.90%	94.41%	96.48%	-	Up is Good	Good	
OCC09	CYC Apprenticeships	Annual	20	14	18	-	-	-	-	-	Up is Good	Neutral	
Staffing	STF01	Staff Headcount - CYC Total (Including Schools) - (Snapshot)	Monthly	-	7038	6096	6455	6200	6172	6096	-	Neutral	Neutral
	STF01a	Staff Headcount - CYC Total (Excluding Schools) - (Snapshot)	Monthly	-	-	2812	3155	2959	2906	2812	-	Neutral	Neutral
	STF08	Staff FTE - CYC Total (Including Schools) - (Snapshot)	Monthly	-	4562	3995	4182	4060	4043	3995	-	Neutral	Neutral
	STF08a	Staff FTE - CYC Total (Excluding Schools) - (Snapshot)	Monthly	-	-	2194	2405	2276	2249	2194	-	Neutral	Neutral
	STF32	Voluntary Turnover (%) - CYC Total (Including Schools)	Quarterly	-	-	8.50%	1.50%	3.70%	1.90%	1.30%	-	Up is Bad	Neutral
	STF32a	Voluntary Turnover - CYC Total (Excluding Schools)	Quarterly	-	-	7.00%	1.60%	2.70%	1.40%	1.30%	-	Up is Bad	Neutral
	CYC01	Average sickness days lost per FTE - CYC (Excluding Schools) - (YTD)	Monthly	-	8.39	11.39	2.7	5.16	8.48	11.39	-	Up is Bad	Bad
	EDU03	Average sickness days lost per FTE - Schools - (YTD)	Monthly	-	6.54	7.79	1.49	2.48	5.79	7.79	-	Up is Bad	Bad

Build Strong Communities 2014/2015

Produced by the Shared Intelligence Bureau June 2015

Direction of Travel (DoT) shows the trend of how an indicator is performing against its Polarity over time

No of Indicators = 32

			Previous Years			2014/2015					Polarity	DoT	
		Collection Frequency	2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target			
Building Works	<u>CAN062</u>	No of council homes in York failing to meet the decency standard	Annual	36	15	3	-	-	-	-	0	Up is Bad	Good
Educational Attainment	<u>102a</u>	%pt gap in achievement of Level 4+ Reading, Writing & Maths at Key Stage 2 between pupils eligible for FSM in the last 6 years and their peers - (Snapshot)	Annual	26%	19%	-	-	-	-	-	-	Up is Bad	Good
		Benchmark - National Data	Annual	19.00%	-	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	22.00%	-	-	-	-	-	-	-		
	<u>102b</u>	%pt gap in achievement of 5+A*-Cs GCSE (or equivalent) including English & Maths at Key Stage 4 between pupils eligible for free school meals in the past 6 years and their peers- (Snapshot)	Annual	32%	39%	-	-	-	-	-	22.00%	Up is Bad	Bad
		Benchmark - National Data	Annual	26.30%	26.70%	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	30.60%	30.60%	-	-	-	-	-	-		
Homelessness	<u>HOU101</u>	Number of homeless households in temporary accommodation - (Snapshot)	Quarterly	99	80	65	65	67	60	65	-	Up is Bad	Good
	<u>HOU102</u>	Number of homeless households with dependent children in temporary accommodation - (Snapshot)	Quarterly	47	45	41	32	37	36	41	-	Up is Bad	Good
	<u>HOU103</u>	Number of households for whom positive action has prevented homelessness - (YTD)	Quarterly	746	683	665	179	332	509	665	-	Up is Good	Neutral
	<u>HOU104</u>	Number of applicant households for which decisions were taken - (YTD)	Quarterly	218	180	188	37	81	129	188	-	Neutral	Neutral
	<u>HOU105</u>	Number of households accepted as homeless and in priority need - (YTD)	Quarterly	146	109	105	20	45	73	105	-	Up is Bad	Good
	<u>HOU106</u>	Number of 16-17 year olds accepted as homeless - (YTD)	Quarterly	2	1	1	0	1	1	1	-	Up is Bad	Neutral
Housing	<u>CAN061</u>	Number of new affordable homes delivered in York - (Year End Forecast)	Quarterly	115	50	136	N/A	185	185	136	-	Up is Good	Good
	<u>CAN200</u>	Number of council homes let by direct exchange - (YTD)	Monthly	216	247	153	49	91	116	153	-	Up is Good	Bad
	<u>CES09</u>	Net additional homes provided - (YTD)	Monthly	482	345	523	31	244	294	523	-	Up is Good	Neutral
	<u>HOU107</u>	Number of active applicants on North Yorkshire Home Choice who are registered with CYC (Waiting List) - (Snapshot)	Quarterly	4692	2306	1545	N/A	1344	1439	1545	-	Up is Bad	Good
Housing - Debt and	<u>HOU108</u>	Current council tenant arrears as % of annual rent due - (Snapshot)	Quarterly	1.62%	1.31%	1.61%	2.11%	2.34%	1.86%	1.61%	-	Up is Bad	Bad
	<u>HOU109</u>	% of rent collected (including current arrears brought forward) - (Snapshot)	Quarterly	97.90%	98.04%	97.84%	91.46%	95.27%	97.06%	97.84%	-	Up is Good	Neutral

Build Strong Communities 2014/2015

Produced by the Shared Intelligence Bureau June 2015

Direction of Travel (DoT) shows the trend of how an indicator is performing against its Polarity over time

No of Indicators = 32

				Previous Years			2014/2015						
			Collection Frequency	2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT
Libraries	<u>LIB01</u>	Library Visits - All Libraries	Monthly	1,005,595	1,043,285	799083	210367	184839	145449	258428	-	Up is Good	Bad
Public Realm	<u>CAN008</u>	Average days taken to remove obscene graffiti - (YTD)	Monthly	0.78	0.69	1.34	0.5	0.97	1.36	1.34	-	Up is Bad	Bad
	<u>CAN009</u>	Average days taken to remove non-obscene graffiti - (YTD)	Monthly	1.19	0.98	2.05	1.05	1.12	1.47	2.05	-	Up is Bad	Bad
Resident and Corporate Surveys	<u>BSC01</u>	Customer satisfaction that the quality of streets/public places is improving	Annual	63%	49%	-	-	-	-	-	-	Up is Good	Bad
	<u>BSC02</u>	Customer satisfaction on how we work to improve green spaces	Annual	60%	48%	-	-	-	-	-	-	Up is Good	Bad
	<u>BSC03</u>	% of residents who feel its important for them to feel part of their local community	Annual	70%	74%	-	-	-	-	-	-	Neutral	Neutral
	<u>BSC04</u>	% of CYC residents stating it's important residents can influence decisions in their local area	Annual	75%	86%	-	-	-	-	-	-	Up is Good	Good
	<u>BYS001</u>	% of residents who agree that they can influence decisions in their local area - Agree (All Responses)	Annual	29%	24%	-	-	-	-	-	-	Up is Good	Bad
	<u>BYS053</u>	% of residents who are satisfied with their local area as a place to live - Satisfied (All Responses)	Annual	91%	83%	-	-	-	-	-	-	Up is Good	Bad
	<u>BYS079</u>	% of residents who agree that they belong to their local area - Agree (All Responses)	Annual	55%	54%	-	-	-	-	-	-	Up is Good	Neutral
	<u>BYS105</u>	% of residents who agree their local area is a place where people from different backgrounds get on well together - Agree (All Responses)	Annual	73%	58%	-	-	-	-	-	-	Up is Good	Bad
	<u>BYS131</u>	% of residents who agree that York is a safe city to live in, relatively free from crime and violence - Agree (All Responses)	Annual	74%	80%	-	-	-	-	-	-	Up is Good	Good
	<u>BYS254</u>	% of residents who volunteer at least once a month (All Responses)	Annual	26%	33%	-	-	-	-	-	-	Up is Good	Good
	<u>BYS300</u>	% of residents who agree their local area is a safe place to live (All Responses)	Annual	79%	79%	-	-	-	-	-	-	Up is Good	Neutral
	<u>BYS301</u>	% that think CYC/partners are doing well at reducing crime and anti social behaviour	Annual	56%	48%	-	-	-	-	-	-	Up is Good	Bad
	<u>BYS302</u>	% of CYC residents think CYC/partners are working well to make communities safer	Annual	54%	45%	-	-	-	-	-	-	Up is Good	Bad
Tenant Satisfaction Survey	<u>TSS35</u>	% of tenants satisfied that their landlord listens to their views and acts on them	Annual	67.30%	61.57%	61.26%	-	-	-	61.26%	-	Up is Good	Neutral

			Previous Years			2014/2015							
			2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT	
		Collection Frequency											
Benefits	CJGE06	JSA Claimants: % of Working Age Population (16-64)	Monthly	2.30%	1.60%	0.80%	1.20%	1.00%	0.90%	0.80%	-	Up is Bad	Good
		Benchmark - National Data	Monthly	3.80%	2.90%	2.00%	2.40%	2.20%	1.90%	2.00%	-		
		Benchmark - Regional Data	Monthly	4.90%	3.80%	2.70%	3.20%	2.90%	2.70%	2.70%	-		
	CJGE07	JSA Claimants: % of Working Age Population (18-24)	Monthly	2.60%	1.50%	0.70%	0.90%	1.10%	0.80%	0.70%	-	Up is Bad	Good
		Benchmark - National Data	Monthly	7.10%	5.00%	3.10%	3.90%	3.70%	3.00%	3.10%	-		
		Benchmark - Regional Data	Monthly	9.00%	6.40%	4.20%	5.10%	4.90%	4.00%	4.20%	-		
	CJGE08	JSA Claimants: % of Working Age Population (16-64) (Over one year)	Monthly	0.50%	0.40%	0.20%	0.30%	0.30%	0.20%	0.20%	-	Up is Bad	Good
		Benchmark - National Data	Monthly	1.00%	0.80%	0.50%	0.70%	0.70%	0.60%	0.50%	-		
		Benchmark - Regional Data	Monthly	1.40%	1.20%	0.80%	1.10%	1.00%	0.90%	0.80%	-		
	CJGE38	Total Benefit Claimants (Working Age 16-64)	Quarterly	11,510	10,670	(Available Aug 2015)	10,180	10,000	9,840	(Available Aug 2015)	-	Up is Bad	Neutral
	CJGE09	% Total Benefit Claimants (Working Age 16-64)	Quarterly	8.60%	7.90%	(Available Aug 2015)	7.60%	7.40%	7.30%	(Available Aug 2015)	-	Up is Bad	Good
		Benchmark - National Data	Quarterly	14.30%	13.30%	(Available Aug 2015)	12.90%	12.70%	12.50%	(Available Aug 2015)	-		
		Benchmark - Regional Data	Quarterly	15.90%	14.90%	(Available Aug 2015)	14.40%	14.20%	13.90%	(Available Aug 2015)	-		
	CJGE39	Lone Parents (Working Age 16-64)	Quarterly	910	850	(Available Aug 2015)	840	820	810	(Available Aug 2015)	-	Up is Bad	Good
	CJGE10	% Lone Parents (Working Age 16-64)	Quarterly	0.70%	0.60%	(Available Aug 2015)	0.60%	0.60%	0.60%	(Available Aug 2015)	-	Up is Bad	Good
		Benchmark - National Data	Quarterly	1.30%	1.20%	(Available Aug 2015)	1.20%	1.20%	1.10%	(Available Aug 2015)	-		
		Benchmark - Regional Data	Quarterly	1.30%	1.30%	(Available Aug 2015)	1.30%	1.30%	1.30%	(Available Aug 2015)	-		
	CJGE11	Workless Households % of all Households	Discontinued	13.20%	-	-	-	-	-	-	-	Up is Bad	Neutral
Business	CJGE22	Number of vacant city centre shops	Monthly	40	42	40	46	45	45	40	-	Up is Bad	Neutral
	CJGE23	% of vacant city centre shops	Monthly	5.95%	6.25%	5.99%	6.90%	6.75%	6.73%	5.99%	-	Up is Bad	Neutral
	CJGE27	Total Businesses	Annual	8,010	8,135	8,105	-	-	8,105	-	-	Up is Good	Neutral
	CJGE28	Business Births	Annual	720	945	(Available Nov 2015)	-	-	-	-	-	Up is Good	Good
	CJGE29	Business Deaths	Annual	635	600	(Available Nov 2015)	-	-	-	-	-	Up is Bad	Neutral
	CJGE30	GVA per head (£)	Annual	23,084	23,483	(Available Dec 2015)	-	-	-	-	-	Up is Good	Good
	CJGE31	Total GVA (£ billion)	Annual	4.62	4.75	(Available Dec 2015)	-	-	-	-	-	Up is Good	Good
	CJGE32	Business Startups - (YTD)	Monthly	1,494	1,155	1,144	324	613	867	1,144	-	Up is Good	Bad
	CFC04	Business stock per 10,000 population (Rank out of 64)	Annual	20	19	19	-	-	19	-	-	Up is Bad	Neutral

Create Jobs and Grow the Economy 2014/2015

Produced by the Shared Intelligence Bureau June 2015

Direction of Travel (DoT) shows the trend of how an indicator is performing against its Polarity over time

No of Indicators = 36

			Previous Years			2014/2015							
			Collection Frequency	2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT
Centre for Cities	<u>CFC12</u>	Total CO2 emissions per capita (t) (Rank out of 64)	Annual	20	21	18	-	-	18	-	-	Up is Bad	Neutral
	<u>CFC17</u>	Employment rate (%) (Rank out of 64)	Annual	2	16	12	-	-	12	-	-	Up is Bad	Neutral
	<u>CFC23</u>	Working age population with qualification at NVQ4+ (%) (Rank out of 64)	Annual	7	7	9	-	-	9	-	-	Up is Bad	Bad
Deprivation and		Proportion of Children in Child Poverty (HMRC)	Annual	11.10%	-	-	-	-	-	-	-	Up is Bad	Good
	<u>CJGE13</u>	Benchmark - National Data	Annual	18.60%	-	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	20.00%	-	-	-	-	-	-	-		
Earnings	<u>CJGE14</u>	Median earnings of residents – Gross Weekly Pay (£)	Annual	523.10	526.50	478.70	-	478.70	-	-	-	Up is Good	Bad
		Benchmark - National Data	Annual	508.3	517.9	520.8	-	520.8	-	-	-		
		Benchmark - Regional Data	Annual	465.2	479.1	479.0	-	479.0	-	-	-		
	<u>CJGE15</u>	Median earnings of residents (% difference between York & GB)	Annual	2.83%	1.63%	-8.79%	-	-8.79%	-	-	-	Up is Good	Bad
<u>CJGE16</u>	Earnings gap between the 25 percentile and the median (£) (York)	Annual	244.10	237.90	181.70	-	181.70	-	-	-	Up is Bad	Good	
Education (Adult)	<u>CJGE17</u>	% of working age population qualified - No qualifications	Annual	6.50%	6.90%	4.80%	-	-	4.80%	-	-	Up is Bad	Neutral
		Benchmark - National Data	Annual	9.70%	9.40%	8.80%	-	-	8.80%	-	-		
		Benchmark - Regional Data	Annual	11.60%	10.60%	9.80%	-	-	9.80%	-	-		
	<u>CJGE18</u>	% of working age population qualified - to at least L2 and above*	Annual	79.80%	80.30%	82.60%	-	-	82.60%	-	-	Up is Good	Good
		Benchmark - National Data	Annual	71.80%	72.40%	73.30%	-	-	73.30%	-	-		
		Benchmark - Regional Data	Annual	68.50%	69.30%	70.00%	-	-	70.00%	-	-		
	<u>CJGE19</u>	% of working age population qualified - to at least L3 and above*	Annual	65.60%	65.80%	68.40%	-	-	68.40%	-	-	Up is Good	Good
		Benchmark - National Data	Annual	54.90%	55.70%	56.70%	-	-	56.70%	-	-		
		Benchmark - Regional Data	Annual	51.20%	51.50%	52.10%	-	-	52.10%	-	-		
	<u>CJGE20</u>	% of working age population qualified - to at least L4 and above*	Annual	41.20%	40.20%	40.30%	-	-	40.30%	-	-	Up is Good	Neutral
	Benchmark - National Data	Annual	34.20%	35.10%	36.00%	-	-	36.00%	-	-			
	Benchmark - Regional Data	Annual	29.40%	29.80%	29.70%	-	-	29.70%	-	-			
<u>CJGE01</u>	Total In Employment	Annual	104,600	105,400	(Available Sep 2015)	-	-	-	-	-	Up is Good	Neutral	
<u>CJGE02</u>	Total Employee Jobs	Annual	101,600	102,400	(Available Sep 2015)	-	-	-	-	-	Up is Good	Neutral	
<u>CJGE03</u>	York's unemployment rate below the national	Quarterly	1.70%	2.00%	(Available Sep 2015)	1.90%	1.50%	1.60%	-	-	Up is Good	Neutral	
	% of Full-time employees	Quarterly	67.70%	65.80%	(Available Jun 2015)	66.00%	64.70%	66.80%	-	-	Up is Good	Neutral	

