



Notice of meeting of

Executive

To:	Councillors Waller (Chair), Steve Galloway, Sue Galloway, Moore, Reid, Runciman and Vassie
Date:	Tuesday, 23 December 2008
Time:	2.00 pm
Venue:	The Guildhall, York

AGENDA

Notice to Members - Calling In:

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

10:00 am on Monday 22 December 2008, if an item is called in *before* a decision is taken, *or*

4:00 pm on Monday 29 December 2008, if an item is called in *after* a decision has been taken.

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

1. **Declarations of Interest**

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

2. Exclusion of Press and Public

To consider the exclusion of the press and public from the meeting during consideration of Annex E to Agenda Item 12 (West of York Household Waste Site - Land Option) on the grounds that it contains information relating to the financial or business affairs of any particular person (including the authority holding that information), which is classed as exempt under paragraph 3 of Schedule 12A to Section 100A of the Local Government Act 1972 (as revised by The Local Government (Access to Information) (Variation) Order 2006).

3. Minutes (Pages 3 - 10)

To approve and sign the minutes of the Executive meeting held on 2 December 2008.

4. Public Participation

At this point in the meeting, members of the public who registered their wish to speak regarding an item on the agenda or an issue within the Executive's remit can do so. The deadline for registering is **5:00 pm on Monday 22 December 2008**.

5. Executive Forward Plan (Pages 11 - 14)

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

6. Future of the City Archive Service (Pages 15 - 62)

This report proposes a way forward for the future of the City Archive, following completion of the feasibility study that was authorised by the Executive in March 2008.

7. Accommodation Project: Peasholme Hostel Update (Pages 63 - 68)

This report provides an update on the impact on the Administrative Accommodation budget of re-tendering works to complete the Peasholme Hostel, as a result of the original contractor going into voluntary liquidation.

8. Corporate Efficiency Programme and Update on Specific Efficiency Reviews (Pages 69 - 88)

This report informs the Executive about issues relating to Efficiency across the Council; in particular, the Corporate Efficiency Programme and progress on a number of individual efficiency reviews commissioned as part of the 2008/9 budget process.

9. The Community Engagement Strategy (Pages 89 - 134)

This report presents for Members' comment and approval a draft strategy setting out how the Council will consult with the public, partners and other stakeholders.

10. City of York Council - Changes to PPS12 and a Revised Local Development Scheme (Pages 135 - 184)

This report advises Members of the production of a revised Local Development Scheme (LDS), which is the three-year project plan for delivery of the Local Development Framework (LDF) for the City, and asks them to approve the revised LDS for formal submission to the Government Office for Yorkshire and the Humber, subject to some minor changes requested by the LDF Working Group.

11. Web Casting of Council Meetings (Pages 185 - 196)

This report asks the Executive to further consider the costs associated with introducing static, web-streaming technology into the Council Chamber in light of the decision taken by Council in September 2008.

Note: an additional annex to the above report (Annex B), giving further details of costings, was published with this agenda on 22 December 2008.

12. West of York Household Waste Site - Land Option (Pages 197 - 224)

This report seeks approval to carry out a detailed appraisal for a Household Waste Recycling Centre at Harewood Whin, as the preferred option to replace the Beckfield Lane Household Waste Recycling Centre to serve the west of the City.

Note: The above report was published with this agenda on 16 December 2008.

13. Urgent Business - Granting a Loan to an Outside Body: York Credit Union (Pages 225 - 236)

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

The Chair has agreed to consider under this item a report which outlines the potential for granting a loan to the York Credit Union and seeks direction as to how to proceed. The report is classed as urgent due to the need to allow Members to have early consideration of this priority matter before the Full Council meeting on 22 January 2009.

Note: the above report was published with this agenda on 22 December 2008.

Democracy Officer:

Name: Fiona Young

Contact details:

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

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

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

Contact details are set out above.

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Would you like to speak at this meeting?

If you would, you will need to:

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

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Further information about what's being discussed at this meeting

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

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Holding the Executive to Account

The majority of councillors are not appointed to the Executive (38 out of 47). Any 3 non-Executive councillors can 'call-in' an item of business from a published Executive (or Executive Member Advisory Panel (EMAP)) agenda. The Executive will still discuss the 'called in' business on the published date and will set out its views for consideration by a specially convened Scrutiny Management Committee (SMC). That SMC meeting will then make its recommendations to the next scheduled Executive meeting in the following week, where a final decision on the 'called-in' business will be made.

Scrutiny Committees

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

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

Who Gets Agenda and Reports for our Meetings?

- Councillors get copies of all agenda and reports for the committees to which they are appointed by the Council;
- Relevant Council Officers get copies of relevant agenda and reports for the committees which they report to;
- Public libraries get copies of **all** public agenda/reports.

City of York Council

Committee Minutes

MEETING

EXECUTIVE

DATE

2 DECEMBER 2008

PRESENT

COUNCILLORS WALLER (CHAIR),
STEVE GALLOWAY, SUE GALLOWAY, MOORE,
REID, RUNCIMAN AND VASSIE**123. DECLARATIONS OF INTEREST**

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

124. EXCLUSION OF PRESS AND PUBLIC

RESOLVED: That the press and public be excluded from the meeting during consideration of Annex 1 to agenda item 11 (Urgent Business – Riverbank Repairs: River Ouse, Scarborough Bridge to Clifton Bridge), on the grounds that it contains information relating to the financial and business affairs of particular persons (including the authority holding that information), which is classed as exempt under paragraph 3 of Schedule 12A to Section 100A of the Local Government Act 1972 (as revised by The Local Government (Access to Information) (Variation) Order 2006).

125. MINUTES

RESOLVED: That the minutes of the Executive meeting held on 18 November 2008 be approved and signed by the Chair as a correct record.

126. PUBLIC PARTICIPATION

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

127. EXECUTIVE FORWARD PLAN

Members received and noted details of those items that were currently listed on the Forward Plan for the next two Executive meetings.

128. LORD MAYORALTY 2009/2010

Members considered a report which asked them to decide which of the political groups should be invited to appoint the Lord Mayor for the 2009/10 Municipal Year.

Under the current points scheme for nomination of the Lord Mayor, the Conservative group, with a total of 36 points, would qualify to make the nomination. Should Members wish to invite a different group to submit a nomination, this would require a change to the agreed procedure.

Having noted the comments of the Shadow Executive on this item, it was

RESOLVED: That the Conservative group be invited to nominate the Lord Mayor for the 2009/10 Municipal Year.¹

REASON: In accordance with the agreed procedure, to provide continuity for future selection and to ensure that the Council has the necessary leadership to undertake its civic functions.

Action Required

1. Invite the Conservative Group to make their nomination GR

129. CHILD POVERTY IN YORK

Members considered a report which responded to a motion agreed by Full Council on 30 June 2008, calling for an action plan to target those areas of the City with the highest levels of child poverty.

The report examined the definition of 'child poverty', research carried out on the impact of poverty on families and children, and the development of government strategies intended to address child poverty, including a set of new pilot initiatives announced on 23 June 2008. In York, the issue was one of pockets of deprivation. Children living in certain areas of the City were more likely to be living in families that were income deprived and more likely to have poorer academic outcomes. Overall, the figure for child poverty in York was below the national average but in five wards (Guildhall, Westfield, Hull Road, Clifton and Heworth) the figure was well above the national average.

The Anti-Poverty Strategy of Without Walls brought together existing and proposed new initiatives to work with partners to tackle poverty in the City. Specific action areas to make a local impact upon child poverty levels, in the context of the over-arching strategy, were outlined in paragraphs 21 to 32 of the report. They included:

- The work of children's centres
- A preventative approach with targeted groups, particularly the teenage homeless, and
- Narrowing the gap – a two year project, funded by the Department for Children, Schools and Families, that started in June 2007.

In response to the comments of the Shadow Executive on this item, Members noted that this issue could not be addressed by means of action plan in a single department but required a collective approach, involving external partners in the City as well as the Council as a whole.

RESOLVED: (i) That the report be noted.

(ii) That Officers be requested to seek further discussion of the report at key partnership forums, in particular Inclusive York and YorOK Board, with the aim of creating opportunities to access collective support and resources to support the action areas outlined in the report.¹

REASON: In order to respond to the Council motion and to address the issue of child poverty in York in the most effective way.

Action Required

1. Make arrangements to refer report to partnership forums CB
for discussion

130. CORPORATE STRATEGY REFRESH

Members considered a report which outlined a proposed refresh process for the Council's Corporate Strategy (the Strategy), to ensure greater alignment with the Sustainable Community Strategy (SCS) and the Local Area Agreement (LAA).

From April 2009, the format of the Strategy would change. The vision for the City in the SCS would be recognised as an overarching element. Instead of the existing ten priorities, there would be eight themes, with a set of medium term (three year) improvements under each theme, as well as a set of one-year actions. The existing Corporate Values would remain unchanged. Quantifiable measures of overall progress would be produced during, and at the end of, each year. This performance monitoring would be a key element of the Financial and Performance reports brought to the Executive.

Members and Officers had already met for the first round of workshops to discuss one-year actions for 2009-10. Further work was continuing to consider delivery arrangements and measurements for these actions. A second round of workshops, to consider the medium term planning, would take place in January. Members were invited to endorse the refresh process outlined in the report and to participate in the second round workshops (Option 2). Option 1 was to leave the current corporate strategy unchanged.

Members acknowledged the value of the workshops in discussing proposals for inclusion in the Strategy but stressed the need to ensure that the Strategy contained realistic goals and that targets were deliverable within available resources.

Having noted the comments of the Shadow Executive on this item, it was

RESOLVED: (i) That the broad principles contained in Option 2 in the report be endorsed.

REASON: To give the Council's corporate strategic planning greater coherence, and to improve the Council's position under future inspection frameworks.

(ii) That the Strategy be further developed with Members¹ prior to formal submission of draft proposals to a future Executive meeting.²

REASON: So that the emerging Strategy can be refined in consultation with Executive portfolio holders and to meet budget requirements, and to ensure that any proposed changes made since the previous Corporate Strategy can be tracked.

Action Required

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| 1. Ensure procedures are in place to involve Members in development of the Strategy | SA |
| 2. Schedule report on Executive Forward Plan for formal submission of draft Strategy | SA |

131. IT STRATEGY 2007-2012

Members considered a report which presented a draft IT Strategy for the next five years. The draft Strategy had been designed to link closely with the Council's Corporate Strategy and the agenda for change over the coming years, and to reflect the role of IT as an essential enabler of transformation.

The draft Strategy, attached as Annex A to the report and summarised in Annex B, had been structured in accordance with the five themes agreed by the Executive last year, following the review of the 2002-2007 Strategy. These themes, set out in paragraph 10 of the report, were the main drivers for further IT development. Each theme was broken down into 'technology blocks' to enable achievement of the vision statement. These included a series of objectives for implementation or further exploration. The Strategy would remain a 'live' document, enabling objectives to be reviewed on a regular basis.

With regard to monitoring progress of the Strategy a broader reporting mechanism was needed, to ensure that Members received reports on the progress of key business led projects. Members' views were requested on this. Approval was also sought for proposed new arrangements for delivering and resourcing the Strategy, as outlined in paragraphs 20 to 23. These would involve creating a three-year rolling investment plan for IT and exploring the establishment of a central pool of Project Managers and Business Analysts in order to create capacity to deliver the Strategy on time without the need to recruit expensive consultancy support.

In response to the comments of the Shadow Executive on this item, Officers confirmed that the issue of accessibility had been addressed in the customer strategy and that the need to provide access to services in a variety of different ways, not just via IT, was accepted.

RESOLVED: (i) That the five themes set out in paragraph 10 of the report be approved.

(ii) That the IT Strategy attached at Annexes A and B to the report be agreed.¹

(iii) That progress on delivering the Strategy be reviewed on a six-monthly basis.²

(iv) That the development of proposals for a three year IT Development Plan, as set out in paragraph 20 of the report, be agreed.³

(v) That the development of proposals for a self-funding central pool of Project Managers and Business Analysts, as set out in paragraph 23, be agreed.⁴

REASON: In order to establish an attainable yet challenging vision for future services and to ensure that its delivery is effectively monitored.

Action Required

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| 1. Finalise and communicate the Strategy | SA |
| 2. Put arrangements in place to carry out 6- monthly progress reviews | SA |
| 3. Develop proposals for a three-year Plan, as agreed | SA |
| 4. Develop proposals for a central pool of Project Managers and Business Analysts, as agreed | SA |

132. IT DEVELOPMENT PLAN 2009/10

Members considered a report which set out areas of investment in IT that had been identified and put forward by Directors and sought a decision as to which of these proposals should be funded.

The bids had all been evaluated by the Corporate IT Strategy Group (CITSG) and were presented in priority order in Annex A to the report. A revised version of Annex A, correcting some errors in the previous version, had been published with the on-line agenda and copies circulated to Members. A summary of each bid, with a breakdown of costs, was provided in Annex B. The main benefits and efficiencies of each bid were summarised in Annex C and a summary of the bids rejected by CITSG was provided in Annex D.

Members were invited to consider the following options:

Option 1 – to fund all the bids evaluated by the CITSG, as set out in Annex A. This could deliver efficiencies of £703k per annum and would mean spending £3k less than had been allocated from the General Fund for 2009/10.

Option 2 – to fund only bids with a Risk and Opportunity score of over 50, as set out in Annex A. This could deliver efficiencies of £687k per annum and would mean spending £41k less than the allocation for 2009/10.

Option 3 – to fund only bids with a Risk and Opportunity score of over 80, as set out in Annex A. This could deliver efficiencies of £651k and would mean spending £58k less than the allocation for 2009/10.

Members were also asked to approve the release of funding set aside for the provision of an Electronic Homecare Monitoring System (as shown in the business case attached as Annex D) and for the replacement of the existing Performance Management System (PMS), as recommended by the Council's Corporate Management Team.

Having noted the comments of the Shadow Executive on this item, it was

RESOLVED: (i) That Option 2 be approved and that those bids with a Risk and Opportunity score of over 50 be funded and progressed, together with the time only projects, as set out in Annex A, subject to the total allocation given to this budget heading when the Council determines its overall budget for the forthcoming financial year in February 2009.¹

REASON: To ensure delivery of those projects most likely to be of benefit to the Council and its customers, and to enable those projects that require time only and no investment to proceed.

(ii) That it be noted that Bid no. 09CEX03 (Webcasting of Council Meetings) is subject to the decision made by Full Council on 25 September 2008 and thus should be dealt with in a further Officer report.²

REASON: In accordance with the decision of Full Council to ask for an Officer report on the contract negotiations for webcasting.

(iii) That approval be given to release funds set aside to implement a replacement Home Care Monitoring System, as set out in paragraph 22 and Annex D.³

(v) That approval be given to release funds set aside to implement a replacement Performance Management System, as set out in paragraphs 23 and 24.⁴

REASON: To enable these two projects to be progressed without delay.

Action Required

1. Communicate this decision to departments that have submitted bids and make any consequent adjustments to financial records SA
2. Prepare report for submission to next Executive meeting SA

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|--|----|
| 3. Release funds for Home Care Monitoring System | SA |
| 4. Release funds for replacement PMS | SA |

133. URGENT BUSINESS- RIVERBANK REPAIRS: RIVER OUSE, SCARBOROUGH BRIDGE TO CLIFTON BRIDGE

Members considered a report which informed them of a recent significant riverbank collapse, with a number of health and safety implications, and sought direction on how Members wished to address this issue.

The Chair had agreed to deal with this item as urgent business, due to the potential risk to safety should a further collapse occur and the consequent impact on the City's pedestrian / cycle route network.

The area in question was located on the north-eastern riverbank between Scarborough and Clifton Bridges. Although the land itself was not recorded to be in Council ownership, the Council had responsibility for the river wall. A 40 metre length of concrete capping beam had become dislodged and tipped into the river. There were currently no budgets available for riverbank repairs on the Ouse. Funding requested as part of the 2009/10 budget process was likely to be insufficient, as the bid had been submitted prior to this recent collapse.

Members were invited to consider the following options:

Option 1 – not to repair the collapse and allow the river to continue to scour the bank naturally along this stretch.

Option 2 – to undertake a survey and carry out repair and future proofing work as a matter of urgency. This would need approval from Full Council for inclusion in the 2008/09 capital programme.

Option 3 – to address this issue as part of the 'CRAM' process, as already initiated in the 2009/10 capital budget cycle, for approval by Council in 2009.

In response to questions from Members, Officers confirmed that temporary stabilisation of the collapsed area was not an option and that a proper repair would be needed. Any survey would need to extend beyond the failed area, looking at the whole of this stretch of the river bank. Funding for the repair would not be available from the Environment Agency because the breach did not in itself compromise the flood defences and the Council was the riparian owner with responsibility for the maintenance of the bank.

RESOLVED: (i) That an appropriate survey of and minor repairs to the collapsed area be undertaken, funded from existing revenue budget provision to be identified by the Director of Resources.¹

(ii) That a further updated report on the capital costs of repair in the longer term be brought back to the Executive in the very near future.²

REASON: So that the hazard to river users and the general public can be removed immediately and further consideration can be given to how best to address this issue in the longer term.

Action Required

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|---|----|
| 1. Carry out survey and repairs | SS |
| 2. Schedule report on Executive Forward Plan re longer term repairs and funding | SS |

A Waller, Chair

[The meeting started at 2.00 pm and finished at 3.00 pm].