Create Jobs and Grow the Economy 2014/2015

Produced by the Shared Intelligence Bureau June 2015

Direction of Travel (DoT) shows the trend of how an indicator is performing against its Polarity over time

No of Indicators = 36

			Previous Years			2014/2015					Polarity	DoT	
		Collection Frequency	2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target			
Employment	CJGE04	Benchmark - National Data	Quarterly	73.70%	73.90%	(Available Jun 2015)	74.10%	74.10%	74.10%	-	-		
		Benchmark - Regional Data	Quarterly	72.40%	72.70%	(Available Jun 2015)	73.00%	72.80%	72.60%	-	-		
		% of Part time employees	Quarterly	32.20%	33.80%	(Available Jun 2015)	33.40%	34.60%	32.40%	-	-	Up is Bad	Neutral
	CJGE05	Benchmark - National Data	Quarterly	25.80%	25.60%	(Available Jun 2015)	25.50%	25.50%	25.60%	-	-		
		Benchmark - Regional Data	Quarterly	26.90%	26.70%	(Available Jun 2015)	26.50%	26.70%	26.90%	-	-		
	CJGE21	% of young people not in education, employment or training	Annual	4.90%	4.20%	4.70%	-	-	-	-	-	Up is Bad	Neutral
		Benchmark - National Data	Annual	5.80%	5.30%	4.7%	-	-	-	-	-		
		Benchmark - Regional Data	Annual	6.30%	-	5.1%	-	-	-	-	-		
Safeguarding (Young People)	CJGE12	Children under 16 in Workless Households	Discontinued	6.10%	7.60%	-	-	-	-	-	Up is Bad	Neutral	
Tourism	TOU14	Parliament Street Footfall	Monthly	7,941,059	7,844,253	9,616,941	2,297,279	3,081,726	2,578,661	1,896,562	9,854,228	Up is Good	Good

Get York Moving 2014/2015

Produced by the Shared Intelligence Bureau June 2015

Direction of Travel (DoT) shows the trend of how an indicator is performing against its Polarity over time

No of Indicators = 15

				Previous Years			2014/2015						
				2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT
				Collection Frequency									
Highways Maintenance	CES03	% of road and pathway network that are grade 3 (poor condition) - roadways	Annual	15%	16%	-	-	-	-	-	-	Up is Bad	Neutral
	CES04	% of road and pathway network that are grade 3 (poor condition) - pathways	Annual	5%	4%	-	-	-	-	-	-	Up is Bad	Neutral
	CES05	% of Principal roads where maintenance should be considered (NI 168)	Annual	2%	2%	-	-	-	-	-	-	Up is Bad	Neutral
	CES06	% of Non-principal classified roads where maintenance should be considered (NI 169)	Annual	5%	4%	-	-	-	-	-	-	Up is Bad	Good
	CES07	% of Unclassified roads where maintenance should be considered (old BV224b)	Annual	10%	10%	-	-	-	-	-	-	Up is Bad	Neutral
		Benchmark - National Data	Annual	17%	-	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	17%	-	-	-	-	-	-	-		
Public Transport	CAN031	LI 3 b - Bus journeys originating in the authority area (P&R only) - (YTD - Provisional until financial year end)	Monthly	4.38m	4.45m	4.51m	1,073,606	2,234,072	3,496,653	4,511,191	-	Up is Good	Neutral
	CAN032	LI 3 a- Local bus passenger journeys originating in the authority area (excluding P&R) - (YTD- Provisional until financial year end)	Monthly	9.70m	10.38m	10.48m	2,646,871	5,223,918	8,225,516	10,479,956	-	Up is Good	Neutral
	CAN032-A	Total Number of Bus Journeys (YTD) - (Provisional until financial year end)- this is not a local indicator and is not comparable with the DfT published figure	Monthly	14.08m	14.83m	-	3,719,830	7,457,343	11,721,552	-	-	Up is Good	Neutral
	CAN033	LI 22a - Proportion of non frequent scheduled services on time - DfT Published Figure	Annual	82.0%	84%	-	-	-	-	-	-	Up is Good	Good
	CAN034	LI 22 - Bus Services Running on Time (The average excess waiting time) DfT published figure (Minutes and seconds - decimal)	Annual	0.9	0.6	-	-	-	-	-	-	Up is Good	Neutral
Sustainable Travel	CES26	Index of cycling activity (AM Peak) (Calendar Year) (Baseline 2009)	Annual	115%	122%	129%	-	-	-	-	-	Up is Good	Good
	CES27	Index of cycling activity (PM Peak) (Calendar Year) (Baseline 2009)	Annual	115%	123%	125%	-	-	-	-	-	Up is Good	Good
	CES28	Index of cycling activity (12 hour) (Calendar Year) (Baseline 2009)	Annual	115%	125%	128%	-	-	-	-	-	Up is Good	Good
	CES33	Pedestrians crossing the inner cordon (12hr into & out of city centre) Indexed baseline 2009/10	Annual	105.5%	106.4%	106.6%	-	-	-	-	103%	Up is Good	Good
	CES34	% of customers arriving at York Station by sustainable modes of transport (cycling, walking, taxi or bus - excluding cars, Lift, Motorcycle, Train) (LI 4)	Annual	76.30%	73.00%	-	-	-	-	68.30%	-	Up is Good	Bad

Protect the Environment 2014/2015

Produced by the Shared Intelligence Bureau June 2015

Direction of Travel (DoT) shows the trend of how an indicator is performing against its Polarity over time

No of Indicators = 25

			Previous Years			2014/2015					Polarity	DoT	
			2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target			
		Collection Frequency											
Climate Change	<u>CES01</u>	Assessment of how the council is adapting to climate change (Level Number)	Annual	1	1	-	-	1 (forecast)	-	-	2	Up is Good	Neutral
	<u>CES02</u>	Reduction in CO2 through investing in more efficient street lighting	Annual	-13.64%	-	-	-	-	-	-	25% Over 5 Years	Up is Bad	Good
	<u>CES020</u>	York's CO2 per head of population (tonnes)	Annual	5.3 (2011)	5.6 (2012)	-	-	-	-	-	-	Up is Bad	Neutral
Natural Environment	<u>CAN028</u>	The maximum Nitrogen Dioxide concentration in Salisbury Terrace (ug/m3)	Annual	36.08	37.60	-	-	-	-	-	-	Up is Bad	Neutral
	<u>CAN028 a</u>	The maximum Nitrogen Dioxide concentration in Prices/Nunnery Lane (ug/m3)	Annual	40.83	42.00	-	-	-	-	-	-	Up is Bad	Neutral
	<u>CAN028 b</u>	The maximum Nitrogen Dioxide concentration in Blossom St/Holgate (ug/m3)	Annual	51.59	49.18	-	-	-	-	-	-	Up is Bad	Good
	<u>CAN028 c</u>	The maximum Nitrogen Dioxide concentration in Fishergate/Paragon (ug/m3)	Annual	39.97	45.22	-	-	-	-	-	-	Up is Bad	Neutral
	<u>CAN028 d</u>	The maximum Nitrogen Dioxide concentration in Lawrence St (ug/m3)	Annual	47.45	46.97	-	-	-	-	-	-	Up is Bad	Neutral
	<u>CAN028 e</u>	The maximum Nitrogen Dioxide concentration in Fulford (ug/m3)	Annual	36.29	39.46	-	-	-	-	-	-	Up is Bad	Neutral
	<u>CAN028 f</u>	The maximum Nitrogen Dioxide concentration in Gillygate / LMW (ug/m3)	Annual	50.71	52.17	-	-	-	-	-	-	Up is Bad	Neutral
	<u>CAN028 g</u>	The maximum Nitrogen Dioxide concentration in Rougier St/GHS (ug/m3)	Annual	50.85	54.75	-	-	-	-	-	-	Up is Bad	Neutral
	<u>CES11</u>	Active management of local sites to improve bio-diversity in the York area	Discontinued	-	-	-	-	-	-	-	-	Neutral	Neutral
	<u>CES12</u>	% of conservation areas with an up to date character appraisal	Discontinued	-	-	-	-	-	-	-	-	Up is Good	Neutral
<u>CES13</u>	% of new homes built on previously developed land - (YTD)	Monthly	73.00%	84.00%	70.17%	93.55%	74.59%	74.15%	70.17%	65.00%	Up is Good	Neutral	

Produced by the Shared Intelligence Bureau June 2015

Direction of Travel (DoT) shows the trend of how an indicator is performing against its Polarity over time

No of Indicators = 25

			Previous Years			2014/2015							
			2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT	
		Collection Frequency											
Waste	<u>CES35</u>	Residual household waste (kg per HH) - (YTD)	Quarterly	541kg	559kg	-	546 Kg (forecast)	547kg (forecast)	549kg (forecast)	-	545kg	Up is Bad	Good
		Benchmark - National Data	Annual	551kg	555kg	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	543kg	534kg	-	-	-	-	-	-		
	<u>CES36</u>	Household waste recycled / composted- (YTD)	Quarterly	45.96%	43.63%	-	44.68% (forecast)	44.58% (forecast)	44.45% (forecast)	-	47.61%	Up is Good	Neutral
		Benchmark - National Data	Annual	43.22%	43.45%	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	43.31%	43.85%	-	-	-	-	-	-		
	<u>CES37</u>	Municipal waste landfilled - (YTD)	Quarterly	53.76%	55.83%	-	55.51% (forecast)	55.71% (forecast)	55.63% (forecast)	-	51.56	Up is Bad	Neutral
		Benchmark - National Data	Annual	33.89%	30.93%	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	38.17%	34.71%	-	-	-	-	-	-		
	<u>CES38</u>	Total tonnes of municipal waste collected (household, commercial, prescribed and inert waste) - (YTD)	Quarterly	97,000	93,830	93,430	94,200 (forecast)	93,950 (forecast)	94,300 (forecast)	93,430	-	Neutral	Neutral
	<u>CES39</u>	Tonnes of Landfilled waste - Household (excluding liquid waste) - (YTD)	Quarterly	45,930	46,850	46,740	46,550 (forecast)	46,620 (forecast)	46,740 (forecast)	46,740	-	Up is Bad	Neutral
	<u>CES40</u>	Tonnes of Landfilled waste - Commercial collection rounds - (YTD)	Quarterly	6,220	5,620	5,630	5,730 (forecast)	5,720 (forecast)	5,720 (forecast)	5,630	-	Up is Bad	Neutral
	<u>CES41</u>	Tonnes of Landfilled waste - Combined (excluding liquid waste)	Quarterly	52,150	52,470	52,370	52,280 (forecast)	52,340 (forecast)	52,460 (tonnes)	52,370	-	Up is Bad	Neutral
	<u>CES42</u>	Cost of landfill tax - Household (excluding liquid waste)	Quarterly	£2,939,520	£3,373,200	£3,739,200	£3,724,000 (forecast)	£3,729,600 (forecast)	£3,739,200 (forecast)	£3,739,200	-	Up is Bad	Bad
	<u>CES43</u>	Cost of landfill tax - Commercial collection rounds	Quarterly	£398,080	£404,640	£450,400	£458,400 (forecast)	£457,600 (forecast)	£457,600 (forecast)	£450,400	-	Up is Bad	Bad
<u>CES44</u>	Cost of landfill tax - Combined (excluding liquid waste)	Quarterly	£3,337,600	£3,777,840	£4,189,600	£4,182,240 (forecast)	£4,187,200 (forecast)	£4,196,800 (forecast)	£4,189,600	-	Up is Bad	Bad	
<u>CES45</u>	% of properties offered 2 kerbside recycle collections - (YTD)	Quarterly	98.70%	98.80%	99%	99% (forecast)	99% (forecast)	99% (forecast)	99%	-	Up is Good	Good	

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			Previous Years			2014/2015							
			2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT	
		Collection Frequency											
Adult Social Care	PVP01	People supported through personal budgets or direct payments on 31 March 2014 receiving community-based services (%) (ADASS Survey definition)	Monthly	-	84.13%	91.29%	87.92%	91.14%	88.57%	91.29%	85.00%	Up is Good	Neutral
	PVP02	Number of permanent admissions to residential & nursing care homes for older people (65+)	Monthly	-	-	241	70	58	60	53	-	Up is Bad	Neutral
	PVP04	Total number of Acute delayed discharges (YDH only) - (Snapshot)	Monthly	-	-	120	25	27	42	26	-	Up is Bad	Good
	PVP05	Total number of reimbursable CYC delays (attributable to CYC) (YDH Only) - (Snapshot)	Monthly	-	-	115	22	35	44	14	-	Up is Bad	Good
	PVP06	Reablement - assessments to be completed within 6 weeks of referral	Monthly	-	-	26.84%	37.95%	58.49%	34.08%	26.84%	-	Up is Good	Neutral
	PVP07	OT/OTA assessments - to be completed within 28 days	Monthly	-	-	95.87%	97.78%	98.70%	97.89%	95.87%	-	Up is Good	Neutral
	PVP08	People supported to live independently through social services PACKAGES OF CARE	Monthly	1,784	1,753	1487	1,830	1806	1501	1487	-	Neutral	Neutral
	PVP09	People supported to live independently through social services PREVENTION	Monthly	2,822	2,570	2643	2,520	2582	2668	2643	-	Neutral	Neutral
	PHOF15	% of adult social care users who have as much social contact as they would like	Annual	42.7	43.00	-	-	-	-	-	-	Up is Good	Neutral
	Benchmark - National Data	Annual	43.2	44.50	-	-	-	-	-	-			
	Benchmark - Regional Data	Annual	45.4	44.20	-	-	-	-	-	-			
Adult	ASCOF1	% of adults with learning disabilities in paid employment	Annual	8.70%	7.70%	13.72%	-	-	-	-	-	Up is Good	Good
	E	Benchmark - National Data	Annual	7.00%	6.70%	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	6.50%	6.20%	-	-	-	-	-	-		
	ASCOF1	% of adults with learning disabilities who live in their own home or with family	Annual	63.20%	82.60%	91.77%	-	-	-	-	-	Up is Good	Good
	G	Benchmark - National Data	Annual	73.50%	74.90%	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	77.90%	79.20%	-	-	-	-	-	-		
	ASCOF2	Permanent admissions to residential and nursing care homes for younger adults (18-64), per 100,000 population	Annual	7.7	11.5	13.04	-	-	-	-	-	Up is Bad	Bad
	A1	Benchmark - National Data	Annual	15	14.4	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	15.3	11	-	-	-	-	-	-		
	ASCOF2	Permanent admissions to residential and nursing care homes for older people (65+), per 100,000 population	Annual	617.7	767.5	692.43	-	-	-	-	-	Up is Bad	Neutral
A2	Benchmark - National Data	Annual	697.2	650.6	-	-	-	-	-	-			
	Benchmark - Regional Data	Annual	680.3	644.1	-	-	-	-	-	-			