EXECUTIVE FORWARD PLAN

Table 1: Items scheduled on the Forward Plan for the Executive Meeting on 20 January 2009		
Title & Description	Author	Portfolio Holder
<p>Second Capital Monitor</p> <p><i>Purpose of report: Provision to Members of the latest forecast of the Council's financial and performance position.</i></p> <p><i>Members are asked to: Agree proposed amendments to the capital programme and financial adjustments which are reserved to the Executive.</i></p>	Ross Brown	Executive Member for Corporate Services
<p>Second Corporate Finance and Performance Monitor</p> <p><i>Purpose of report: Provision to Members of the latest forecast of the Council's financial and performance position.</i></p> <p><i>Members are asked to: Agree proposed amendments to plans, mitigation for identified issues and financial adjustments (such as allocations from contingency and virements) which are reserved to the Executive.</i></p>	Peter Lowe/ Janet Lornie	Executive Member for Corporate Services
<p>Member Development</p> <p><i>Purpose of report: The report will consider options to further develop Member training within the Council which ultimately would improve knowledge of key aspects of Council business whilst working to achieve accreditation of the IDEA Member Charter.</i></p> <p><i>Members are asked to: Consider the options detailed in the report.</i></p>	Terry Collins	Executive Member for Neighbourhood Services
<p>Siting the York Big Wheel in North Street Gardens</p> <p><i>Purpose of report: The operator of the big wheel wishes to submit a planning application to locate the big wheel in North Street Gardens.</i></p> <p><i>Members are asked to: Approve (subject to planning permission) the siting</i></p>	Charlie Croft	Executive Member for Leisure, Culture & Social Inclusion

<p><i>of the York Big Wheel in North Street Gardens.</i></p>		
<p>Audit & Fraud Shared Service</p> <p><i>Purpose of report: To provide Members with a briefing on the Shared Audit & Fraud Service with North Yorkshire.</i></p> <p><i>Members are asked to: Note progress made.</i></p>	<p>Max Thomas</p>	<p>Executive Member for Corporate Services</p>
<p>Granting a Loan to an Outside Body – York Credit Union</p> <p><i>Purpose of report: To inform Members that an outside body – York Credit Union – has requested a loan from City of York Council. Direction is sought on how Members would like to move forward.</i></p> <p><i>Members are asked to: decide if they would approve the loan.</i></p>	<p>Louise Branford-White</p>	<p>Executive Member for Corporate Services</p>
<p>Community Stadium – Progress Report</p> <p><i>Purpose of report: This is an information paper. It will look at the progress made in regards to the Community Stadium Project. The areas it covers include the appointment of a project manager, site identification, procurement of the business case and partnership working.</i></p> <p><i>Members are asked to: Note the progress made in the report to date.</i></p>	<p>Bill Woolley</p>	<p>Executive Member for City Strategy</p>
<p>Regional Spatial Strategy 2009 Update – Response to Spatial Options Consultation</p> <p><i>Purpose of report: To inform Members about the update to the Regional Spatial Strategy being progressed by the Regional Assembly. A Spatial Options consultation document has been published which asks questions about how much housing should be delivered across the region and where this growth should be distributed.</i></p> <p><i>Members are asked to: To seek Members endorsement to the officers proposed response to the Spatial Options consultation document.</i></p>	<p>David Caulfield</p>	<p>Executive Member for City Strategy</p>

<p>Review of Public Transport Provisions in the City of York Council</p> <p><i>Purpose of report: This report reviews the provision of bus transport in the City. It looks at the commercial network, the Council subsidised services, the concessionary travel scheme, the dial-a-ride service and public transport infrastructure. The report considers a range of options for improvement.</i></p> <p><i>Members are asked to: Give approval to make amendments to the provision of all of the above from April 2009 and throughout the financial year 09/10. The resulting effects will be immediate or gradual throughout the year.</i></p>	Andrew Bradley	Executive Member for City Strategy
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Table 2: Items scheduled on the Forward Plan for the Executive Meeting on 3 February 2009		
Title & Description	Author	Portfolio Holder
<p>Vehicle Maintenance Procurement</p> <p><i>Purpose of report: To inform Members of the proposed procurement arrangements for the maintenance and management of the Council's fleet.</i></p> <p><i>Members are asked to: Consider the recommendations in the report.</i></p>	Sarah Kirby	Executive Member for Neighbourhood Services
<p>Comprehensive Performance Assessment</p> <p><i>Purpose of report: To provide Members with a detailed briefing on the latest government performance framework.</i></p> <p><i>Members are asked to: Note the report's recommendations and comment.</i></p>	Peter Lowe	Executive Member for Corporate Services

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

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Executive

23 December, 2008

Report of the Assistant Director (Lifelong Learning and Culture)

Future of the City Archive Service**Summary**

1. This report proposes a way forward for the future of the City Archive.

Background

2. In January 2005 the Executive received a report of the Leisure and Heritage Scrutiny Board. This led to the adoption of the vision for the City Archive set out in Annex A. In March this year the Executive agreed that a feasibility study should be undertaken in pursuit of the vision and to address the pressing need to re-house the collection and bring about step change in the number of people using it. It was agreed that the study would consider the potential to establish a trust to take responsibility for the city archive and would set out a project plan to implement any new arrangements recommended.
3. The study has been undertaken by Richard Taylor, Senior Curator - Knowledge and Access at the National Railway Museum, who has been seconded to the Council to act as a consultant. It was agreed that he would report back after the first 6 months which would be spent undertaking the feasibility investigation and developing options. His report is attached at Annex B. A further 3 month lead in period is now available prior to implementation of any new arrangements from 1 April 2009.

Consultation

4. Consultation has taken place with all stakeholders as part of the feasibility study. Details are set out in Annex B.

Conclusions from Richard Taylor's report

5. The key conclusions set out in Richard Taylor's report are:
 - The City Archive has significant development potential, but no leadership, management or financial capacity to allow it to unlock that potential.
 - The Archive is relevant to every citizen and to the city strategies of a thriving city, an inclusive city, a learning city, and a cultural city, but it has no capacity to develop outreach to new users.
 - The Archive's Unique Selling Proposition is its continuity as the record of civic life and accountability for 800 years, and this USP should be reinforced.

- Significant external funding opportunities are available to local authority archives, and funding bodies have expressed interest in the City Archive.
 - The Council will maximise success in grant applications by demonstrating an active commitment to the Archive, backed by a high percentage of matched funding.
 - There is high potential to form partnerships with other archives in the city, but they are reluctant to engage until the Archive's remit and funding is stabilised and the Council show managerial and financial commitment to the service.
 - The Archive and Local History Library are the only parts of the Library service eligible for Heritage Lottery funding, and managing them as separate entities fragments their development potential.
 - Developing the Central Library within the Cultural Quarter offers the chance to create a new city-centre public Archive. This could be funded through an application to the Heritage Lottery Fund.
 - The City Archive is too small to benefit from transfer to an operating trust, but an arms-length development trust modelled on the successful Hampshire Archives Trust will increase the Archive's attractiveness to private donors and will maximise the efficiency of a capital grant to the Archives.
6. The study makes detailed recommendations which can be summarised as:
- Retain the City Archive in-house, within the Library service, and merge the Archive and Local Studies into a single service with a single public services team and unified standard of public offer.
 - Create the capacity to increase user numbers, opening hours and outreach by funding one additional full-time Information Assistant.
 - Provide strategic leadership and the management capacity to realise the services potential by abolishing the post of City Archivist and creating a Strategic Development Manager to lead the merged service and to raise development funding through cultivation of funders and the submission of external funding applications.
 - Re-focus the Archive on its original remit to preserve and maintaining the unique York Civic Archive and apply to have the Civic Archive formally Designated as being of national importance. Cease general collecting of archives in other areas, and carry out a rationalisation of the existing collections.
 - Celebrate and reinforce the Archive's return to its core remit by designating the Lord Mayor as Honorary Keeper of the City Archive.
 - Create a Development Trust based on the Hampshire Archives Trust model to act as a focus for fundraising, engagement with stakeholders and creating partnerships with other organisations.
 - Make a one-off start-up capital grant of £30k to the Development Trust to allow it to invest in development partnerships with other archives, and in increasing the trading potential of the merged service.

- Transfer all Archives and Local History trading activities to the Development Trust under a Service Level Agreement. Incentivise the Trust to increase trading income by allowing it to keep all additional net income it generates above the 2008-2009 level.
 - Initiate a project to re-locate the Archive and Local History to the Central Library as part of existing plans to develop the Library building.
 - Make a capital contribution to this project of £0.5m, which can be used as the basis for an application to the Heritage Lottery Fund and other funders.
7. The report recommends that members invest in:
- A new post of Development Manager
 - An additional post of Information Assistant at either 0.8 (Option 1) or 1.0 fte (Option 2)
 - A one-off grant to the development trust of £30k

Options

8. The options arising from the report are:
- i. do nothing and maintain the status quo
 - ii. invest in the development of the service as set out in the recommendations above

Analysis

9. It has long been recognised that status quo is not an option:
- There are long-term concerns about the ability of the current facilities to house the collections adequately; the Public Record Office (now the National Archives) issued a report in 2000 which made it clear that the accommodation for the City Archive was inadequate and must be addressed. Our rights to accept deposits of tithe and manorial documents have been withdrawn due to concerns about the ability to care for them satisfactorily in the current building. The building has recently been affected by flooding. A further National Archive inspection was undertaken last month. The National Archive has delayed submitting its report, awaiting the outcome of this meeting. The adoption of a clear and positive strategy by the Council will go a long way to restore the confidence of the National Archive.
 - The archive facilities do not encourage access: space is limited, there are low staffing levels and a lack of virtual access.
 - Following the budget cut made in last year's budget process it is no longer possible to fund the former post of City Archivist and the necessary leadership and professional expertise is now lacking to develop the service.
10. Investment in the service on the other hand will provide the necessary capacity to develop the service in line with the agreed vision. Within 5 years the service will make significant progress towards the ten year vision, and specifically:
- The collections will be a source of learning, interest, inspiration, and fun for all sections of the community, widely used for a wide range of purposes

- All citizens will be aware of what the archives have to offer them and there will step change in the number of users
- The collections will be housed in excellent premises and conservation activity will be greatly increased
- Hours of opening will be increased including at weekends
- Partnership working will be the norm with all the major institutions in the city as well as all the local history groups
- Virtual access will be increased
- The archives will play a significant role in show-casing York's achievements, raising York's profile, and encouraging people to visit and to invest in York
- The collections will be supporting the city's key priorities, not just in learning e.g. but in other areas, e.g. providing positive activities for young people
- An effective modern records system will manage records destined for the Archive as well as limited-life records with a known future disposal date

Next Steps

11. The study proposes a five-year implementation timetable to turn around the City Archive and to realise its full development potential. Key milestones are:

April 2009	– Implement the new merged structure
	– Strategic Development Manager & Information Assistant in post
July 2009	– Trustees recruited for Development Trust
	– Publicity campaign for new service
September 2009	– Development Trust launched
September 2009 – March 2010	– Collections rationalisation plan for the Archive and Local History drawn up and consulted on
2010 – 2011	– Quick-win fundraising and development projects
	– Collections rationalisation
	– Application for formal Designation of the Civic Archive
	– Stage 1 HLF funding application for new city-centre Archive and Local History service at Central Library
2011 – 2013 (depending on success of Stage 1 application)	– Stage 2 HLF funding application for new city-centre Archive and Local History service
	– Relocation to new site

12. In the meantime the Archive staff have been doing some excellent work over the last six months within existing resources:

- addressing the big backlog of collections management issues, working in partnership with other institutions
- giving the premises a face-lift making them brighter and more welcoming to users

- producing a new leaflet has been produced promoting the service in an attractive way
- facilitating research in support of the Hungate dig to help York Archaeological Trust's understanding of the site
- obtaining funding for 2 education projects: A Secret History: York and the Nuclear Threat and 'Stars Observed: Goodricke, Piggott and the development of Astronomy'

Implications

Financial:

13. The following table shows the implications for the Archive's budget:

	Current Budget 2008/09 £,000	Option1 2009/10 Cost £,000	Option1 Maximum Cost £,000	Option2 2009/10 Cost £,000	Option2 Maximum Cost £,000
Staffing Budget	82	114	125	117	128
Non Staffing Budget	31	31	31	31	31
Total Budget	113	145	156	148	159
Increase compared to current budget		32	43	35	46
Plus one-off payment to Trust		30		30	

*All costs shown at 2008/09 prices

14. The additional resources would be required from April 2009 and would need to be treated as a growth bid within the 2009/10 budget process.
15. This investment would restore York broadly to the position of 2006/7 when York had an available budget of £135k to spend on its archives service placing it 70th out of 92 English archives authorities in terms of net expenditure (56th out of 92 in terms of expenditure per 1,000 of population). The budget has decreased year on year since 2006/07 which would suggest that York would no longer be ranked at this level. The budget available in 2008/09 has fallen to £113k.
16. When the service was put out to tender in 2006 the cheapest bid was over £334k per annum, more than £200k in excess of the current budget. The bid also required one-off set up costs of £414k. The cheapest bid that offered city centre access was far more expensive again. Previous investigation into refurbishing the current premises estimated a cost of £1.45m at 2003 prices.
17. A capital bid has been made through the CRAM bid for the refurbishment of York Library including £0.5m for the financial year 2010/11 in respect of these proposals.

HR:

18. The post of Development Manager has been evaluated at Grade 10. The job description is attached at Annex C for information. This new post would be recruited to in line with the Council's normal procedures as would the additional post of Information Assistant (This is an existing post designation on Grade 3). The former post of City Archivist would be deleted from the establishment. Current acting up and other temporary staffing arrangements would cease.

Property:

19. When the current City Archive facility is vacated it will revert to York Museums Trust under the terms of the lease. The Trust will be able to use the space to good effect as part of their development plans for the Art Gallery. The proposal to relocate the City Archive to York Library is subject to a detailed feasibility study. (The £0.5m in year 2 of the current CRAM bid is purely indicative). Whilst it has been established that it is structurally possible to add a further wing to the York Library a detailed study will be required to establish the cost / benefit of such a scheme. A further report will need to be brought to members on this and any other property options in due course.

Other Implications:

20. There are no equalities, crime and disorder, or information technology implications immediately arising from this report.

Corporate Priorities

21. The City Archive has the potential to contribute to the corporate priority of increasing people's skills and knowledge to improve future employment prospects.

Risk Management

22. There is a risk of a negative inspection report from The National Archives (TNA) if a solution is not found for the City Archive within a reasonable period of time. Withdrawal of TNA approved status would result in it being practically impossible to attract any external funding.

Recommendations

23. The Executive is asked to agree:
 - the proposed strategy of retaining the City Archive in-house and creating a single Archives and Local History service within the Library Service
 - the creation of two new posts in place of the former post of City Archivist:
 - Development Manager, and
 - an additional post of Information Assistant, specifying whether it should be at 0.8 fte or 1.0 fte
 - the designation of the Lord Mayor as Honorary Keeper of the City Archive
 - to create a Development Trust with a one-off start-up capital grant of £30k to support the work of the service and with responsibility for trading activity

- to initiate a project to re-locate the Archive and Local History service to the Central Library as part of existing plans to develop the Library building.
- to include the necessary additional resources set out in the report within its budget proposals to be submitted to full Council in February as part of the 2009/10 budget process

Reason: To secure a viable future for the City Archive.

Annexes

- A. Vision for the archives service
- B. Richard Taylor's report
- C. Job description for the post of Development Manager

Contact Details

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Report Approved ✓ **Date** 11.12.08.

Specialist Implications Officers:

Finance:	Property:	HR:
Richard Hartle	Neil Hindhaugh	Heather Page
Head of Finance	Head of Property Services	HR Advisor
554225	553312	554366

Wards Affected:

All ✓

For further information please contact the author of the report

Background Papers:

Scrutiny of the City of York Archives Service: Report to the Executive, 17 Jan. 2006
Future of the City Archives Service: Report to the Executive, 11 March 2008

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Vision for the Archives Service

This is our vision for the council's archives collections. Within the next 10 years:

- Our archives service will be making an exciting contribution to the life of “a city making history”. Telling the story of the people of York they will be for the people of York, enriching lives in all sorts of ways
- The collections will be a source of learning, interest, inspiration, and fun for all sections of the community
- All citizens will be aware of the archives, what they have on offer for them, and how they can access them if they wish
- They will be used extensively for all kinds of purposes, by:
 - school groups as part of the curriculum
 - individual learners pursuing their own projects
 - people interested in exploring their origins and their family history
 - specialist groups like the Oral History Society and community archives groups
 - local groups wanting to understand the history of their own communities
 - planners and decision makers, understanding the city's heritage
 - people worldwide interested in York
 - academics and researchers
- Far from being the preserve of the few they will be open to all and will proactively encourage new users. Staff will be on hand to help people who are new to using archives
- Materials available will be diverse: Documents, photographs, moving images, sound and oral history recordings – some will be originals, others surrogates of material from other collections. The surroundings will encourage browsing
- At least 22,000 people per annum will use the collections in person (600% more than at present). Virtual visits will be measured in the hundreds of thousands
- The collections will be housed in state of the art premises and the quality and quantity of conservation activity will be greatly increased. The direct handling of documents will gradually decrease as digitisation increases in depth and quality
- There will be an archivist with special responsibility for and knowledge of the city's collections
- They will be available for public use for at least 45 hours per week including at weekends and in the evenings
- Physical access to the collections will be complemented by a virtual “gateway” to the city that showcases our heritage. This gateway will be seamless to the user – what will matter is what they are interested in rather than what institution holds the object or document
- We will take this forward through a partnership of flagship status capable of contributing to the development of national practice, training professionals, and

attracting funding. The partnership will draw in key providers such as the Library Service, all the major museums, the University, York St John's College