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Collection Frequency													
Social Care Outcomes Framework	ASCOF2 B1	% of older people (65+) who were still at home 91 days after discharge from hospital into reablement/rehabilitation services	Annual	69.80%	80.90%	81.48%	-	-	-	-	-	Up is Good	Good
		Benchmark - National Data	Annual	81.40%	82.50%	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	81.50%	85.30%	-	-	-	-	-	-		
	ASCOF2 B2	% of older people (65 and over) who were offered reablement services following discharge from hospital	Annual	0.70%	1.10%	-	-	-	-	-	-	Up is Good	Good
		Benchmark - National Data	Annual	3.20%	3.30%	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	2.00%	1.90%	-	-	-	-	-	-		
	ASCOF2 C1	Delayed transfers of care from hospital, per 100,000 population - (Snapshot)	Monthly	18.2	17.6	11.89	13.01	13.01	13.15	11.89	-	Up is Bad	Good
		Benchmark - National Data	Annual	9.4	9.6	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	7.8	9.1	-	-	-	-	-	-		
	ASCOF2 C2	Delayed transfers of care from hospital which are attributable to adult social care, per 100,000 population - (Snapshot)	Monthly	10.7	11.1	6.35	5.08	6.20	7.25	6.35	-	Up is Bad	Good
		Benchmark - National Data	Annual	3.2	3.1	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	2.3	2.5	-	-	-	-	-	-		
	ASCOF4 A	% of people who use services who feel safe	Annual	61.80%	63.40%	62.00%	-	-	-	-	-	Up is Good	Neutral
		Benchmark - National Data	Annual	65.10%	66.00%	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	67.30%	66.20%	-	-	-	-	-	-		
	ASCOF3 A	Overall satisfaction of people who use services with their care and support	Annual	65.80%	67.40%	67.00%	-	-	-	-	-	Up is Good	Neutral
		Benchmark - National Data	Annual	64.10%	64.80%	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	65.40%	65.80%	-	-	-	-	-	-		
PHOF03	Alcohol related admissions to hospital (per 100,000 population)	Annual	594.09	658	-	-	-	-	-	Reduce	Up is Bad	Bad	
	Benchmark - National Data	Annual	636.85	645	-	-	-	-	-	-			
	Benchmark - Regional Data	Annual	687.88	697	-	-	-	-	-	-			
LAPE01	Months of life lost due to alcohol: Males aged less than 75 years	Annual	11.91	11.69	-	-	-	-	-	-	Up is Bad	Bad	
	Benchmark - National Data	Annual	11.49	11.97	-	-	-	-	-	-			
	Benchmark - Regional Data	Annual	12.26	12.98	-	-	-	-	-	-			
LAPE02	Months of life lost due to alcohol: Females aged less than 75 years	Annual	5.54	5.65	-	-	-	-	-	-	Up is Bad	Bad	
	Benchmark - National Data	Annual	5.38	5.58	-	-	-	-	-	-			
LAPE03	Alcohol-specific mortality: Males, all ages (per 100,000 population)	Annual	13.28	14.60	-	-	-	-	-	-	Up is Bad	Neutral	

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		Collection Frequency	2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target			
Alcohol	LAPE03	Benchmark - National Data	Annual	14.57	16.61	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	15.80	18.13	-	-	-	-	-	-		
		Alcohol-specific mortality: Females, all ages (per 100,000 population)	Annual	6.83	7.86	-	-	-	-	-	-	Up is Bad	Bad
	LAPE04	Benchmark - National Data	Annual	6.78	7.47	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	7.49	8.73	-	-	-	-	-	-		
		Alcohol-related mortality: Males, all ages (per 100,000 population)	Annual	58.79	60.05	-	-	-	-	-	-	Up is Bad	Neutral
	LAPE07	Benchmark - National Data	Annual	63.20	65.43	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	66.95	68.36	-	-	-	-	-	-		
		Alcohol-related mortality: Females, all ages (per 100,000 population)	Annual	27.16	26.12	-	-	-	-	-	-	Up is Bad	Neutral
	LAPE08	Benchmark - National Data	Annual	28.05	28.42	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	28.07	30.27	-	-	-	-	-	-		
		Under 18s admitted to hospital with alcohol-specific conditions (per 100,000 population)	Annual	28.86	30.50	-	-	-	-	-	-	Up is Bad	Good
	LAPE09	Benchmark - National Data	Annual	44.88	40.10	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	44.14	38.10	-	-	-	-	-	-		
		Admitted to hospital with alcohol-specific conditions: Males, all ages (per 100,000 population)	Annual	387.16	449.00	-	-	-	-	-	-	Up is Bad	Good
LAPE10	Benchmark - Regional Data	Annual	521.67	535.00	-	-	-	-	-	-			
	Admitted to hospital with alcohol-specific conditions: Females, all ages (per 100,000 population)	Annual	219.11	251.00	-	-	-	-	-	-	Up is Bad	Neutral	
LAPE11	Benchmark - National Data	Annual	232.26	241.00	-	-	-	-	-	-			
	Benchmark - Regional Data	Annual	243.63	255.00	-	-	-	-	-	-			
	Admitted to hospital with alcohol-related conditions (Broad): Males, all ages (per 100,000 population)	Annual	1283.52	1480.00	-	-	-	-	-	-	Up is Bad	Good	
LAPE12	Benchmark - National Data	Annual	1676.33	1715.00	-	-	-	-	-	-			
	Benchmark - Regional Data	Annual	1752.53	1815.00	-	-	-	-	-	-			
	Admitted to hospital with alcohol-related conditions (Broad): Females, all ages (per 100,000 population)	Annual	662.22	738.00	-	-	-	-	-	-	Up is Bad	Neutral	
LAPE13	Benchmark - National Data	Annual	831.84	859.00	-	-	-	-	-	-			
	Benchmark - Regional Data	Annual	865.69	904.00	-	-	-	-	-	-			
	Admitted to hospital with alcohol-related conditions (Narrow): Males, all ages (per 100,000 population)	Annual	494.32	529.00	-	-	-	-	-	-	Up is Bad	Neutral	
LAPE14	Benchmark - National Data	Annual	588.98	594.00	-	-	-	-	-	-			
	Benchmark - Regional Data	Annual	623.75	629.00	-	-	-	-	-	-			
	Admitted to hospital with alcohol-related conditions (Narrow): Females, all ages (per 100,000 population)	Annual	285.66	311.00	-	-	-	-	-	-	Up is Bad	Neutral	
LAPE15													

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<u>LAPE15</u>	Benchmark - National Data	Annual	305.67	310.00	-	-	-	-	-	-			
	Benchmark - Regional Data	Annual	317.47	322.00	-	-	-	-	-	-			
<u>LAPE16</u>	Admitted to hospital episodes with alcohol-related conditions (Broad): Persons, all ages (per 100,000 population)	Annual	1617.17	1995.00	-	-	-	-	-	-	Up is Bad	Bad	
	Benchmark - National Data	Annual	2031.76	2111.00	-	-	-	-	-	-			
	Benchmark - Regional Data	Annual	2139.00	2276.00	-	-	-	-	-	-			
<u>LAPE17</u>	Admitted to hospital episodes with alcohol-related conditions (Narrow): Persons, all ages (per 100,000 population)	Annual	594.09	658.00	-	-	-	-	-	-	Up is Bad	Bad	
	Benchmark - National Data	Annual	636.85	645.00	-	-	-	-	-	-			
	Benchmark - Regional Data	Annual	687.88	697.00	-	-	-	-	-	-			
<u>LAPE18</u>	Alcohol-related recorded crimes: Persons, all ages (per 1,000 population)	Annual	4.85	-	-	-	-	-	-	-	Up is Bad	Good	
	Benchmark - National Data	Annual	5.74	-	-	-	-	-	-	-			
	Benchmark - Regional Data	Annual	5.42	-	-	-	-	-	-	-			
<u>LAPE19</u>	Alcohol-related violent crimes: Persons, all ages (per 1,000 population)	Annual	3.63	-	-	-	-	-	-	-	Up is Bad	Good	
	Benchmark - National Data	Annual	3.93	-	-	-	-	-	-	-			
	Benchmark - Regional Data	Annual	3.4	-	-	-	-	-	-	-			
<u>LAPE20</u>	Alcohol-related sexual crimes: Persons, all ages (per 1,000 population)	Annual	0.13	-	-	-	-	-	-	-	Up is Bad	Neutral	
	Benchmark - National Data	Annual	0.12	-	-	-	-	-	-	-			
	Benchmark - Regional Data	Annual	0.13	-	-	-	-	-	-	-			
Children's Social Care	<u>CYPL1</u>	Total numbers of out of authority placements reducing due to the provision of enhanced local provision	Quarterly	29	22	25	22	24	26	25	20	Up is Bad	Bad
	<u>CYPL30</u>	Total Cost of out of authority placements	Annual	431,041	881,882	1,179,013	-	-	-	-	-	Up is Bad	Bad
	<u>EFL10</u>	Average cost per looked after child (£)	Annual	21,277	20,588	24,939	-	-	-	-	-	Up is Bad	Bad
	<u>65</u>	% of children becoming the subject of a Child Protection Plan for a second or subsequent time - (YTD)	Quarterly	19.20%	10.90%	12.20%	17.60%	13.30%	13.60%	12.20%	9%	Up is Bad	Neutral
		Benchmark - National Data	Annual	13.13%	14.66%	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	10.80%	12.43%	-	-	-	-	-	-		
	<u>147</u>	% of care leavers in suitable accommodation ADD 19,20 & 21 - (YTD)	Quarterly	100.00%	100.00%	85.20%	92.30%	92.00%	95%	85.20%	100%	Up is Good	Neutral
		Benchmark - National Data	Annual	88.30%	88.00%	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	88.20%	89.00%	-	-	-	-	-	-		

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		Collection Frequency	2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target			
	<u>CSB38</u>	Number of children provided with one-to-one support by IDAS	Quarterly	-	-	-	130	107	69	-	-	Neutral	Neutral
Children's Social Care - Adoptions	<u>CSS7</u>	% of adopted children who wait less than 20 months between entering care and moving in with adoptive family - (YTD) - (New for 2014/2015)	Quarterly	-	-	62.22%	59%	33.00%	67.50%	62.22%	-	Up is Good	Neutral
Children's Social Care - Looked After Children	<u>EFL1</u>	Numbers of Children Looked After (CLA), this figure excludes Short Term Breaks (per 10k shown in brackets) - (Snapshot)	Quarterly	243 (67)	220 (61)	197 (55)	222 (62)	217 (60)	211 (59)	197 (55)	190 - 210 (53 - 58)	Up is Bad	Neutral
Crime - Domestic Violence	<u>CSP18a</u>	Domestic Violence Number of Repeat Incidents	Monthly	944	907	1017	263	260	295	199	-	Up is Bad	Bad
	<u>CSP51</u>	Number of Reports of Domestic Abuse Incidents reported to NYP	Monthly	2819	2823	2745	703	694	702	646	-	Up is Bad	Neutral
	<u>DOMV2</u>	Number of domestic violence incidents involving arrest	Monthly	704	645	593	149	160	95	152	-	Neutral	Neutral
	<u>DOMV2 a</u>	% of domestic violence incidents involving arrest	Monthly	25%	23%	22%	21%	23%	19%	24%	-	Up is Bad	Good
	<u>DOMV3</u>	Number of domestic violence incidents crimed	Monthly	796	787	864	198	222	155	231	-	Neutral	Neutral
	<u>DOMV3 a</u>	% of domestic violence incidents crimed	Monthly	28%	28%	31%	28%	32%	30%	36%	-	Up is Bad	Bad
	<u>DOMV4</u>	Number of domestic violence incidents where children present	Monthly	417	516	660	173	161	125	152	-	Up is Bad	Bad
	<u>DOMV4 a</u>	% of domestic violence incidents where children present	Monthly	15%	18%	24%	25%	23%	25%	23%	-	Neutral	Neutral
	<u>DOMV5</u>	Domestic Violence Occurrence Type - Crime Violence	Monthly	583	524	593	136	153	140	164	-	Up is Bad	Bad
	<u>DOMV6</u>	Domestic Violence Occurrence Type - PSW Domestic Incident	Monthly	1953	2014	1863	497	463	493	410	-	Up is Bad	Good
	<u>DOMV7</u>	Domestic Violence Occurrence Type - Other	Monthly	312	285	289	70	78	69	72	-	Up is Bad	Neutral
	<u>DOMV8</u>	Domestic Violence % Incidents Level - Standard Risk	Monthly	51%	54%	55%	61%	53%	53%	52%	-	Up is Bad	Bad
	<u>DOMV9</u>	Domestic Violence % Incidents Level - Medium Risk	Monthly	39%	35%	36%	30%	40%	35%	38%	-	Up is Bad	Neutral
Deprivation and	<u>PHOF13</u>	% of children in poverty (under 16s)	Annual	11.70%	-	-	-	-	-	-	-	Up is Bad	Neutral
		Benchmark - National Data	Annual	19.25%	-	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	20.78%	-	-	-	-	-	-	-		
Educator (Young	<u>PHOF22</u>	% of half days missed by pupils due to overall absence (including authorised and unauthorised absence)	Annual	4.95	-	-	-	-	-	-	-	Up is Bad	Neutral
		Benchmark - National Data	Annual	5.26	-	-	-	-	-	-	-		

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Educational Attainment		Benchmark - Regional Data	Annual	5.45	-	-	-	-	-	-			
	<u>KS2E</u>	% of pupils achieving Key Stage 2 Level 4+ English	Annual	87.00%	88.00%	-	-	-	-	-	Up is Good	Good	
		Benchmark - National Data	Annual	87.00%	88.00%	-	-	-	-	-			
		Benchmark - Regional Data	Annual	85.00%	86.00%	-	-	-	-	-			
	<u>KS2M</u>	% of pupils achieving Key Stage 2 Level 4+ Maths	Annual	84.00%	87.00%	-	-	-	-	-	Up is Good	Good	
		Benchmark - National Data	Annual	85.00%	86.00%	-	-	-	-	-			
		Benchmark - Regional Data	Annual	83.00%	83.00%	-	-	-	-	-			
	<u>KS2S</u>	% of pupils achieving Key Stage 2 Level 4+ Science	Annual	89.00%	90.00%	-	-	-	-	-	Up is Good	Good	
		Benchmark - National Data	Annual	88.00%	88.00%	-	-	-	-	-			
		Benchmark - Regional Data	Annual	86.00%	86.00%	-	-	-	-	-			
	<u>75a</u>	% of pupils achieving 5+ A*-Cs GCSE inc. English & Maths at Key Stage 4 (new First Entry definition) - (Snapshot)	Annual	-	62.30%	-	-	-	-	-	-	Up is Good	Neutral
		Benchmark - National Data	Annual	-	53.40%	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	-	53.90%	-	-	-	-	-	-		
	<u>102a</u>	%pt gap in achievement of Level 4+ Reading, Writing & Maths at Key Stage 2 between pupils eligible for FSM in the last 6 years and their peers - (Snapshot)	Annual	26%	19%	-	-	-	-	-	-	Up is Bad	Good
		Benchmark - National Data	Annual	19.00%	-	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	22.00%	-	-	-	-	-	-	-		
	<u>102b</u>	%pt gap in achievement of 5+A*-Cs GCSE (or equivalent) including English & Maths at Key Stage 4 between pupils eligible for free school meals in the past 6 years and their peers- (Snapshot)	Annual	32%	39%	-	-	-	-	-	22.00%	Up is Bad	Bad
		Benchmark - National Data	Annual	26.30%	26.70%	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	30.60%	30.60%	-	-	-	-	-	-		
	Homelessness	<u>PHOF25</u>	Statutory homelessness - homelessness acceptances (per 1,000 estimated total households)	Annual	1.64	1.28	-	-	-	-	-	Up is Bad	Good
		Benchmark - National Data	Annual	2.37	2.32	-	-	-	-	-			
		Benchmark - Regional Data	Annual	2.13	1.54	-	-	-	-	-			
<u>PHOF26</u>		Statutory homelessness - households in temporary accommodation (per 1,000 estimated total households)	Annual	1.11	0.94	-	-	-	-	-	Up is Bad	Neutral	
		Benchmark - National Data	Annual	2.44	2.59	-	-	-	-	-			
		Benchmark - Regional Data	Annual	0.39	0.3	-	-	-	-	-			
<u>HOU280</u>		Households accepted as being homeless and in priority need - % Mental illness or disability - (YTD)	Quarterly	7.50%	17.40%	16.50%	15.00%	9.30%	9.86%	16.50%	-	Neutral	Neutral

Protect Vulnerable People 2014/2015

Produced by the Shared Intelligence Bureau June 2015

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No of Indicators = 134

			Previous Years			2014/2015				Target	Polarity	DoT
		Collection Frequency	2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4			
	Benchmark - National Data	Quarterly	8.13%	8.57%	8.21%	8.39%	8.05%	8.15%	8.21%	-		
<u>HOU281</u>	Households accepted as being homeless and in priority need - % Domestic Violence - (YTD)	Quarterly	4.80%	3.70%	9.40%	0.00%	4.70%	4.20%	9.40%	-	Neutral	Neutral
	Benchmark - National Data	Quarterly	2.90%	2.83%	2.82%	2.80%	2.88%	2.86%	2.82%	-		
Life Expectancy	<u>PHOF36</u>	Life Expectancy at birth - Male	Annual	79.6	79.40	-	-	-	-	-	Up is Good	Neutral
		Benchmark - National Data	Annual	79.21	79.41	-	-	-	-	-		
		Benchmark - Regional Data	Annual	78.3	78.50	-	-	-	-	-		
	<u>PHOF16</u>	Life Expectancy at birth - Female	Annual	83.2	83.50	-	-	-	-	-	Up is Good	Neutral
		Benchmark - National Data	Annual	83.01	83.12	-	-	-	-	-		
		Benchmark - Regional Data	Annual	82.2	82.20	-	-	-	-	-		
	<u>PHOF37</u>	Slope index of inequality in life expectancy at birth - Males - (Two year period)	Annual	7.25	7.41	-	-	-	-	-	Up is Bad	Neutral
		Benchmark - National Data	Annual	9.24	-	-	-	-	-	-		
	<u>PHOF17</u>	Slope index of inequality in life expectancy at birth - Females - (Two year period)	Annual	5.91	5.82	-	-	-	-	-	Up is Bad	Neutral
	Benchmark - National Data	Annual	6.85	-	-	-	-	-	-			
Mental Health	<u>PHOF39</u>	Average strengths and difficulties score of the emotional and behavioural health of children looked after continuously for 12 months at 31 March	Annual	14.3	14.40	-	-	-	-	-	Up is Good	Neutral
		Benchmark - National Data	Annual	14	13.90	-	-	-	-	-		
		Benchmark - Regional Data	Annual	14.2	14.00	-	-	-	-	-		
Obesity	<u>NCMP01</u>	% of reception year children recorded as being obese	Annual	8.05%	7.82%	-	-	-	-	-	Up is Bad	Good
		Benchmark - National Data	Annual	9.27%	9.48%	-	-	-	-	-		
		Benchmark - Regional Data	Annual	8.94%	9.20%	-	-	-	-	-		
	<u>NCMP02</u>	% of children in Year 6 recorded as being obese	Annual	16.36%	15.35%	-	-	-	-	-	Up is Bad	Neutral
		Benchmark - National Data	Annual	18.92%	19.09%	-	-	-	-	-		
	Benchmark - Regional Data	Annual	19.01%	19.22%	-	-	-	-	-			
<u>RM74</u>	School Ofsted Rating - Primary: Outstanding - numbers	Quarterly	-	12	11	11	11	11	11	-	Up is Good	Neutral
<u>RM75</u>	School Ofsted Rating - Primary: Outstanding -%	Quarterly	-	23.00%	21.00%	21.00%	21.00%	21.00%	21.00%	-	Up is Good	Neutral
<u>RM76</u>	School Ofsted Rating - Primary: Good - numbers	Quarterly	-	28	34	33	34	34	34	-	Up is Good	Good
<u>RM77</u>	School Ofsted Rating - Primary: Good -%	Quarterly	-	54.00%	65.00%	63.00%	65.00%	65.00%	65.00%	-	Up is Good	Good
<u>RM78</u>	School Ofsted Rating - Primary: Requires improvement - numbers	Quarterly	-	9	6	6	6	6	6	-	Up is Bad	Good

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No of Indicators = 134

			Previous Years			2014/2015							
			2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT	
Ofsted Ratings	<u>RM79</u>	School Ofsted Rating - Primary: Requires improvement -%	Quarterly	-	17.00%	12.00%	12.00%	12.00%	12.00%	12.00%	-	Up is Bad	Good
	<u>RM80</u>	School Ofsted Rating - Primary: Inadequate - numbers	Quarterly	-	3	0	3	1	1	0	-	Up is Bad	Good
	<u>RM81</u>	School Ofsted Rating - Primary: Inadequate -%	Quarterly	-	6.00%	0.00%	4.00%	2.00%	2.00%	0.00%	-	Up is Bad	Good
	<u>RM81b</u>	School Ofsted Rating - Primary: No Rating - numbers	Quarterly	-	0	1	0	0	0	1	-	Neutral	Neutral
	<u>RM81c</u>	School Ofsted Rating - Primary: No Rating - %	Quarterly	-	0.00%	2.00%	0.00%	0.00%	0.00%	2.00%	-	Neutral	Neutral
	<u>RM82</u>	School Ofsted Rating - Secondary: Outstanding - numbers	Quarterly	-	3	3	3	3	3	3	-	Up is Good	Neutral
	<u>RM83</u>	School Ofsted Rating - Secondary: Outstanding -%	Quarterly	-	25.00%	27.00%	27.00%	27.00%	27.00%	27.00%	-	Up is Good	Neutral
	<u>RM84</u>	School Ofsted Rating - Secondary: Good - numbers	Quarterly	-	7	7	7	7	7	7	-	Up is Good	Neutral
	<u>RM85</u>	School Ofsted Rating - Secondary: Good -%	Quarterly	-	58.00%	64.00%	64.00%	64.00%	64.00%	64.00%	-	Up is Good	Neutral
	<u>RM86</u>	School Ofsted Rating - Secondary: Requires improvement - numbers	Quarterly	-	2	1	1	1	1	1	-	Up is Bad	Good
	<u>RM87</u>	School Ofsted Rating - Secondary: Requires improvement -%	Quarterly	-	17.00%	9.00%	9.00%	9.00%	9.00%	9.00%	-	Up is Bad	Good
	<u>RM88</u>	School Ofsted Rating - Secondary: Inadequate - numbers	Quarterly	-	-	0	0	0	0	0	-	Up is Bad	Neutral
	<u>RM89</u>	School Ofsted Rating - Secondary: Inadequate -%	Quarterly	-	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	-	Up is Bad	Neutral
	<u>RM89b</u>	School Ofsted Rating - Secondary: No Rating - number	Quarterly	-	0	0	0	0	0	0	-	Neutral	Neutral
	<u>RM89c</u>	School Ofsted Rating - Secondary: No Rating - %	Quarterly	-	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	-	Neutral	Neutral
	<u>RM90</u>	School Ofsted Rating - Overall: Outstanding - numbers	Quarterly	-	15	14	14	14	14	14	-	Up is Good	Neutral
	<u>RM91</u>	School Ofsted Rating - Overall: Outstanding -%	Quarterly	-	23.00%	22.00%	22.00%	22.00%	22.00%	22.00%	-	Up is Good	Neutral
	<u>RM92</u>	School Ofsted Rating - Overall: Good - numbers	Quarterly	-	35	41	40	41	41	41	-	Up is Good	Good
	<u>RM93</u>	School Ofsted Rating - Overall: Good -%	Quarterly	-	55.00%	65.00%	63.00%	65.00%	65.00%	65.00%	-	Up is Good	Good
	<u>RM94</u>	School Ofsted Rating - Overall: Requires improvement - numbers	Quarterly	-	11	7	7	7	7	7	-	Up is Bad	Good
<u>RM95</u>	School Ofsted Rating - Overall: Requires improvement -%	Quarterly	-	17.00%	11.00%	11.00%	11.00%	11.00%	11.00%	-	Up is Bad	Good	
<u>RM96</u>	School Ofsted Rating - Overall: Inadequate - numbers	Quarterly	-	3	0	2	1	1	0	-	Up is Bad	Good	
<u>RM97</u>	School Ofsted Rating - Overall: Inadequate -%	Quarterly	-	5.00%	0.00%	3.00%	2.00%	2.00%	0.00%	-	Up is Bad	Good	
<u>RM97b</u>	School Ofsted Rating - Overall: No Rating - numbers	Quarterly	-	0	1	0	0	0	1	-	Neutral	Neutral	
<u>RM97c</u>	School Ofsted Rating - Overall: No Rating - %	Quarterly	-	0.00%	2.00%	0.00%	0.00%	0.00%	2.00%	-	Neutral	Neutral	

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No of Indicators = 134

			Previous Years			2014/2015								
			Collection Frequency	2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT	
Public Health and Wellbeing	PHOF21	Injuries due to falls in people aged 65 and over (per 100,000 population)	Annual	1,912.09	1983.23	-	-	-	-	-	-	Up is Bad	Neutral	
		Benchmark - National Data	Annual	2,011.01	2064.26	-	-	-	-	-	-			
		Benchmark - Regional Data	Annual	1,913.62	2005.90	-	-	-	-	-	-			
	PHOF24	% of the population exposed to road, rail and air transport noise of 55 dB(A) or more during the night-time	Annual	-	-	-	-	-	-	-	-	-	Up is Bad	Neutral
		Benchmark - National Data	Annual	-	-	-	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	-	-	-	-	-	-	-	-	-		
	PHOF29	Cancer screening coverage - breast cancer (% eligible women screened adequately within previous 3 years)	Annual	81.42%	80.63%	-	-	-	-	-	-	-	Up is Good	Bad
		Benchmark - National Data	Annual	76.32	75.9	-	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	76.69	76.13	-	-	-	-	-	-	-		
	PHOF30	Cancer screening coverage - cervical cancer (% eligible women screened adequately within previous 3.5 or 5.5 years)	Annual	74.74%	74.69%	-	-	-	-	-	-	-	Up is Good	Bad
		Benchmark - National Data	Annual	73.93	64.16	-	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	76.05	76.16	-	-	-	-	-	-	-		
	PHOF31	% of eligible population aged 40-74 who received an NHS Health Check	Annual	-	8.69%	-	-	-	-	-	-	-	Up is Good	Neutral
		Benchmark - National Data	Annual	-	9.03%	-	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	-	8.24%	-	-	-	-	-	-	-		
PHOF32	Suicide rate (per 100,000 population)	Annual	10.13	-	-	-	-	-	-	-	-	Up is Bad	Bad	
	Benchmark - National Data	Annual	8.77	-	-	-	-	-	-	-	-			
	Benchmark - Regional Data	Annual	9.33	-	-	-	-	-	-	-	-			
Safeguarding (Young People)	CYP10-4	Number of Troubled Families turned around - (New 2014/2015)	Quarterly	-	-	306	N/A	235	282	306	315	Up is Good	Good	
	CYP10-5	Troubled Families: Number of identified families that are being/have been worked with - (New for 2014/2015)	Quarterly	-	-	315	315	315	315	315	315	Up is Good	Neutral	
	CYP10-6	Troubled Families: Number of families "turned around" for Education and Crime/ASB issues - (New for 2014/2015)	Quarterly	-	-	306	N/A	200	243	306	-	Up is Good	Good	
	CYP10-7	Troubled Families: Number of families "turned around" for Employment - (New for 2014/2015)	Quarterly	-	-	40	N/A	35	39	40	-	Up is Good	Good	
	EFL2	Numbers of Children with a Child Protection Plan (per 10k shown in brackets) - (Snapshot)	Quarterly	137 (38)	131 (36)	124 (34)	116 (32)	120 (33)	118 (33)	124 (34)	125 (35)	Up is Bad	Good	
	PHOF27	Under 18 conceptions: conceptions in those aged under 16 (per 1,000 females aged 13-15)	Annual	6.17	2.83	-	-	-	-	-	-	Neutral	Up is Bad	Neutral
Benchmark - National Data		Annual	5.55	4.81	-	-	-	-	-	-	-			

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			Previous Years			2014/2015								
			Collection Frequency	2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT	
(e)		Benchmark - Regional Data	Annual	6.84	6.02	-	-	-	-	-	-			
	PHOF28	Hospital admissions caused by unintentional and deliberate injuries in children (aged 0-14 years) (per 10,000 resident population)	Annual	95.84	99.79	-	-	-	-	-	-	Neutral	Up is Bad	Neutral
		Benchmark - National Data	Annual	103.83	112.16	-	-	-	-	-	-			
		Benchmark - Regional Data	Annual	109.57	120.97	-	-	-	-	-	-			
School Strategy and Planning	PriFSM	Primary pupils eligible for and claiming Free School Meals	Annual	11.50%	10.20%	-	-	-	-	-	-	Neutral	Neutral	
		Benchmark - National Data	Annual	18.10%	17.00%	-	-	-	-	-	-			
		Benchmark - Regional Data	Annual	18.60%	18.10%	-	-	-	-	-	-			
	RM3	% of primary schools with 25% or more of their places unfilled - (Snapshot)	Annual	10.00%	8.00%	6.00%	-	-	-	-	6.00%	Up is Bad	Good	
	RM5	% of primary schools oversubscribed by 5% or more (@ January school census) - (Snapshot)	Annual	13.00%	16.00%	18%	-	-	-	-	7.00%	Up is Bad	Bad	
	RM20	% of 1st preferences secured for York children for the Primary school admission round (relates to the future academic year i.e. 12/13 figure relates to 13/14 academic year) - (Snapshot)	Annual	92.00%	93.00%	91.60%	-	-	-	91.60%	90.00%	Up is Good	Good	
	RM70	Number of primary school places in York	Annual	13,742	13,914	-	-	-	-	-	-	Neutral	Neutral	
	RM71	Projected number of primary school aged-pupils in York	Annual	12,870	13,230	-	-	-	-	-	-	Neutral	Neutral	
	SecFSM	Secondary pupils eligible for and claiming Free School Meals	Annual	8.40%	7.80%	-	-	-	-	-	-	Neutral	Bad	
		Benchmark - National Data	Annual	15.10%	14.60%	-	-	-	-	-	-			
		Benchmark - Regional Data	Annual	16.00%	15.60%	-	-	-	-	-	-			
	RM4	% of secondary schools with 25% or more of their places unfilled - (Snapshot)	Annual	25.00%	25.00%	11%	-	-	-	-	25.00%	Up is Bad	Good	
	RM6	% of secondary schools oversubscribed by 5% or more in years 7-11 (@ January school census) - (Snapshot)	Annual	-	0.00%	11%	-	-	-	-	12.50%	Up is Bad	Bad	
	RM21	% of 1st preferences secured for York children for the Secondary school admission round (relates to the future academic year i.e. 12/13 figure relates to 13/14 academic year) - (Snapshot)	Annual	96.00%	94.00%	92.10%	-	-	-	92.10%	95.00%	Up is Good	Bad	
RM72	Number of secondary school places in York	Annual	9,165	9,165	-	-	-	-	-	-	Neutral	Neutral		
RM73	Projected number of secondary school aged-pupils in York	Annual	8,425	8,360	-	-	-	-	-	-	Neutral	Neutral		
Youth Offending	PHOF23	First time entrants to the youth justice system (per 100,000 population aged 10-17)	Annual	498.01	406.82	-	-	-	-	-	-	Up is Bad	Good	
		Benchmark - National Data	Annual	556.05	440.93	-	-	-	-	-	-			
		Benchmark - Regional Data	Annual	536.69	458.66	-	-	-	-	-	-			

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Executive

30 July 2015

Report of the Director of Customer and Business Support Services (Portfolio of the Leader of the Council)

Capital Programme Outturn 2014/15 and Revisions to the 2015/16 – 2019/20 Programme

Report Summary

1. The purpose of this report is to set out the capital programme outturn position including any under or over spends, overall funding of the programme and an update as to the impact on future years of the programme.
2. The report shows an outturn of £48.202m compared to an approved budget of £66.205m, an overall variation of £18.115m.
3. The net variation of -£18.115m is made up as follows:
 - Requests to re-profile budgets of a net -£19.232m of schemes from 2014/15 to future years (currently approved budgets in the capital programme but requires moving to or from future years in line with a changing timetable of delivery for individual schemes)
 - Adjustments to schemes increasing expenditure by a net £1.117m (all of which is funded from external funding sources such as Government Grants)
4. The level of re profiling reflects the scale of the capital Programme, and in particular that it contains a number of major and complex projects. The overall capital Programme continues to operate within budget, due to careful management of expenditure against the budget.