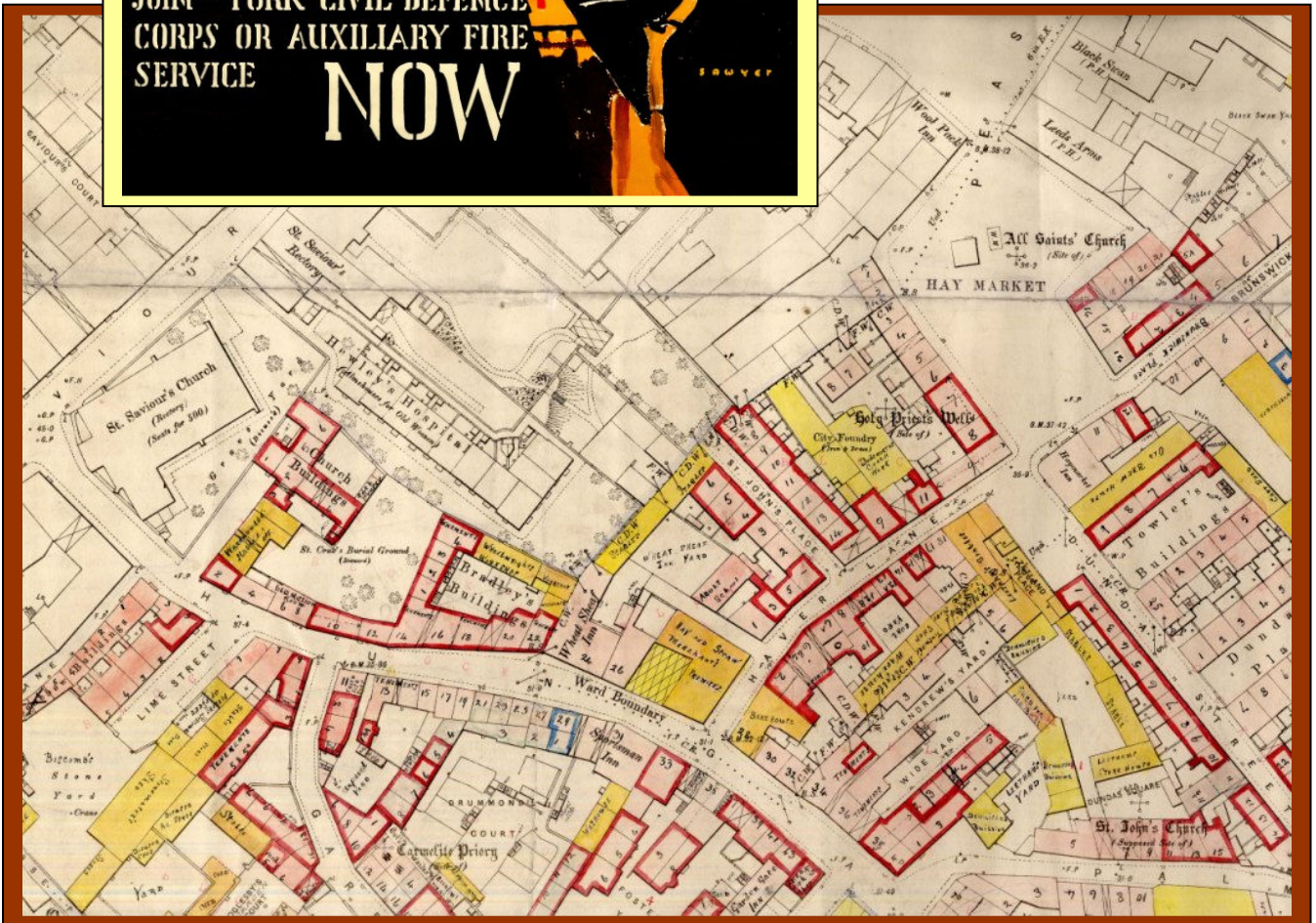
- The partnership will also work with local history groups to develop the concept of a History Store that will act as a Gateway to York's Past. Based in the Central Library and building on both the local history library and the archive collections it will showcase local and family history resources. The resources will be made accessible through innovative use of ICT and staff's active engagement with users.
- Private depositors will have their collections cared for and documented in the same way as the civic collections.
- In this way virtual access to the archives collections will be possible through a whole host of locations in the city many with staff support on hand
- The archives will play a significant role in show-casing York's achievements, raising York's profile, and encouraging people to visit and to invest in York
- Ultimately the partnership may in effect form a single archive service for the city as far as the public are concerned
- The collections will be supporting the city's key priorities, not just in learning e.g. helping adults to improve basic skills, but in other areas, e.g. providing positive activities for young people
- There will be an Education Officer making the archives a valuable resource for schools and young people generally
- Staff will work in the community to support local groups and communities of interest to access the collections. Community archives and similar groups will be flourishing. Some will base themselves along side the city's collections
- Volunteers will be extensively involved in working with the collections
- The most accessed collections will have been digitised in partnership with other archive institutions in the city (and probably beyond). Paid for access to popular material will subsidise digitisation of the less commercial and will be generating revenue that will be ploughed back into conservation of the collections
- An effective modern records system will manage records destined for the Archive as well as limited-life records with a known future disposal date



**A NEW
STRUCTURE FOR
YORK CITY
ARCHIVES**

**Final Report
November 2008**

**Richard Taylor
Senior Curator,
Knowledge & Access
National Railway
Museum**



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Section 1 EXECUTIVE SUMMARY

- 1) The study remit was to identify a new governance structure for the City Archives that will unlock additional funding and greatly increase user numbers and other outputs.
- 2) Information was gathered through a mixture of desk research and interviews, and analysed using SWOT techniques guided by these principles:
 - No raking over the coals about past decisions and actions.
 - The simplest solution is the best. Elaborate solutions have no inherent value.
 - We must address the situation faced by the Archives today, not in the past.
- 3) The analysis shows:
 - The City Archives has significant development potential, but no leadership, management or financial capacity to allow it to unlock that potential.
 - The Archive is relevant to every citizen and to the city strategies of a thriving city, an inclusive city, a learning city, and a cultural city, but it has no capacity to develop outreach to new users.
 - The Archive's Unique Selling Proposition is its continuity as the record of civic life and accountability for 800 years, and this USP should be reinforced.
 - Significant external funding opportunities are available to local authority archives, and funding bodies have expressed interest in the City Archives.
 - The Council will maximise success in grant applications by demonstrating an active commitment to the Archives, backed by a high percentage of matched funding.
 - There is high potential to form partnerships with other archives in the city, but they are reluctant to engage until the Archives' remit and funding is stabilised and the Council show managerial and financial commitment to the service.
 - The Archives and Local History Library are the only parts of the Library service eligible for Heritage Lottery funding, and managing them as separate entities fragments their development potential.
 - Developing the Central Library within the Cultural Quarter offers the chance to create a new city-centre public Archive. This could be funded through an application to the Heritage Lottery Fund.
 - The City Archives is too small to benefit from transfer to an operating trust, but an arms-length development trust modelled on the successful Hampshire Archives Trust will increase the Archives' attractiveness to private donors and will maximise the efficiency of a capital grant to the Archives.
- 4) The study makes detailed recommendations which can be summarised as:
 - i. Retain the City Archives in-house, within the Library service, and merge Archives and Local Studies into a single service with a single public services team and unified standard of public offer.
 - ii. Create the capacity to increase user numbers, opening hours and outreach by funding one additional full-time Information Assistant.
 - iii. Provide strategic leadership and the management capacity to realise the services potential by abolishing the post of City Archivist and creating a Strategic Development Manager to lead the merged service and to raise

- development funding through cultivation of funders and the submission of external funding applications.
- iv. Re-focus the Archive on its original remit to preserve and maintaining the unique York Civic Archives and apply to have the Civic Archive formally Designated as being of national importance. Cease general collecting of archives in other areas, and carry out a rationalisation of the existing collections.
 - v. Celebrate and reinforce the Archives' return to its core remit by designating the Lord Mayor as Honorary Keeper of the City Archives.
 - vi. Create a Development Trust based on the Hampshire Archives Trust model to act as a focus for fundraising, engagement with stakeholders and creating partnerships with other organisations.
 - vii. Make a one-off start-up capital grant of £30k to the Development Trust to allow it to invest in development partnerships with other archives, and in increasing the trading potential of the merged service.
 - viii. Transfer all Archives and Local History trading activities to the Development Trust under a Service Level Agreement. Incentivise the Trust to increase trading income by allowing it to keep all additional net income it generates above the 2008-2009 level.
 - ix. Initiate a project to re-locate the Archives and Local History to the Central Library as part of existing plans to develop the Library building.
 - x. Make a capital contribution to this project of £0.5m, which can be used as the basis for an application to the Heritage Lottery Fund and other funders.
- 5) The study proposes a five-year implementation timetable to turn around the City Archives and to realise its full development potential.
-



Section 2 BACKGROUND

The remit for this study was approved by the Council Executive on 11th March 2008 following a report from the Assistant Director, Lifelong Learning & Culture, entitled "Future of the City Archives Service".