5. The Cabinet is requested to
 - Note the 2014/15 capital outturn position of £48.202m and approve the requests for re-profiling totalling £19.232m from the 2014/15 programme to future years.
 - Note the additions in future years totalling £1.117m
 - Note the outturn position of the EIF in 2014/1 and revisions to the profile of the £28.5m as set out in Annex B.
 - Recommend to Full Council the restated 2014/15 to 2018/19 programme of £206.231m as summarised in Table 3 and detailed in Annex A.
 - Approve the revised EIF profile set out at Annex B

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

Consultation

7. The capital programme was developed under the Capital Resource Allocation Model (CRAM) framework and agreed by Council on 27 February 2014. 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

8. Table 1 below shows the total variances for individual departments along with requests for re-profiling.

Directorate	Dep't	Approved Budget	Revisions to Approved Budget (re-profile)	Revised Budget	14/15 Outturn	Variance (under) / overspends - funding
		£m	£m	£m	£m	£m
		(1)	(2)	(3)	(4)	(5)
				(1) + (2)		(4) - (3)
CSES	Children's Services, Education & Skills	8.657	-2.370	6.287	6.366	0.079
H&WB	Adult Social Services and Public Health	0.835	-0.378	0.457	1.035	0.541
CANS	Communities Culture & Public Realm	4.979	-1.005	3.974	4.053	0.004
CANS	Housing & Community Safety	17.267	-2.072	15.195	15.200	0.005
CES	Highways & Waste	7.307	-1.066	6.241	6.239	-0.002
CES	Transport	8.026	-2.071	5.955	6.091	0.136
CES	Community Stadium	1.890	-0.443	1.447	1.447	0.000
CBSS	Asset Management	1.496	-1.075	0.421	0.421	0.000
CBSS	West Offices - Admin Accom	0.533	-0.512	0.021	0.021	0.000
CBSS	IT Development Plan	1.927	-0.769	1.158	1.099	-0.059
CBSS	Misc(Contingency)	0.183	-0.143	0.040	0.040	0.000
CBSS	Economic Infrastructure Fund	13.105	-7.328	5.777	6.190*	0.413
	Total	66.205	-19.232	46.973	48.202	1.117

Table 1 – Summary of capital outturn by department

*note that the EIF spend of £6.190m referenced in this table is the prudential borrowing funded capital element only. A further, £1.647m relates to revenue expenditure and this has been transferred to the revenue budget in year. See para 53 – 55

9. The variations of £1.117m as set out in table 1 are funded by corresponding changes in the use of Government grants, S106 funds, the Major Repairs Grant and Commuted Sums. The following paragraphs set out the main variances and the requirements for re-profiling. All the explanations are based on movement against the approved monitor 3 position.

CSES – Children Services, Education and Skills

10. £998k of DfE Maintenance programme requires re-profiling to future years. Over the winter, the focus has been on smaller maintenance schemes, particularly with regard to electrical issues and heating, and responding to emergencies across the school estate.
11. A contingency of £250k is held within the maintenance budget but due mainly to the milder winter, there were fewer emergency issues, therefore only £100k of this contingency was spent.
12. Contributions from schools from their Devolved Formula Capital resources towards schemes at their schools also freed up an additional £70k of Maintenance funding which we can carry forward into 2015/16 to be allocated to new schemes. A number of the rolling programme schemes also under spent in 2014/15. The budget of £50k for kitchen improvements under spent by £28k, mainly due to the concentration on implementing the UIFSM programme, which funded all the required works so far carried out to implement this initiative. A budget of £100k was also set aside for emergency Fire and Water risk works, but only £35k was spent in total.
13. Property services fees were lower than anticipated by c£175k with the remainder of the slippage relating to a number of high value invoices paid in 2015/16, plus retentions outstanding on most of the schemes which will be paid in 2015/16.
14. At the end of 2014/15 an amount of £626k remained unspent on Basic Need, which needs reprofiling into 2015/16. Of this, an amount of £206k to be paid over to Robert Wilkinosn from within Basic Need was not required until April 2015. The remainder was held to deal with any early demands for funding from the EFA in resepct of the

two schemes above. A full review of the expenditure profile of Basic Need across the city is being undertaken.

15. In relation to works at Fulford School £525k of budget is required to be re-profiled to 2015/16 as a result of delays in the planning process resulting in a slightly later start on site than originally expected for the main build contract. This delay is not expected to impact on the projected completion date of the scheme.
16. All other variations are below £100k and shown in the accompanying annex.

H&WB – Adult Social Services and Public Health

17. There are 2 requests made to re-profile budget to future years and one increase in expenditure that is funded entirely by external grants
18. In relation to the Telecare Equipment the capital budget is now committed by Be Independent (BI) on behalf of CYC. BI have not seen customer growth at initially estimated rates but expect growth to be back on track in 2015/16 as they invest more in equipment which keeps older people in their homes and communities rather than coming into formal care.
19. £200k budget was allocated from contingency to bring the Older Peoples Homes up to Care Quality Commissioning standards and for anticipated lift repairs. Surveys and reports have been received but work did not commence in 2014/15 and as such it is requested that £192k is re-profiled in to 2015/16.
20. The Council was successful in securing a Public Health grant bid on behalf of Changing Lives to provide funds for the acquisition and renovation of suitable premises in York to create a dedicated drug and alcohol recovery centre. These funds had been passed through to Changing Lives.
21. All other variations are below £100k and shown in the accompanying annex.

CANS – Communities, Culture and Public Realm

22. A number of amendments are proposed as part of this outturn report. In relation to Millfield Lane Community Sports Facility £380k requires re-profiling to 2015/16 as the land has not yet transferred from North Yorkshire County Council. Once the land has transferred the council can enter into an access agreement with Manor School and progress works.
23. York Explore Phase 2 requires £240k to be re-profiled to 2015/16. The work on transferring the Archives to Central Library, repairs to the roof and ground floor was essentially complete by the year end. However the final payment to the main contractor was not reached by the end of the year and funding requires moving to 2015/16 to cover this and the remaining fittings and storage costs.
24. The Public Convenience Facilities project has carried out improvements to a number of toilets across the city. Most have been completed but at the end of the year the refurbishment of Exhibition Square toilets was incomplete and will be finished in the summer. The refurbishment of Tanner Row toilet is on hold as the current property is likely to be sold and a new facility will be built nearby. Accordingly it is requested that £138k be re-profiled to 2015/16.
25. All other variations are below £100k and shown in the accompanying annex.

CES – Highways and Waste

26. £154k of Special Bridge Maintenance budget is requested to be re-profiled to 15/16 due to Severus Bridge work being reliant on Network Rail giving permission to close the rail line. This work had been planned for March but was cancelled at short notice
27. £179k in relation to Replacement of Unsound Lighting columns and £104k in relation to LED Lighting Replacement programme re-profiling to 2015/16 to bring in line with the joined up procurement taken covering both schemes.

28. £173k in relation to Highways Improvements requires re-profiling to 15/16. Various schemes encountered delays, including Galtres Grove which was delayed due to private residential works and High Ousegate and New Lane Holtby which were delayed due to staffing capacity.
29. In relation to Fleet vehicles purchase decisions delayed as part of the rewiring programme, £430k is recommended to be re-profiled to 2015/16
30. All other variations are below £100k and shown in the accompanying annex.

CANS - Housing & Community

31. The Modernisation of Local Authority Homes and Local Authority Homes have switched funding to allow for more work to be undertaken in respect of the latter scheme, the effect overall within the Housing and Community area being nil. With regard to budget requiring to be re-profiled to 2015/16 £154k is required for Modernisation of Local Authority Homes and £1.432m for Local Authority Homes due to the delays with the build programme relating to the tendering process and unforeseen remediation issues at several of the sites.
32. The Building Insulation Programme requires budget of £192k to be re-profiled to 2015/16 due to delays in gaining planning approval at some sites in relation to the colour and finish of the windows and due to the need to conduct acoustic monitoring tests.
33. The loft conversions programme of works requires £289k to be re-profiled to 2015/16 due to suitable properties taking longer to identify than initially anticipated. Tenants apply through the Housing team and a number of criteria must be met in order to proceed with the conversion. The remaining properties will be identified and completed in 2015/16.
34. All other variations are below £100k and shown in the accompanying annex.

CES – Transport

35. The Better Bus Area Fund scheme sees 2 changes, the first is a £133k under spend. The under spend is mainly due to changes in funding reflected within the Local Transport Plan scheme below. The second is a requirement to re-profile £476k as a further allocation of DfT Clean Bus Technology Grant was received late in the year and applied to fund the programme. The expenditure for this scheme will be incurred in 15/16.
36. The Local Transport Plan schemes is showing an increase of £165k that corresponds to the under spend in the Better Bus scheme above. In addition there was also some minor works at monks cross which were funded by corresponding S106 monies. £1.157m requires to be re-profiled to 2015/16.
37. There were delays to a number of schemes - A19 pinch point scheme - Scheme commenced at the end of 14/15 slightly later than originally anticipated due to additional detailed design and utility work being required. Haxby to Clifton Moor Cycle bridge scheme – the main parts of the scheme were completed in 14/15, at the end of the financial year, therefore there are some minor final works to be completed in 15/16 and retention due to the contractor. Jockey Lane cycle route – scheme delayed due to additional refinement of design following consultation, will now be delivered in 15/16. Clifton Moor Pedestrian and Cycling Link Improvements – footpath works completed, remaining link works to be completed in early 15/16. River Foss off-road cycle and pedestrian route – delay due to extended feasibility study in 14/15. It is anticipated that the delivery of the scheme will need to be re-evaluated due to higher than anticipated costs.
38. There are also a number of Safety schemes which are now programmed for delivery in 15/16.
39. York City Walls - Repairs & Renewals (City Walls) requires £137k to be re-profiled to 2015/16 due to delays to the works on Walmgate bar.
40. Leeman Road Flood defences requires £317k to be re-profiled to 2015/16 as the proposed solution has required redesign works. It is expected the works will now take place in 2015/16.

41. All other variations are below £100k and shown in the accompanying annex.

CES – Community Stadium

42. The Community Stadium capital scheme has an outturn position of £1.447m. It is requested that £443k of funding been re-profiled into 15/16 as during 2014/15 pre-contract costs were slightly lower than anticipated, and a £200k payment for Off-site Sports Facilities was delayed until April.

CBSS – West Offices Administrative Accommodation)

43. £512k of funds are required to be re-profiled to 15/16. The £512k balance pertains to the remaining payment to be made to York Investors LLP. All such amounts will be paid in 15/16 upon completion of outstanding snagging.

CBSS – Asset Management

44. £108k of Fire Safety Regulations requires re-profiling to 15/16 as the majority of this budget was used primarily to deliver works to the EPH's. Following the review of the provision elderly care and the ensuing closure of various EPH's this budget is not required for it's original purpose and therefore requested to be carried forward for other Fire Safety works.
45. £246k of the Photovoltaic Energy Programme budget is requested to be carried forward to 15/16 and be made available for other energy efficiency projects in due course.
46. £397k of Holgate Park Land – York Central Land and Clearance budget needs re-profiling to 2015/16. The re-profiled budget will be required to fund the demolition costs for ex works site canteen block.
47. £147k of Asset Maintenance + Critical H&S Repairs budget is requested to be re-profiled to 2015/16 to enable works on the Guildhall Gates, Micklegate Bar, and Lord Mayor's Walk Fuel Tank.

48. All other variations are below £100k and shown in the accompanying annex.

CBSS – IT Development Plan

49. Due to continued procurement/contract negotiations particularly in relation to the replacement of the CRM and the replacement of the Children's Case Management System, it is requested that budget of £769k be re-profiled to 2015/16 to allow the delivery of planned corporate projects that are underway but delayed, or have been deferred in terms of actual commencement until 2015/16.

Capital Contingency

50. The £143k of remaining budget will be re-profiled to future years to address other contingency requirements.

Funding the 2014/15 Capital Programme

51. The 2014/15 capital programme of £48.202m has been funded from £25.730m external funding and £22.482m of internal funding. The internal funding includes resources such as revenue contributions, Supported Capital Expenditure, capital receipts and reserves.
52. The overall funding position continues to be closely monitored to ensure the overall capital programme remains affordable and is sustainable over the 5 year approved duration.

Economic Infrastructure Fund Update

53. The Economic Infrastructure Fund (EIF) has an overall value £28.5m covering a 5 year period and is funded via a combination of the New Homes Bonus grant (revenue) and prudential borrowing (capital).
54. As at 31st March 2015 the EIF has schemes committed requiring CYC funds to a value of £28.188m. The total CYC funded expenditure incurred in 14/15 was £7.174m of which £1.647m was revenue funded by New Homes Bonus and £5.527m of revenue funded through borrowing.

55. The remaining capital and NHB funding will be carried forward to 2015/16 and spent in line with the revised EIF programme as outlined in Annex B.

Update on the 2015/16 – 2019/20 Capital Programme

56. As a result of this report amendments have been made to future year's capital programmes as a result of re-profiling schemes from 2014/15 to future years as set out above.
57. The restated capital programme for 2015/16 to 2019/20 split by portfolio is shown in table 3. The individual scheme level profiles can be seen in Annex 1.

		2015/16 Budget	2016/17 Budget	2017/18 Budget	2018/19 Budget	2019/20 Budget	Total Budget
		£m	£m	£m	£m	£m	£m
CSES	Children's Services, Education and Skills	18.185	10.337	5.281	5.106	5.106	44.015
H&WB	Adult Social Services and Public Health	1.435	0.535	0.545	0.555	0.565	3.635
CANS	Communities Culture & Public Realm	3.015	0	0	0	0	3.015
CES	Highways & Waste	5.976	3.231	3.168	2.977	2.977	18.329
CANS	Housing & Community Safety	2.072	12.099	9.831	8.472	9.812	57.967
CES	Transport	8.483	2.293	4.331	1.660	1.660	18.427
CES	Community Stadium	20.714	0	0	0	0	20.714
OCE	Economic Development	0.058	0	0	0	0	0.058
CBSS	Asset Management	3.559	1.212	0.300	0.300	0.300	5.671
CBSS	West Offices - Admin Accom	0.512	0	0	0	0	0.512
CBSS	IT Development Plan	2.996	1.920	2.245	2.025	1.970	11.156
CBSS	Misc(Contingency)	0.443	0	0	0	0	0.443
CBSS	Economic Infrastructure Fund	16.849	5.800	0	0	0	22.289
	Total	99.618	37.427	25.701	21.095	22.390	206.231

Table 3 – Restated Capital Programme 2015/16 to 2019/20

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

	2015/16 £m	2016/17 £m	2017/18 £m	2018/19 £m	2019/20 £m	Total £m
Gross Capital Programme	99.618	37.427	25.701	21.095	22.390	206.231
Funded by:						
External Funding	52.267	21.860	25.701	14.111	14.369	119.162
Council Controlled Resources	47.351	15.567	16.555	6.984	8.021	87.069
Total Funding	99.618	37.427	25.701	21.095	22.390	206.231

Table 4 - 2015/16 –2019/20 Capital Programme Financing

59. The Council controlled figure is comprised of a number of resources that the Council has ultimate control over. These include Right to Buy receipts, revenue contributions, supported (government awarded) borrowing, prudential (Council funded) borrowing, reserves (including Venture Fund) and capital receipts.
60. Capital receipts, which form part of the Council controlled resources, should be considered at risk both of not being realised within set time frames and having estimated values until the receipt is received. The capital programme is predicated on a small number of large capital receipts which, if not achieved, would cause significant funding pressures for the programme. The Director of Customer and Business Support closely monitors the overall funding position to ensure that over the full duration of the capital programme it remains balanced. Any issues with regard to financing will be reported as part of the standard reporting to the Executive.

Council Plan

61. 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 Council Plan. The Capital Asset Board (CAB) meet monthly to ensure the capital programme targets the Councils Plan. The capital programme addresses all 5

priorities of the Council Plan due to its varied and numerous schemes as shown in the main body of the report.

Financial Implications

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

Human Resources Implications

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

Equalities Implications

64. The capital programme seeks to address key equalities issues that affect the Council and the public. Schemes that address equalities include the Disabilities Support Grant, the Schools Access Initiative, the Community Equipment Loans Store (CELS) and the Disabilities Discrimination Act (DDA) Access Improvements.
65. All individual schemes will be subject to Equalities Impact Assessments

Legal Implications

66. There are no Legal implications as a result of this report.

Crime and Disorder

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

Information Technology

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

Property

69. The property implications of this paper are included in the main body of the report which covers the funding of the capital programme from capital receipts.

Risk Management

70. The capital programme is regularly monitored as part of the corporate monitoring process. In addition to this the Capital Asset Board (CAB) meets regularly to plan monitor and review major capital schemes to ensure that all capital risks to the Council are minimised.

Contact Details

Authors:	Cabinet Member & Chief Officer Responsible for the report:		
Ross Brown Principal Accountant Corporate Finance Ext 1207	Ian Floyd Director of Customer & Business Support Services		
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Wards Affected: All			
For further information please contact the authors of the report			

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

Annexes

- Annex A – Capital Programme by year 2014/15 – 2019/20
Annex B – Economic Infrastructure Fund 2012/13 – 2016/17

	2014/15	2014/15	2014/15	2014/15	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	Gross Capital Programme To be Funded	Gross Capital Programme To be Funded
	Outturn	Outturn	Revised	Outturn	Outturn	Revised	Revised	Revised	Revised		14/15 - 18/19	15/16 - 19/20
	Adj	Reprofile	Budget	Adj	Reprofile	Budget	Budget	Budget	Budget	Budget	£000	£000
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000		
CSES - Children's Services, Education and Skills												
NDS Devolved Capital	-6		450			456	456	456	456	456	2,274	2,280
DfE Maintenance	70	-998	2,698		998	3,998	2,400	2,400	2,400	2,400	13,896	13,598
Basic Need	-63	-626	687		626	6,416	6,656	2,250	2,250	2,250	18,269	19,822
Huntington Secondary School - New Block	15	-85	915		85	85	0	0	0	0	1,000	85
Universal Infant Free School Meals		-74	255		74	124	0	0	0	0	379	124
Fulford School Expansion		-525	725		525	5,870	450	0	0	0	7,045	6,320
Carr Junior Expansion		-33	552		33	58	0	0	0	0	610	58
St Barnabas Primary Expnasion		-29	21		29	646	0	0	0	0	667	646
Schools Electrical Supply Upgrade			0			257	200	0	0	0	457	457
Family Drug & Alcohol Assess/Recovery Facility			0			100	0	0	0	0	100	100
Knavesmire Classroom Expansion	63		63			0	0	0	0	0	63	0
Enhanced Resource Provision - SEN			0			175	175	175	0	0	525	525
TOTAL GROSS EXPENDITURE	79	-2,370	6,366	0	2,370	18,185	10,337	5,281	5,106	5,106	45,275	44,015
TOTAL EXTERNAL FUNDING	79	-2,370	6,166	0	2,370	17,653	10,062	5,106	5,106	5,106	44,093	43,033
TOTAL INTERNAL FUNDING	0	0	200	0	0	532	275	175	0	0	1,182	982
H&WB - Adult Social Services & Public Health												
Joint Equipment Store		-31	81		31	136	105	105	105	105	532	556
Disabled Support Grant			160			170	180	190	200	210	900	950
Telecare Equipment	20	-130	179	-20	130	360	250	250	250	250	1,289	1,360
Health and Safety Works at Social Services Establishment	1		18			0	0	0	0	0	18	0
Adult Services Community Space		-8	29		8	88	0	0	0	0	117	88
OPH Infrastructure Works	6	-192	34		192	490	0	0	0	0	524	490
Changing Lives Grant + Autism Grants	514		514			0	0	0	0	0	514	0
Burton Stone Community Centr		-17	20		17	191	0	0	0	0	211	191
TOTAL GROSS EXPENDITURE	541	-378	1,035	-20	378	1,435	535	545	555	565	4,105	3,635
TOTAL EXTERNAL FUNDING	521	-25	607	0	25	403	0	0	0	0	1,010	403
TOTAL INTERNAL FUNDING	20	-353	428	-20	353	1,032	535	545	555	565	3,095	3,232
CANS - Communities, Culture and Public Realm												
Milfield Lane Comm Sports Centre		-380	0		380	380	0	0	0	0	380	380
York Explore Phase 2		-241	1,340		241	241	0	0	0	0	1,581	241
Barbican Auditorium		-17	0		17	17	0	0	0	0	17	17
City Art Gallery Refurb and Extension			250			0	0	0	0	0	250	0
Parks and Open Spaces Development			86			0	0	0	0	0	86	0
Little Knavesmire Pavilion		-13	47		13	463	0	0	0	0	500	483
York Explore - Infrastructure Improvements			146			0	0	0	0	0	146	0
Museums Trust			1,000			500	0	0	0	0	1,500	500
War Memorial		-78	37		78	78	0	0	0	0	115	78
Smarter York - Better Play Areas		-70	0		70	295	0	0	0	0	295	295
York Art Gallery Gardens			0			350	0	0	0	0	350	350
Theatre Royal - Temporary Structure			115			0	0	0	0	0	115	0
York Theatre Royal			350			120	0	0	0	0	470	120
Public Convenienc Facilities		-138	525		138	138	0	0	0	0	663	138
River Safety	4	25	104		25	0	0	0	0	0	104	0
Litter Bin Upgrade (solar powered)		-18	83		18	138	0	0	0	0	221	138
Knavesmire Culverts		-75	0		75	275	0	0	0	0	275	275
TOTAL GROSS EXPENDITURE	4	-1,005	4,053	0	1,005	3,015	0	0	0	0	7,068	3,015
TOTAL EXTERNAL FUNDING	4	-225	1,146	0	225	700	0	0	0	0	1,846	700
TOTAL INTERNAL FUNDING	0	-780	2,907	0	780	2,315	0	0	0	0	5,222	2,315
CES - Highways & Waste												
Highway Resurfacing & Reconstruction (Struct Maint)	3		3,293			3,081	2,831	2,768	2,577	2,577	14,550	13,834
Special Bridge Maintenance(Struct maint)		-154	3		154	354	200	200	200	200	957	1,154
Replacement of Unsound Lighting Columns		-179	91		179	179	0	0	0	0	270	179
LED Lighting Replacement Programme		-104	256		104	1,327	0	0	0	0	1,583	1,327
City Centre Damaged Bins Replacement			0			0	0	0	0	0	0	0
Fleet Vehicles		-430	0		430	430	0	0	0	0	430	430
Highways Improvements		-173	2,127		173	173	0	0	0	0	2,300	173
Watercourse Restoration	6		106			100	0	0	0	0	206	100
Tour de France Highways Improvements	-5		195			0	0	0	0	0	195	0
Highways Drainage Works	-6	-26	168		26	226	200	200	200	200	994	1,026
Wheeled Bins in Back Lane and Terraced Areas			0			106	0	0	0	0	106	106
TOTAL GROSS EXPENDITURE	-2	-1,066	6,239	0	1,066	5,976	3,231	3,168	2,977	2,977	21,591	18,329
TOTAL EXTERNAL FUNDING	7	0	2,265	0	0	2,270	2,081	2,018	1,827	1,827	10,461	10,023
TOTAL INTERNAL FUNDING	-9	-1,066	3,974	0	1,066	3,706	1,150	1,150	1,150	1,150	11,130	8,306
CANS - Housing & Community Safety												

	2014/15	2014/15	2014/15	2014/15	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	Gross Capital Programme To be Funded	Gross Capital Programme To be Funded
	Outturn	Outturn	Revised	Outturn	Outturn	Revised	Revised	Revised	Revised		14/15 - 18/19	15/16 - 19/20
	Adj	Reprofile	Budget	Adj	Reprofile	Budget	Budget	Budget	Budget	Budget	£000	£000
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000		
Modernisation of Local Authority Homes	-492	-154	2,944		154	2,331	2,035	2,022	1,139	1,361	10,471	8,888
Assistance to Older & Disabled People	9		409			400	400	400	400	400	2,009	2,000
MRA Schemes	585		5,085			4,878	4,803	4,774	4,808	5,066	24,348	24,329
Local Authority Homes - Phase 1		-1,432	3,852		1,432	7,544	2,136	0	0	0	13,532	9,680
Water Mains Upgrade	-50		0			270	1,000	1,000	500	1,250	2,770	4,020
Building Insulation Programme		-192	564		192	192	0	0	0	160	756	352
Disabled Facilities Grant (Gfund)	8		942			1,019	1,175	1,225	1,275	1,275	5,636	5,969
Air Quality Monitoring (Gfund)		-5	42		5	130	0	0	0	0	172	130
Crematorium (Gfund)			67			0	0	0	0	0	67	0
Travellers Site Improvements (Gfund)	6		670			0	0	0	0	0	670	0
Loft Conversions		-289	436		289	289	0	0	0	0	725	289
IT Infrastructure	24		99			500	450	410	350	300	1,809	2,010
Empty Homes (Gfund)	-10		90			200	100	0	0	0	390	300
Property Buy Back	-75		0			0	0	0	0	0	0	0
TOTAL GROSS EXPENDITURE	5	-2,072	15,200	0	2,072	17,753	12,099	9,831	8,472	9,812	63,355	57,967
TOTAL EXTERNAL FUNDING	2,962	-5	9,789	0	5	5,552	5,033	5,524	5,608	5,866	31,976	28,053
TOTAL INTERNAL FUNDING	-2,957	-2,067	5,411	0	2,067	12,201	6,996	4,307	2,864	3,946	31,379	29,914
CES - Transport												
Better Bus Area Fund	-133	-476	643		476	476	0	0	0	0	1,119	476
Local Transport Plan (LTP)	165	-1,157	2,435		1,157	4,576	1,870	1,870	1,570	1,570	12,321	11,456
York City Walls - Repairs & Renewals (City Walls)		-113	177		113	253	90	90	90	90	700	613
Access York	86		2,666			250	0	0	0	0	2,916	250
Leeman Road Flood Defences		-317	0		317	317	0	0	0	0	317	317
Alley Gating		-8	52		8	58	0	0	0	0	110	58
Pay on Exit Car Parking Pilot	18		118			0	0	0	0	0	118	0
Highways Improvements			0			2,220	0	0	0	0	2,220	2,220
Scarborough Bridge			0			333	333	2,371	0	0	3,037	3,037
TOTAL GROSS EXPENDITURE	136	-2,071	6,091	0	2,071	8,483	2,293	4,331	1,660	1,660	22,858	18,427
TOTAL EXTERNAL FUNDING	136	-820	4,163	0	820	4,189	1,870	3,907	1,570	1,570	15,689	13,106
TOTAL INTERNAL FUNDING	0	-1,251	1,938	0	1,251	4,294	423	424	90	90	7,169	5,321
CES - Community Stadium												
Community Stadium		-443	1,447		443	20,714	0	0	0	0	22,161	20,714
TOTAL GROSS EXPENDITURE	0	-443	1,447	0	443	20,714	0	0	0	0	22,161	20,714
TOTAL EXTERNAL FUNDING	0	258	758	0	-258	14,304	0	0	0	0	15,062	14,304
TOTAL INTERNAL FUNDING	0	-701	689	0	701	6,410	0	0	0	0	7,099	6,410
CES - Economic Development												
Small Business Workshops			0			58	0	0	0	0	58	58
TOTAL GROSS EXPENDITURE	0	0	0	0	0	58	0	0	0	0	58	58
TOTAL EXTERNAL FUNDING	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL INTERNAL FUNDING	0	0	0	0	0	58	0	0	0	0	58	58
CBS - Asset Management												
Fire Safety Regulations - Adaptations		-108	0		108	108	0	0	0	0	108	108
Removal of Asbestos		-56	12		56	56	0	0	0	0	68	56
Riverbank Repairs - Scarborough to Clifton Bridge		-6	0		6	6	0	0	0	0	6	6
Riverbank Repairs - Blue Bridge Slipway		0	0		0	0	0	0	0	0	0	0
Riverbank Repairs - Marygate		76	274		-76	251	0	0	0	0	525	251
Photovoltaic Energy Programme		-246	0		246	346	0	0	0	0	346	346
Parliament Street Toilet Demolition		-6	1		6	6	0	0	0	0	7	6
29 Castlegate Repairs		-33	0		33	33	0	0	0	0	33	33
Decent Home Standards Works		-11	0		11	11	0	0	0	0	11	11
Fishergate Postern		-53	0		53	53	0	0	0	0	53	53
Holgate Park Land - York Central Land and Clearance		-397	0		397	397	0	0	0	0	397	397
Hazel Court - Office of the Future Improvements		-1	14		1	1	0	0	0	0	15	1
Asset Maintenance + Critical H&S Repairs		-147	70		147	347	200	200	200	200	1,017	1,147
Community Asset Transfer		0	0		0	175	0	0	0	0	175	175
River Bank repairs		-19	50		19	339	0	0	0	0	389	339
Stonebow House Freehold		-62	0		62	62	0	0	0	0	62	62
Critical Repairs and Contingency		-6	0		6	356	0	0	0	0	356	356
- External Funding	0	0	0	0	0	0	0	0	0	0	0	0
Mansion House Restoration		0	0		0	912	912	0	0	0	1,824	1,824
Project Support Fund		0	0		0	100	100	100	100	100	400	500
TOTAL GROSS EXPENDITURE	0	-1,075	421	0	1,075	3,559	1,212	300	300	300	5,792	5,671
TOTAL EXTERNAL FUNDING	0	-35	0	0	35	579	0	0	0	0	1,123	1,123
TOTAL INTERNAL FUNDING	0	-1,040	421	0	1,040	2,980	668	300	300	300	4,669	4,548
CBS - IT Development Plan												
IT Equipment	-59	-769	1,099		769	2,996	1,920	2,245	2,025	1,970	10,285	11,156