The main points of that report can be summarised as:

- Given the depth of the collections and their international importance the City Archive Service should aspire to excellence and to being one of the very best in the country.
- From the Archives scrutiny report and from the views of stakeholders expressed as part of that exercise it is clear that it is vital that the city archive remains and is developed as a focus for civic pride and identity. This has clear implications for the need to retain its distinct identity and ethos.
- At the same time step-change is needed within the organisational structure: staff, systems, skills, styles, partnerships, and community involvement.
- Organisational options for the Archives Service can be characterised as:
 - Stay as it is
 - Undertake organisational development

Previous investigations into the future of the City Archive have demonstrated that staying as it is is not a realistic option.
- To make these changes and to move towards a new type of organisation capable of delivering the vision [set out in Annex A of the original report] a governance structure will be needed that:
 - Increases community and stakeholder involvement
 - Facilitates partnership working with the other institutions in the city
 - Provides a clear focus on the historic collections interfacing effectively with the issues of handling the Council's current records after the move to Hungate
 - Generates significant increased income streams over above the current baseline annual funding
 - Has scope to raise funds to assist with the development of access to and interpretation of the collections
 - Deploys a change team to lead, plan and develop the new organisation
- To address these issues a feasibility study is proposed to investigate options for governance structures. The primary focus will be on the potential to establish a trust to take responsibility for the city archive and to set out a project plan to implement any new arrangements recommended.
- The objective will be to greatly increase user numbers and other outputs for the same level of expenditure and to identify a governance structure that will unlock additional funding for the service.

Section 3 METHODOLOGY

The study commenced in late May 2008. The study was carried out by the author on part-time secondment from his post as Senior Curator (Knowledge and Access) at the National Railway Museum.

Information for the study was gathered through a variety of methods in the period May-October 2008:

- Face-to-face discussions with key stakeholders to gather up-to-date views and opinions on the Archives Service;
- Visits to the City Archives and Local History Library to discuss with staff the size and range of the collections and the collections management challenges they face;
- A visit to Hampshire Archives and Local Studies service in Winchester to gather information on the workings of the Hampshire Archives Trust and lessons from that for York;
- A desktop review of previous Council reports and studies relating to the City Archives for background and context;
- Analysis of the most recent available Chartered Institute of Public Finance and Administration (CIPFA) statistics for local authority archive services (2006-2007) to identify any useful indicators;

A wide sample of stakeholders within and outside the city was consulted. Those interviewed included Councillors and officers; archive and heritage professionals at the University of York, the Museums Libraries & Archives Council, The National Archives, York Museums Trust, the National Railway Museum and Hampshire Archives and Local Studies, and other interested parties such as the York Civic Trust and the Friends of York City Archives.

A full list of those consulted is given in Appendix 1. The author would like to thank all of those consulted for giving up substantial amounts of their time to help shape this study, and for being so frank in their comments and opinions.

The author would also like to commend the staff at York City Archives for their cheerful and positive assistance with all the author's questions.

Those consulted have not been directly quoted in this report. The entire responsibility for interpretation of their contributions as presented here lies with the author alone.

Writing up of this report was undertaken in November 2008. Feedback on the preliminary version of this report was obtained from The National Archives, Councillors, Archives & Library staff, and the Friends of York City Archives in November 2008.

The report was submitted to the Assistant Director, Lifelong Learning & Culture, on 27th November 2008.

Section 4 BASIC ANALYSIS

The following principles were adopted in analysing the study information.

A blank slate

The study adopted a “blank slate” approach to examining the development options for the City Archives. There should be no raking over the coals about what should or should not have happened to the Archives in the past.

In reality it was impossible to avoid re-examining previous initiatives and debates when speaking to stakeholders. However, unless this re-examination was of practical assistance in moving the Archives forward it has been ignored.

Ockham’s Razor

Ockham’s Razor is a principle attributed to the 14th-century English logician William of Ockham. It is often expressed in English as "entities must not be multiplied beyond necessity" or more simply "all other things being equal, the simplest solution is the best."

Organisational change is not an end in itself, and an elaborate or complex re-organisation of the City Archives has no inherent value. The focus of this study is on recommending the minimum level of changes required to release the development potential of the City Archives.

Relevant solutions to current problems

The situation that is to be tackled is the situation the Archives face today. In making recommendations the study has concentrated on practical and achievable actions that relate directly to the financial, legal, technical and organisational challenges faced by a local authority archives service in 2008. How the Archives has previously responded to challenges is not hugely relevant in this context.

SWOT Analysis

To establish the potential for organisational change and development the key issues facing the Archives were subjected to a SWOT analysis - categorised as Strengths, Weaknesses, Opportunities or Threats.

Each issue was then examined from the perspective of what the Council wishes the Archive service to deliver. This approach avoided assuming that there is a one-size-fits-all organisational structure for a heritage or cultural service that can magically unlock development potential if applied universally. Instead it has produced a series of practical recommendations for action that will allow the City Archives to:

- BUILD on its Strengths
- ELIMINATE its Weaknesses
- EXPLOIT the Opportunities now available
- MITIGATE the Threats which it faces

The summary SWOT table is given on the next page. The detailed analysis and recommendations for action follow in Sections 5-8, with a summary in Section 9.

<p>STRENGTHS</p> <ul style="list-style-type: none"> • The size, depth and continuity of the archive, and its relevance to all citizens. • The Archive offers hands-on access to history in the city centre. • The enthusiasm and passion of the staff • The current organisational structure is logical and delivers city strategies. • The Archives has an active user support base 	<p>WEAKNESSES</p> <ul style="list-style-type: none"> • The Archive is too small to benefit from stand-alone status. • Archives service is currently separated from the Local History Library • Current Archives building threatens the survival of the archive. • The current Archives Collecting Policy is not sustainable
<p>OPPORTUNITIES</p> <ul style="list-style-type: none"> • Obtaining external funding is a realistic aspiration • The Archive has potential to generate more income to seed-corn development • The Archive has real potential to increase its user numbers. • There is significant potential for partnerships with other York archives • Opportunities offered by the proposed “Cultural Quarter” • Opportunities offered by Council records management needs 	<p>THREATS</p> <ul style="list-style-type: none"> • External funding is not guaranteed • Local authority lending library services are not eligible for HLF funding. • Existing users have previously been hostile to change

Section 5 DETAILED ANALYSIS & RECOMMENDATIONS - STRENGTHS

The size, depth and continuity of the archive, and its relevance to all citizens.

- York City Archives is the 16th largest local authority archive in the country relative to population and is 77% larger than the average local authority archive.¹ The earliest archives held by the City are older than the City Walls.
- Popular perceptions of the archives amongst non-users are that the archives are predominantly mediaeval, and that they are not relevant to today's citizens. Although the mediaeval archives are of international historical significance and should be celebrated, they are just the tip of an iceberg. The City Archives holds the collective memory of the citizens of York over 800 years. It contains the original legal evidence produced as a result of local people coming together to run their own city, recording the debates and controversies over what York people wanted their city government to do for them – or not.
- It is difficult to identify any citizen whose life the archive doesn't touch in some way. Four snapshots will have to suffice to show the range of records that resonate with meaning to any present-day York citizen.
 - ***“The Register of Persons Convicted of Drunkenness” 1722-1772 (ref E105)***
Probably part of the Watch records, this slim volume records the names and details of men and women caught by the City severely drunk (and often abusive!) in public. Today we are blaming supermarkets and happy hours for binge drinking and anti-social behaviour – but the Archives shows that the problem (and public concern about it) predates both those scapegoats.
 - ***Council Minute Book No.1 1835-1837 (ref B2/1)***
Even the title is deceptive. This isn't the first ever Council Minute Book – it is the first Minute Book of the reformed Council following the Municipal Corporations Act of 1835. That might sound very dull, but the Act was the local government equivalent of the Great Reform Act of 1832. In York it swept away the remains of the mediaeval Corporation and for first time required the Council to be elected by ratepayers and to publish its accounts – the first major step towards true local democracy.

The first page of the book records the election to the reformed Council of a local businessman called George Hudson from Monk Ward. Hudson was a draper, a trade absolutely emblematic of York's then service and leisure economy. But within nine years Hudson would have over 1000 miles of railway under his control and would have jump-started the huge economic and cultural shift that transformed York into a railway city for 150 years.

As York's local economy faces another major shift, the City Archive reminds us that the city has endured for 2000 years not because it has stayed the same, but because every century people like George Hudson have reinvented what we do, and how we do it.
 - ***Hungate slum records 1907-08 (ref. Acc 157)***
The map on the report cover and the photograph on page 3 are a small sample of the records compiled by the City Health Department in 1907-08 to

¹ Source: CIPFA Archive Services Actuals Statistics 2006-07.

document the slum conditions faced by residents of the Hungate area.