	2014/15 Outturn Adj £000	2014/15 Outturn Reprofile £000	2014/15 Revised Budget £000	2014/15 Outturn Adj £000	2014/15 Outturn Reprofile £000	2015/16 Revised Budget £000	2016/17 Revised Budget £000	2017/18 Revised Budget £000	2018/19 Revised Budget £000	2019/20 Budget £000	Gross Capital Programme To be Funded 14/15 - 18/19 £000	Gross Capital Programme To be Funded 15/16 - 19/20 £000
TOTAL GROSS EXPENDITURE	-59	-769	1,099	0	769	2,996	1,920	2,245	2,025	1,970	10,285	11,156
TOTAL EXTERNAL FUNDING	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL INTERNAL FUNDING	-59	-769	1,099	0	769	2,996	1,920	2,245	2,025	1,970	10,285	11,156
CBS - West Offices (Admin Accomodation)												
West Offices - Admin Accom		-512	21		512	512	0	0	0	0	533	512
TOTAL GROSS EXPENDITURE	0	-512	21	0	512	512	0	0	0	0	533	512
TOTAL EXTERNAL FUNDING	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL INTERNAL FUNDING	0	-512	21	0	512	512	0	0	0	0	533	512
Capital Contingency												
Capital Contingency		-143	40		143	443	0	0	0	0	483	443
TOTAL GROSS EXPENDITURE	0	-143	40	0	143	443	0	0	0	0	483	443
TOTAL EXTERNAL FUNDING	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL INTERNAL FUNDING	0	-143	40	0	143	443	0	0	0	0	483	443
Economic Infrastructure Fund												
Access York Phase 1			3,250			0	0	0	0	0	3,250	0
Better Bus Fund		-547	373		547	1,097	0	0	0	0	1,470	1,097
Re-Invigorate York		-351	349		351	2,162	0	0	0	0	2,511	2,162
Newgate Market	1,287		1,287			0	0	0	0	0	1,287	0
Super Connected Cities	751		751			0	0	0	0	0	751	0
EIF central fund	-1,625	-6,430	180		6,430	13,230	5,800	0	0	0	19,210	19,030
TOTAL GROSS EXPENDITURE	413	-7,328	6,190	0	7,328	16,489	5,800	0	0	0	28,479	22,289
TOTAL EXTERNAL FUNDING	413	-9,900	663	0	4,817	6,617	1,800	0	0	0	9,080	8,417
TOTAL INTERNAL FUNDING	0	-2,428	5,527	0	2,511	9,872	4,000	0	0	0	19,399	13,872
Gross Expenditure by Department												
CSES - Children's Services, Education and Skills	79	-2,370	6,366	0	2,370	18,185	10,337	5,281	5,106	5,106	45,275	44,015
H&WB - Adult Social Services & Public Health	541	-378	1,035	-20	378	1,435	535	545	555	565	4,105	3,635
CANS - Communities, Culture and Public Realm	4	-1,005	4,053	0	1,005	3,015	0	0	0	0	7,068	3,015
CES - Highways & Waste	-2	-1,066	6,239	0	1,066	5,976	3,231	3,168	2,977	2,977	21,591	18,329
CANS - Housing & Community Safety	5	-2,072	15,200	0	2,072	17,753	12,099	9,831	8,472	9,812	63,355	57,967
CES - Transport	136	-2,071	6,091	0	2,071	8,483	2,293	4,331	1,660	1,660	22,858	18,427
CES - Community Stadium	0	-443	1,447	0	443	20,714	0	0	0	0	22,161	20,714
CES - Economic Development	0	0	0	0	0	58	0	0	0	0	58	58
CBS - Asset Management	0	-1,075	421	0	1,075	3,559	1,212	300	300	300	5,792	5,671
CBS - IT Development Plan	-59	-769	1,099	0	769	2,996	1,920	2,245	2,025	1,970	10,285	11,156
CBS - West Offices (Admin Accomodation)	0	-512	21	0	512	512	0	0	0	0	533	512
Capital Contingency	0	-143	40	0	143	443	0	0	0	0	483	443
Economic Infrastructure Fund	413	-7,328	6,190	0	7,328	16,489	5,800	0	0	0	28,479	22,289
Total by Department	1,117	-19,232	48,202	-20	19,232	99,616	37,427	25,701	21,095	22,390	232,043	206,231

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EIF element summary by project		11/12 £000	12/13 £000	13/14 £000	14/15 £000 Revised Budget	15/16 £000 Revised Budget	16/17 £000 Revised Budget	Total £000
		Outturn	Outturn	Outturn				
Approved								
- Park & Ride	Complete/Committed		0	0	3,250	0	0	3,250
- Better Bus Fund	Complete/Committed		0	0	373	1,097	0	1,470
- Reinvigorate York - All	Complete/Committed		292	596	409	2,203	0	3,500
- Newgate Market Refurbishment	Complete/Committed		0	114	1,401	99	0	1,614
- Targeting Growth in Key Sectors	Complete/Committed		40	40	0	0	0	80
- Tour de France - Campaign	Complete/Committed		50	500	0	0	0	550
- Economic Growth Analysis	Complete/Committed		30	0	0	0	0	30
- Officer delivery team	Complete/Committed		0	86	86	86	172	430
- Financial Inclusion Policy and Action Plan	Complete/Committed		0	23	161	116	0	300
- Promoting York	Complete/Committed		50	46	54	50	50	250
- MIPIM 2013	Complete/Committed		25	0	0	0	0	25
- Xmas Stimulus Package	Complete/Committed		34.5	0	0	0	0	34.5
- Arts Barge Project	Complete/Committed		0	25	0	75	0	100
- Living Wage	Complete/Committed		0	338	0	0	0	338
- LCR Transport Package	Complete/Committed		0	50	210	290	0	550
- LCR Revolving Investment Fund	Complete/Committed		0	57	0	1,615	0	1,672
- Economic Inclusion Programme	Complete/Committed		0	63	127	10	0	200
- Super Connected Cities	Complete/Committed		0	106	294	469	0	869
- Infrastructure Investment Plan	Complete/Committed		0	227	488	285	0	1,000
- Acomb Community Economic Development	Complete/Committed		0	6	0	24	0	30
- Infrastructure Investment Plan for Growth	Part Committed/Part Available		0	0	0	10,000	0	10,000
- Hungate and Peasholme Public Realm	Complete/Committed		0	0	0	175	0	175
- Biovale Project	Complete/Committed		0	0	75	0	0	75
- Promoting York at Leeds Bradford Airport	Complete/Committed		0	0	66	19	0	85
- Congestion Commission for York	Complete/Committed		0	0	0	135	0	135
- Business Improvement District	Complete/Committed		0	0	0	25	0	25
Total Approved		0	522	2,277	6,994	16,773	222	26,787.5
Subject to Further Cabinet Approval								
- Digital and Media Arts Hub	£0.9m approved, £0.5m stbc		0	79	180	1,141	0	1,400
Total STBC/for Approval		0	0	79	180	1,141	0	1,400.0
Total All		0	521.5	2,356	7,174	17,914	222	28,187.5
Total Fund Value			1.8%	8.3%	25.2%	62.9%	0.8%	28,500.0
Fund Available								312.5

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Executive

30 July 2015

**Report of the Director of Customer and Business Support Services
(Portfolio of the Leader of the Council)**

**Treasury Management Annual Report & Review of Prudential
Indicators 2014/15**

Purpose of Report

1. The Council is required by regulations issued under the Local Government Act 2003 to produce an annual treasury management review of activities and the actual prudential and treasury indicators for 2014/15. This report meets the requirements of both the CIPFA Code of Practice on Treasury Management (the Code) and the CIPFA Prudential Code for Capital Finance in Local Authorities (the Prudential Code). Prudential Indicators are attached at Annex A.
2. The information detailed in this report ensures the Council's treasury management activities are affordable, sustainable and prudent as approved by Council on 27 February 2014 and that the Council's debt and investment position ensure adequate liquidity for revenue and capital activities, security for investments and manages risks within all treasury management areas.

Recommendations

3. The Executive, in accordance with the Local Government Act 2003 is asked to:
 - (i) Note the 2014/15 performance of Treasury Management activity and
 - (ii) Note the compliance with and movements of the Prudential Indicators in Annex A

4. Recommend to Full Council the amendment to the Treasury Management Annual Investment Strategy per Annex B and the Creditworthiness Policy wording to:

Typically the minimum credit ratings criteria the Council use will be a short term rating (Fitch or equivalents) of Short Term rating F1 and Long Term rating A-. There may be occasions when the counterparty ratings from one rating agency are marginally lower than these ratings but may still be used. In these instances consideration will be given to the whole range of ratings available, or other topical market information, to support their use.

5. Reason: to ensure the continued performance of the Council's Treasury Management function can be monitored.

Summary of Issues

6. The Council's year end treasury debt and investment position for 2013/14 compared to 2012/13 is summarised in the table below:

Debt

	31/03/2015 £m	Rate %	31/03/2014 £m	Rate %
General Fund Debt	128.8	4.18	118.3	4.24
Housing Revenue Account Debt	140.3	3.40	140.3	3.40
Total Debt	269.1	3.74	258.6	3.76

Investments

	31/03/2015 £m	Rate %	31/03/2014 £m	Rate %
Councils Investment Balance	60.997	0.52	44.2	0.48

Table 1 a & b – Summary of the treasury management

Borrowing Outturn 2014/15

7. The Councils capital expenditure activity on long-term assets undertaken as part of the approved Capital programme impacts (dependant on the way that the capital programme is financed) the level of borrowing. The prudential indicators which control the borrowing activity of the Council are contained in Annex A
8. The purpose of the Council's underlying need to borrow is to finance capital expenditure, termed the Capital Financing Requirement (CFR). The total CFR for the council at the end of 2014/15 was £317.4m (compared to £ 311.3m 2013/14) split between the General Fund at £177.1m and the HRA at £140.3m.
9. The CFR suggests the Councils level of borrowing (that is actual debt) could be as high as £317.4m, however in accordance with the flexibility allowed by the borrowing strategy; it currently stands at £269.1m. The Council continues make efficient use of its strong cash balance position to support its current capital expenditure requirements in cash terms but has also taken the decision to secure some long tem borrowing whilst rates are favourable to reduce its exposure to financing risk in future years.
10. Table 2 shows a summary of the debt position reflecting the new loans taken during 2014/15:

	Loan Value £m	Rate of Interest	Maturity Date
Opening Debt Position	258.6	3.76%	
New loans:			
PWLB	5.000	3.68%	2064
PWLB	5.000	3.69%	2063
PWLB	5.000	3.49%	2064

Repayments:			
PWLB	4.500	3.91%	2014
Closing Debt Position	269.1	3.74%	

Table 2 – 2014/15 Debt summary and movement detailed

11. Debt rescheduling opportunities remain limited in the current economic climate and following the increase in the margin added to gilt yields which has impacted PWLB new borrowing rates since October 2010. Consequently the Council did not restructure any of its borrowing portfolio during the year as no opportunities arose when taking into consideration the associated premium that would be generated.
12. For context figure 1 shows the PWLB interest rates from 1 October 2010 to 31 March 2015.

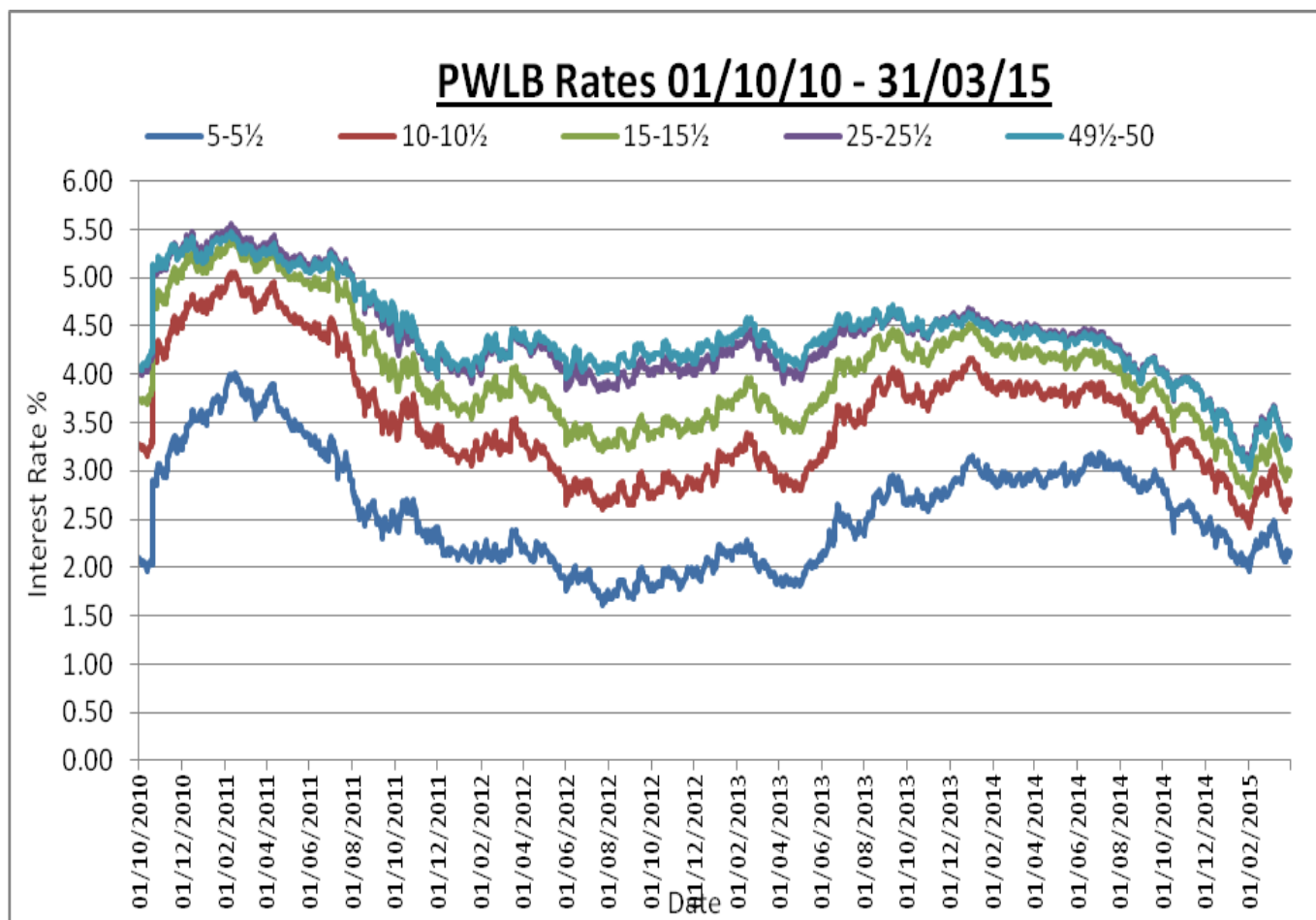


Figure 1 - PWLB rates and CYC borrowing levels

Investment Outturn 2014/15

13. The investment activity during the year conformed to the approved Treasury Strategy that reflects the DCLGs guidance on Local Authority investments issued in 2010, all investments were made in full accordance with the Councils investment practices and the Council had no liquidity difficulties in meeting its obligations
14. Bank Rate remained at its historic low of 0.5% throughout the year; it has now remained unchanged for six years. Consequently, with bank rate not expected to increase to 0.75% until quarter 2 2016 investment levels have remained relatively flat with rates above 0.5% only being available for longer dated maturities.
15. The Council maintained an average investment balance of £74.792m compared to £61.150m in 2013/14. The surplus funds earned an average rate of return of 0.521% in 2014/15 compared to 0.484% in 2013/14. The increase in cash balances is

attributable to the receipt of high value developer's contributions and the continued early receipt of grant funding from Government.

16. The comparable performance indicator for the Councils investment performance is the average London Inter Bank Bid Rate that represents average interest rate which major London banks borrow Eurocurrency deposits from other banks. Table 3 shows the rates for financial year 2014/15 aligned to the Councils financial year and shows that for all cash holdings (includes amounts held to meet day to day payments) the rate of return is comparable with 6 month benchmark, far exceeding the levels of the usual 7 day and 3 month benchmarks.

Benchmark	Benchmark Return	Council Performance	CYC Variance
7 day	0.35	0.52	+0.17
1 month	0.37	0.52	+0.15
3 month	0.43	0.52	+0.09
6 month	0.56	0.52	-0.04
12 month	0.87	0.52	-0.35

Table 3 – LIBID vs. CYC comparison

Consultation

17. This report in the main is for information purposes and reports on the performance of the treasury management function. Members through the budget process set the level of budget and expected performance of the Councils treasury management function.

Options

18. In accordance with the Local Government Act 2003, it is a requirement under the CIPFA Prudential code and the CIPFA Treasury Management in Local Authorities that the Cabinet

receives an annual treasury management review report of the previous year (2014/15) by 30 September 2015. It is also a requirement that the Council delegates the role of scrutiny of treasury management strategy and policies to a specified named body which in this Council is the Audit & Governance Committee. This annual treasury management report is scheduled at Audit & Governance Committee on 29th July 2015.