The map and photograph show the dense network of courts and yards crammed with inhabitants having to share communal water pumps and plagued by poor sanitation. The map is hand-coloured to indicate which of the one-up, one-down back-to-back houses could possibly be made fit for continued inhabitation by knocking through, but this was at best a stop-gap solution.

In the aftermath of the Great War the Council decided that much more radical solutions were required to create “homes fit for heroes”, and embarked on a major programme of slum clearance. This saw the inhabitants of Hungate and similar areas relocated to brand-new Council Houses with modern sanitation, electric lighting, wide streets and gardens. Many people have now forgotten that “Council estate” once denoted a massive improvement in the quality of life. For anyone living in Chapelfields, Tang Hall, Bell Farm or Burton Green who wants to know where their roots lie in the historic city: this archive provides the answer.

o **The York Civil Defence archive 1939-1990 (ref Acc 89)**

The apocalyptic poster on the report cover is part of the archive of the York Civil Defence Committee. The archive documents the city’s response to the realities of 20th century total war, starting with Air Raid Precautions in 1939 and continuing through the whole of the Cold War to the collapse of the former Soviet Bloc in 1989/90. It includes the “York Experiments” of the 1960s, which saw the City Council carrying out live experiments to test Government advice on how citizens might prepare for a nuclear strike. Records show how volunteers attempted to live in a homemade fallout shelter for a weekend, whilst others tried to shop against the clock in Jackson’s of Bootham to stock up on food in advance of war.

The Archive shows that neither set of Government guidelines came off very well when exposed to this reality check. This made the York Experiments famous in their time, and illustrates that assurances about national security should always be subject to scrutiny.

- The archive isn’t just the story of the historic centre of the city – it is the story of the whole city, and it is all of our stories. The City Archive is of national importance because it is a living resource that results directly from how we run our city.
- The archive continues to develop and remains relevant to today’s concerns, demonstrating the accountability of the past to the present, and the present to the future. Today’s high profile local issues - Hungate; York Central; recycling; the outer ring-road; transport policy; central government funding - are already being documented in the archive for future re-evaluation and analysis.
- The continuity of the archive will be a key asset when seeking external funding. It demonstrates that the archive is not a “bolt-on” – it has been and remains an organic part of the civic life of York.
- As our collective memory the City Archives embody four of the seven key city strategies: a thriving city, an inclusive city, a learning city, and a city of culture. They should be a key asset for delivering those strategies.

- The City Archives should also be used to deliver the Place Shaping agenda for local government as envisioned by the Lyons Inquiry into Local Government 2007.²
- The breadth of subjects covered in the archive and their potential for connecting with new and non-traditional users in all parts of the city will be a key strength when seeking external development funding.

Recommendation 1

The Council should maintain a continuing close connection between the City Archive and current Council business so that the Archive continues to be a means of long-term local democratic accountability. Transfer of the Archive away from the Council would diminish this connection and devalue the archive.

The Archive offers hands-on access to history in the city centre.

- York City Archives is one of the few places in the city where direct hands-on interaction with historical material is offered to any member of the public who wishes to take part. The offer of “hands-on access to history” is a strong proposition for widening public participation with the heritage, and thus for supporting applications for external funding. This includes digitisation - digitisation of archives and their catalogues has been found to increase demand for hands-on access rather than diminish it.
- The city-centre location for the York City Archives allows a high-level of “drop-in” use (once potential users know that the service exists). This removes a barrier to access for non-traditional users and visitors to the city.
- Removing barriers to access is a key strategic objective for the Heritage Lottery Fund, and any service that can demonstrate strength in this area will enhance its chances of obtaining external funding.

Recommendation 2

The Council should maintain hands-on access to the archives in a city centre location. This does not mean that all York City Archives activities must be located in the city-centre.

² Sir Michael Lyons “Lyons Inquiry into Local Government – Final report. Place-shaping: A Shared Ambition For The Future of Local Government” TSO 2007 ISBN 9780119898545. See also <http://www.lga.gov.uk/lga/core/page.do?pagelid=403037>

The enthusiasm and passion of the staff

- Although few in number the current York City Archives staff are knowledgeable, professional and have high individual development potential. They are focussed on delivering public services and are keen to make changes that will develop the service.

Recommendation 3

The Council should build on the development potential of the current team by offering them continued access to the specialist training and development that they need to develop the service. This level of specialist support is more likely to be available to the Archives at economic cost if they remain part of a larger service.

The current organisational structure is logical and delivers city strategies.

- The York City Archives service is currently part of the wider Library & Heritage Service. As information workers, this structure gives the Archive staff direct access to relevant specialist professional and technical support.
- The current structure creates a direct organisational link with the Local History Library. The services and collections held by the Local History Library complement rather than compete with the York City Archives.
- Users of the York City Archives service are primarily engaged in adult and life-long learning, which means that the York City Archives is delivering a key strategic objective for the library service and the city.
- Archive service users and potential users regard management of the service within the wider Library service as logical.

Recommendation 4

The Archives should remain part of the main Library service.

The Archives has an active user support base

- The existing users of the Archive service are deeply engaged with and committed to the service. Regardless of previous disagreements with the Council they have now organised themselves as a Friends group to support the work of the service through volunteering and small-scale fundraising.
- The service's ability to demonstrate that it is actively engaging with users and offering volunteer opportunities will be an asset when making external funding applications.
- A well-managed volunteer programme is, in effect, external funding in kind and will enable the York City Archives to undertake additional enhancement projects (indexing, sorting, boxing) for no direct labour cost.
- Development of a fundraising programme via the Friends, and development of a meaningful and mutually rewarding volunteer programme are not cost-free activities. They require strategic management capacity. The Archives does not currently have this capacity.

- To encourage fundraising there must be a structure in place that maximises the efficiency of private donations from both the Friends and others. The new structure must build donors' confidence that donations will be ring-fenced to benefit the Archives, rather than being taken into general funds.

Recommendation 5

The Council should delete the currently vacant (and unfunded) post of City Archivist and replace it with a professionally qualified Strategic Development Manager to lead the Archives. This new post should have an explicit outward-facing development and fundraising remit to build relationships with supporters and donors, and to write external funding applications.

Recommendation 6

The Council should create and endow a Development Trust that can act as an arms-length body to increase the attractiveness of York City Archives to private donors and sponsors, and to demonstrate that donations will be ring-fenced for the benefit of the Archives. This Trust should include representation from the Council, service users, and other stakeholder bodies in the city. The Strategic Development Manager should act as Secretary to the Trust.

Section 6 DETAILED ANALYSIS & RECOMMENDATIONS - WEAKNESSES

The Archive is too small to benefit from stand-alone status.

- One of the major benefits flowing from the creation of the York Museums Trust (YMT) has been YMT's ability to manage and develop significant new income streams from retail, corporate entertainment and events, and other trading activities.
- YMT was granted management control over a large and physically contiguous city centre property portfolio. This has given YMT the opportunity to seek out significant savings in their overheads and premises costs. The size of the estate and the variety of spaces controlled by YMT has generated the opportunity for the enhanced trading activities.
- These opportunities simply do not exist for the York City Archives service, and there is no reasonable operational analogy to be drawn between YMT and the situation of the York City Archives service.
- The York City Archives currently employs 3.5 fte staff (1fte post, of City Archivist, is currently vacant following the budget cut taken in 2008/09). The service does not control its own building. There is no unallocated space within the building to develop as retail or corporate events space.
- The York City Archives Service annual overheads budget is currently £19690 – this includes the costs for premises maintenance, energy costs, and cleaning. This budget does not include any allowance for premises rental or for providing administrative support. Currently financial and HR support is provided for the Archives at marginal cost within the LCCS Directorate as a whole.
- This level of operating budget offers no realistic prospect for generating savings if transferred to a stand-alone operating trust. Creation of an operating Trust for a small service such as the Archive would simply result in an elaborate administrative money-go-round generating no benefits for the public.

Recommendation 7

York City Archives does not have the critical operational mass to make transfer to an operating Trust worthwhile. There is an alternative in-house operating model that will leverage additional funding for the service whilst maintaining steady revenue costs.

The Council should continue to provide core revenue funding for the service at a level which will fund:

- a) a steady-state public service
- b) strategic management capacity to develop an external funding plan (including cultivation of donors and funders.)

Development of the Archives should be funded through discrete time-limited projects. These development projects will be “pump-primed” by one-off capital contributions from the Council and/or the Development Trust (*cross-ref to Recommendation 6*).

Development projects should only be authorised if they deliver enhancements to the service that can be sustained by the existing revenue budget i.e. that result in productivity gains.