Corporate Priorities

19. Treasury Management is aimed at ensuring the Council has sufficient liquidity to allow it to operate, safeguards its investments through a prudent investment approach and maximises its return on investments and minimises the cost of its debts. Effective management allows more resources to be freed up to invest in the Council's priorities, values and imperatives, as set out in the Council's plan. Treasury management covers the management of the council's cash flows, its banking, money market and capital transactions, the management of debt, the effective control of the risks associated with those activities, and the pursuit of optimum performance consistent with those risks.

Financial Implications

20. Contained throughout the main body of the report.

Human Resources Implications

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

Equalities Implications

22. There are no Equalities implications as a result of this report.

Legal Implications

23. Treasury Management activities have to conform to the Local Government Act 2003, which specifies that the Council is required to adopt the CIPFA Prudential Code and the CIPFA Treasury Management Code of Practice.

Crime and Disorder

24. There are no Crime and Disorder implications as a result of this report.

Information Technology

25. There are no Information Technology implications as a result of this report.

Property

26. There are no Property implications as a result of this report.

Risk Management

27. The treasury function is a high-risk area due to the level of large money transactions that take place. As a result of this there are strict procedures set out as part of the Treasury Management Practices statement. The scrutiny of this and other monitoring reports is carried out by Audit & Governance Committee as part of the council's system of internal control

Contact Details

Authors:	Cabinet Member & Chief Officer		
	Responsible for the report:		
Ross Brown Principal Accountant Corporate Finance Ext 1207	Ian Floyd Director of Customer & Business Support Services		
	Report Approved	√	Date 08/06/15
Wards Affected: <i>All</i>			

For further information please contact the authors of the report

Specialist Implications:

Legal – Not Applicable

Property – Not Applicable

Information Technology – Not Applicable

Annexes

Annex A: Prudential Indicators 2014/15

Annex B: Revised Specified and Non-Specified Investments Categories

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Annex A

	Prudential Indicator		2014/15	2015/16	2016/17	2017/18	2018/19	2019/20
4	<p>CFR as at 14/15 Outturn</p> <p>Indicates the Council's underlying need to borrow money for capital purposes. The majority of the capital programme is funded through government support, government grant or the use of capital receipts. The use of borrowing increases the CFR.</p>	<p>GF</p> <p>HRA</p> <hr/> <p>Total</p>	<p>£177.1m</p> <p>£140.3m</p> <hr/> <p>£317.4m</p>	<p>£204.3m</p> <p>£140.3m</p> <hr/> <p>£344.6m</p>	<p>£204.8m</p> <p>£140.3m</p> <hr/> <p>£345.1m</p>	<p>£201.0m</p> <p>£140.3m</p> <hr/> <p>£341.3m</p>	<p>£196.7m</p> <p>£140.3m</p> <hr/> <p>£337.0m</p>	<p>£192.5m</p> <p>£140.3m</p> <hr/> <p>£332.8m</p>
5	<p>External Debt</p> <p>To ensure that borrowing levels are prudent over the medium term the Council's external borrowing, net of investments, must only be for a capital purpose and so not exceed the CFR.</p>	<p>Gross Debt</p> <p>Invest</p> <hr/> <p>Net Debt</p>	<p>£274.7m</p> <p>£60.6m</p> <hr/> <p>£214.1m</p>	<p>£294.6m</p> <p>£46.0m</p> <hr/> <p>£248.6m</p>	<p>£300.4m</p> <p>£25.0m</p> <hr/> <p>£275.4m</p>	<p>£300.3m</p> <p>£25.0m</p> <hr/> <p>£275.3m</p>	<p>£305.1m</p> <p>£20.0m</p> <hr/> <p>£285.1m</p>	<p>£304.0m</p> <p>£20.0m</p> <hr/> <p>£284.0m</p>
6a	<p>Authorised Limit for External Debt</p> <p>The authorised limit is a level set above the operational boundary in acceptance that the operational boundary may well be breached because of cash flows. It represents an absolute maximum level of debt that could be sustained for only a short period of time. The council sets an operational boundary for its total external debt, gross of investments, separately identifying borrowing from other long-term liabilities for 3 financial years.</p>	<p>Borrowing / Other long term liabilities Total</p>	<p>£343.5m</p> <p>£30.0m</p> <hr/> <p>£373.5m</p>	<p>£357.7m</p> <p>£30.0m</p> <hr/> <p>£387.7m</p>	<p>£357.7m</p> <p>£30.0m</p> <hr/> <p>£387.7m</p>	<p>£357.7m</p> <p>£30.0m</p> <hr/> <p>£387.7m</p>	<p>£357.7m</p> <p>£30.0m</p> <hr/> <p>£387.7m</p>	<p>£357.7m</p> <p>£30.0m</p> <hr/> <p>£387.7m</p>

Annex A

	Prudential Indicator		2014/15	2015/16	2016/17	2017/18	2018/19	2019/20
6b	<p>Operational Boundary for external debt</p> <p>The operational boundary is a measure of the most likely, prudent, level of debt. It takes account of risk management and analysis to arrive at the maximum level of debt projected as part of this prudent assessment. It is a means by which the authority manages its external debt to ensure that it remains within the self-imposed authority limit. It is a direct link between the Council's plans for capital expenditure; our estimates of the capital financing requirement; and estimated operational cash flow for the year.</p>	Borrowing Other long term liabilities Total	£333.5m	£347.7m	££347.7m	£347.7m	£347.7m	£347.7m
			£10.0m	£10.0m	£10.0m	£10m	£10.0m	£10.0m
			<u>£343.5m</u>	<u>£357.7m</u>	<u>£357.7m</u>	<u>£357.7m</u>	<u>£357.7m</u>	<u>£357.7m</u>
7	Adoption of the CIPFA Code of Practice for Treasury Management in Public Services		✓					
8a	<p>Upper limit for fixed interest rate exposure</p> <p>The Council sets limits to its exposures to the effects of changes in interest rates for 3 years. The Council should not be overly exposed to fluctuations in interest rates which can have an adverse impact on the revenue budget if it is overly exposed to variable rate investments or debts.</p>		127%	117%	109%	109%	107%	107%
8b	<p>Upper limit for variable rate exposure</p> <p>The Council sets limits to its exposures to the effects of changes in interest rates for 3 years. The Council should not be overly exposed to fluctuations in interest rates which can have an</p>		-27%	-17%	-9%	-9%	-7%	-7%

Annex A

	Prudential Indicator		2014/15	2015/16	2016/17	2017/18	2018/19	2019/20
	adverse impact on the revenue budget if it is overly exposed to variable rate investments or debts.							
9	<p>Upper limit for total principal sums invested for over 364 days</p> <p>The Council sets an upper limit for each forward financial year period for the level of investments that mature in over 364 days. These limits reduce the liquidity and interest rate risk associated with investing for more than one year. The limits are set as a percentage of the average balances of the investment portfolio.</p>		£0	£0	£0	£0	£0	£0
10	<p>Maturity structure of new fixed rate borrowing</p> <p>To minimise the impact of debt maturity on the cash flow of the Council. Over exposure to debt maturity in any one year could mean that the Council has insufficient liquidity to meet its repayment liabilities, and as a result could be exposed to risk of interest rate fluctuations in the future where loans are maturing. The Council therefore sets limits whereby long-term loans mature in different periods thus spreading the risk.</p>	Maturity profile of debt against approved limits	Maturity Profile	Debt (£)	Debt (£)	Approved Minimum Limit	Approved Maximum Limit	
			Less than 1 yr	£12.0m	4%	0%	30%	
			1 to 2 yrs	£7.0m	3%	0%	30%	
			2 to 5 yrs	£21.0m	8%	0%	40%	
			5 to 10 yrs	£41.3m	15%	0%	40%	
			10 yrs and above	£187.8m	70%	30%	90%	
			Total	£269.1m	100%	-	-	

Specified and Non-Specified Investments Categories

A variety of specified and non-specified investment instruments will be used to place the Council's surplus funds. These investment instruments are, subject to the credit quality of the institution. The criteria, time limits and monetary limits applying to institutions or investment vehicles are list in the tables below.

Accounting treatment of investments. The accounting treatment may differ from the underlying cash transactions arising from investment decisions made by this Council. To ensure that the Council is protected from any adverse revenue impact, which may arise from these differences, treasury officers will review the accounting implications of new transactions before they are undertaken.

Specified Investments:

All such investments will be sterling denominated, with maturities up to maximum of 1 year, meeting the minimum 'high' rating criteria where applicable.

Institution / Counterparty	Minimum 'High' Credit Criteria	Use
<i>Debt Management Agency Deposit Facility</i>	<i>UK Sovereign rating</i>	<i>In-house</i>
<i>Term deposits – Local Authorities</i>	<i>UK Sovereign rating</i>	<i>In-house</i>
<i>Term deposits – banks and building societies</i>	<i>Coded: Green on Capita's Matrix.</i>	<i>In-house</i>
<i>UK Part nationalised banks</i>	<i>Coded: Blue on Capita's Matrix.</i>	<i>In-house and Fund Mangers</i>
<i>Banks part nationalised by high credit rated (sovereign rating) countries – non UK</i>	<i>Coded: Blue on Capita's Matrix.</i>	<i>In-house and Fund Mangers</i>
<i>Collateralised deposit</i>	<i>Coded: Yellow on Capita's Matrix</i>	<i>In-house and Fund Mangers</i>
<i>Certificates of deposits issued by banks and building societies covered by UK Government guarantee</i>	<i>Coded: Blue on Capita's Matrix / UK Sovereign rating</i>	<i>In-house and Fund Mangers</i>
<i>Certificates of deposits issued by banks and building societies</i>	<i>Coded: Green on Capita's Matrix /</i>	<i>In-house and Fund Mangers</i>
<i>UK Government Gilts</i>	<i>Coded: Yellow on Capita's Matrix /</i>	<i>In-house buy and hold and Fund</i>

	<i>UK Sovereign rating</i>	<i>Managers</i>
<i>Bonds issued by multilateral development banks</i>	<i>Coded: Yellow on Capita's Matrix</i>	<i>In-house buy and hold and Fund Managers</i>
<i>Bonds issued by a financial institution which is guaranteed by the UK government</i>	<i>Coded: Yellow on Capita's Matrix / UK Sovereign rating</i>	<i>In-house buy and hold and Fund Managers</i>
<i>Sovereign bond issues (other than the UK govt)</i>	<i>Coded: Yellow on Capita's Matrix / Sovereign rating</i>	<i>In-house buy and hold and Fund Managers</i>
<i>Treasury Bills</i>	<i>Coded: Yellow on Capita's Matrix / UK Sovereign rating</i>	<i>Fund Managers</i>
<i>Collective Investment Schemes structured as Open Ended Investment Companies (OEICs): -</i>		
<i>1. Government Liquidity Funds</i>	<i>AAA Rated</i>	<i>In-house and Fund Managers</i>
<i>2. Money Market Funds</i>	<i>AAA Rated</i>	<i>In-house and Fund Managers</i>
<i>.3. Enhanced cash funds</i>	<i>AAA Rated, Volatility Rating V1</i>	<i>In-house and Fund Managers</i>
<i>4. Bond Funds</i>	<i>AAA Rated</i>	<i>In-house and Fund Managers</i>
<i>5. Gilt Funds</i>	<i>AAA Rated</i>	<i>In-house and Fund Managers</i>
<i>6. Property Funds</i>		<i>In-house and Fund Managers</i>
<i>UK Nationalised Banks</i>	<i>Coded: Blue on Capita's Matrix</i>	<i>In-house and Fund Managers</i>
<i>UK Part nationalised Banks</i>	<i>Coded: Blue on Capita's Matrix</i>	<i>In-house and Fund Managers</i>

NON-SPECIFIED INVESTMENTS:

A maximum of 100% can be held in aggregate in non-specified investment

1. Maturities of ANY period

<i>Institution / Counterparty</i>	<i>Minimum Credit Criteria</i>	<i>Use</i>	<i>Max % of total investments</i>	<i>Max. maturity period</i>
<i>Term deposits – banks and building societies</i>	<i>Coded: red (6mths) and green (100 days) on Capita's Matrix.</i>	<i>In-house</i>	<i>100%</i>	<i>3-6 Months</i>
<i>Fixed term deposits with variable rate and variable maturities: -Structured deposits</i>	<i>Coded: orange (1yr) red (6mths) and green (100 days) on Capita's Matrix.</i>	<i>In-house</i>	<i>40%</i>	<i>1 Year</i>

<i>Certificates of deposits issued by banks and building societies NOT covered by UK Government guarantee</i>	<i>Coded: orange (1yr) red (6mths) and green (100 days) on Capita's Matrix.</i>	<i>In-house buy and hold and Fund Managers</i>	<i>30%</i>	<i>1 Year</i>
<i>Commercial paper issuance covered by a specific UK Government guarantee and issued by banks covered by the UK bank support package</i>	<i>UK Sovereign rating</i>	<i>In-house and Fund Managers</i>	<i>30%</i>	<i>1 Year</i>
<i>Commercial paper other</i>	<i>Coded: orange (1yr) red (6mths) and green (100 days) on Capita's Matrix.</i>	<i>In-house</i>	<i>30%</i>	<i>1 Year</i>
<i>Corporate Bonds</i>	<i>Coded: orange (1yr) red (6mths) and green (100 days) on Capita's Matrix.</i>	<i>In-house and Fund Managers</i>	<i>30%</i>	<i>1 Year</i>
<i>Other debt issuance by UK banks covered by UK Government guarantee</i>	<i>UK Government explicit guarantee</i>	<i>In-house and Fund Managers</i>	<i>30%</i>	
<i>Floating Rate Notes: the use of these investments would constitute capital expenditure unless they are issued by a multi lateral development bank</i>	<i>Long-term AAA</i>	<i>Fund Managers</i>	<i>N/A – Capital Expenditure</i>	<i>N/A – Capital Expenditure</i>
<i>Property fund: the use of these investments would constitute capital expenditure</i>	<i>--</i>	<i>Fund Managers</i>	<i>N/A – Capital Expenditure</i>	<i>N/A – Capital Expenditure</i>
<i>Local Authority mortgage guarantee scheme</i>	<i>Coded: orange (1yr) red (6mths) and green (100 days) on Capita's Matrix.</i>	<i>In-house</i>		

2. Maturities in excess of 1 year

<i>Term deposits – local authorities</i>	<i>--</i>	<i>In-house</i>	<i>10%</i>	<i>> 1 year</i>
<i>Term deposits – banks and building societies</i>	<i>Coded: Purple(2yrs) or Yellow (5yrs) on Capita's Matrix.</i>	<i>In-house</i>	<i>10%</i>	<i>> 1 year</i>
<i>Certificates of deposits issued by banks and building societies covered by UK Government guarantee</i>	<i>UK Sovereign</i>	<i>In house and Fund Managers</i>	<i>10%</i>	<i>> 1 year</i>
<i>Certificates of deposits issued by banks and building societies covered by the UK government banking</i>	<i>UK Sovereign</i>	<i>In house and Fund Managers</i>	<i>10%</i>	<i>> 1 year</i>

<i>support package</i>				
<i>Certificates of deposits issued by banks and building societies NOT covered by the UK government banking support package</i>	<i>Coded: Purple(2yrs) or Yellow (5yrs) on</i>	<i>In house and Fund Managers</i>	<i>10%</i>	<i>> 1 year</i>
<i>UK Government Gilts</i>	<i>UK Sovereign rating</i>	<i>In-house and Fund Managers</i>	<i>10%</i>	<i>> 1 year</i>
<i>Bonds issued by multilateral development banks</i>	<i>Long term AAA</i>	<i>In-house and Fund Managers</i>	<i>10%</i>	<i>> 1 year</i>
<i>Sovereign bond issues (i.e. other than the UK govt)</i>	<i>Long term AAA</i>	<i>In-house and Fund Managers</i>	<i>10%</i>	<i>> 1 year</i>
<i>Collective Investment Schemes structure as open Ended Investment Companies (OEICs)</i>				
<i>1. Bond Funds</i>	<i>AAA</i>	<i>In-house and Fund Managers</i>		
<i>2. Gilt Funds</i>	<i>AAA</i>	<i>In-house and Fund Managers</i>		