Archives service is currently separated from the Local History Library

- Despite offering complementary services and serving the same user needs the York City Archives service is physically separated from the Local History service, which is based in the Central Library.
- This has resulted in the duplication of operational resources that are common to both services such as reading rooms and research spaces, and requires two discrete teams of Information Assistants to provide public services. The two services are also carrying duplicate stocks of reference materials in both locations.
- There is no consistency of the public service offer between the two services, despite them serving the same need: the Local History Library is open longer during the week and also at weekends.
- The two services also have different reporting lines within the Library & Heritage Service. The professional staff in both services are co-operating on a practical and personal level, but more could be done to streamline management so as to free time for service development.
- Closer working between the two services is desirable because York City Archives and the Local History Library are the only parts of the Library & Heritage service that are eligible for Heritage Lottery Funding.

Recommendation 8

The Council should merge the Archives and Local History Library into a single service.

The merged service would act as a high-profile gateway and introduction to York History, directing users to the archives resources they need to have their questions answered – whether these archives are in the City Archives or are held by other bodies in York or beyond.

Recommendation 9

The Council should appoint a professionally qualified Strategic Development Manager to lead the merged service and to develop its facilities and public offer. (*cross-ref to Recommendation 5*).

In the short term the service will have to be operated as a two-site service. However, the public service teams should be merged to deliver a consistent quality of service across both sites.

Within the next five years the Council should make a capital contribution to a project to re-locate the merged service to a single city-centre location. This project should take advantage of both services' eligibility for HLF funding to leverage external funding to match the Council's capital contribution.

Current Archives building threatens the survival of the archive.

- The archive is housed in poor quality stores converted from a wing of the Art Gallery building.
- The Council's core legal obligation under the Local Government Act 1972 is to make suitable arrangements for its own archives, which at a minimum includes protection of them from deterioration, damage and theft. The current repository

fails to meet this basic standard, with erratic environmental controls and regular flooding.

- The current accommodation for the York City Archives was rated as inadequate by The National Archives in 2000. The National Archives deferred any revocation of the repository's "Approved" status at that time to allow the Council to produce an improvement plan for physical care of the Archives. As there is currently no such plan in place it is highly likely that the current repository will fail its five-yearly National Archives inspection this year.
- National Archives "Approved" status is a basic quality standard which major external funders expect an archive to obtain. Failure to obtain this, or to have a practical plan for achieving it, will disbar York City Archives from applying for Designation as an archive of national importance. It will also have a significant negative effect on the likely success of external funding applications.
- Capital enhancements to the existing building to maintain it as an archive repository are not cost-effective. In addition, continued occupation of the current building by the York City Archives involves a high opportunity cost for the city. York Museums Trust is developing alternative proposals for public use of the current York City Archives building as part of the "Cultural Quarter" initiative which potentially offer greater public benefit than its continued use as an archive repository.

Recommendation 10

The remit for the Strategic Development Manager for the Archives Service (*cross-ref to Recommendation 5*) should include starting negotiations with YMT over the future development of the existing York City Archives building. The objective will be maximise the fundraising benefits for both YMT and the Archives from this development.

Recommendation 11

The Council should make a capital commitment to a project to relocate the City York City Archives to a new site that removes the threat to the physical survival of the archive. This project should be undertaken as part of the re-location of the merged Archives and Local History public services to a single-city centre location.

The current Archives Collecting Policy is not sustainable

- The Council's core legal obligation under the Local Government Act 1972 is to make suitable arrangements for its own archives. The Local Government (Records) Act 1962 permitted local authorities to hold "other records of local significance". This is not compulsory - it is a discretionary power.
- In common with many local authority archive services, the City Archives used the permissive legislation to become a "document museum" for the local area, by collecting archives from businesses and other private bodies and individuals.
- Unlike the core Civic Archive, which belongs to the Council, the majority of the collected archives are held "on deposit" (indefinite loan).
- The documentation and audit trail for the terms and conditions on which much of this material is held is very poor. It appears that in virtually all cases archives have been accepted on deposit with no accompanying endowment to defray the costs to the Council of their conservation, cataloguing or storage.

- Council taxpayers' money is thus being spent on preserving private archives that the Council does not own and over which the Council has limited or no rights relating to use and intellectual property.
- There is a very strong argument that this active collecting policy is now unnecessary. Other archives cover many of the subject areas in which York City Archives has historically collected. Overlapping collecting policies create an obstacle to developing working partnerships with other archives in the city and beyond. Widening the Archives remit to general collecting has led to a loss of focus of staff effort and time.
- The reality of the current financial situation is that the City Archives does not have the resources to sustain the role of general collecting archive if it is to care for the archives already under its stewardship to a reasonable standard of preservation and public access.
- Instead of spreading its resources attempting to be a multi-purpose York archive, the City Archives should focus on its core strengths and core legal obligations.
- The Civic Archive is the holding that offers by far the greatest potential for development and for obtaining external funding for the service. The Civic Archive is the service's Unique Selling Proposition in marketing terms – no other archive holds the record of 800 years of local government and democracy in York.
- A re-focus on maintaining the core civic archive will re-connect the archives to the Council's current information management systems. As the Council is moving towards electronic document management this will bring forward the day at which all future accessions to the archives are in born-digital format, rather than requiring additional physical storage space.

Recommendation 12

York City Archives should cease to be a general collecting archive and should revert to its original and coherent mission of custodian of the civic archive.

Recommendation 13

The re-focus on the core Civic Archive should be celebrated and used to raise the profile of the Archives. The Council should make a significant symbolic gesture to support this by formally designating The Lord Mayor as Honorary Keeper of the City Archives. It is appropriate that York's First Citizen should embody the continuing role of the City Archive as keeper of the collective memory of all York citizens.

Recommendation 14

The York City Archives should restrict future collecting of non-civic records to archives that directly add value to the core civic archive (e.g. the Guilds, Public Records such as the coroner and courts archives; the archives of local political parties and local citizens groups). The only other collecting should be of material that supports the Local History collections (e.g. local history publications, York Oral History Group collections; local topographical photograph collections; community archives).

Recommendation 15

Wherever possible in law, all future non-civic accessions should be on the basis that full ownership of the new material (including intellectual property rights) is transferred to the City Archives.

To maintain the confidence of donors the Development Trust (*cross-ref to Recommendation 6*) should be empowered to accept donations of non-civic archives and to hold them in trust on behalf of the City.

Recommendation 16

A single accessions register for the existing deposited archives should be created so that the Council has a robust and accessible audit trail for these collections. This register should be used to support a phased programme of collections rationalisation to identify if there are any suitable alternate public archives to which non-core archives could be transferred.

Section 7 DETAILED ANALYSIS & RECOMMENDATIONS - OPPORTUNITIES

Obtaining external funding is a realistic aspiration

- Substantial amounts of external funding continue to be available to archives services from major bodies such as the Heritage Lottery Fund, the National Cataloguing Grants Scheme and the National Manuscripts Conservation Trust, as well as from more general charitable trusts and foundations.
- Funding remains available for a full range of development work on archives, from relatively small-scale enhancement projects (cataloguing and digitisation), to outreach and education work, to major capital developments up to and including new archive buildings.
- The National Council on Archives funds a free Archives Lottery advice service to help smaller services to maximise their chances of success in applications to the HLF.
- Major external funding bodies have specifically expressed interest during this study in hearing about development proposals for York City Archives, and have expressed the view that they would expect to see this as a priority for York. One body has asked “why is there nowhere in the centre of York for you to find out about the history of York?”
- The National Archives regards the Civic Archives as a major component in making York one of the most important archive cities outside London.
- The quality, depth and continuity of York’s Civic Archive means that it is a realistic aspiration for York to obtain formal “Designation” of the Civic Archive as an archive of national importance. Designation acts as a quality assurance indicator – it enhances the prospects for obtaining external funding, and is a requirement for access to some private trust funding.
- All major sources of external funding for archives are directly available to local authority archive services and do not require formation of a trust to access them.
- However, the creation of a trust linked to the archives would be an advantage when seeking grants and donations from private foundations, smaller trusts, and philanthropic individuals. This is due both to the tax advantages offered, and because some foundations will only make awards to charitable trusts.
- The Hampshire Archives Trust (HAT) provides an example that could be replicated in York. HAT has been operating for over 20 years as a development body for Hampshire Archives and Local Studies Service in Winchester. HAT brings together representatives of the local authority, other archives in the county, archive users, archive owners and those interested in local history. The Trust acts as a focus for developing partnerships, and for supporting the service through fundraising, outreach and advocacy. (*More information on the Hampshire Archives Trust is given in Appendix 2.*)
- Despite some perceptions, York is not specifically disadvantaged in obtaining external funding for archives. The Borthwick Institute, the Yorkshire Film Archive, York Minster and the National Railway Museum have all received substantial external funding to develop their archives. However, external funders expect to see co-operation between institutions as part of funding applications, and will not fund duplicate facilities such as conservation workshops.

- External funders give priority to applicants who demonstrate that they are already actively helping themselves. Applications made from a sense of entitlement will not succeed.
- Funders expect applicants to be already demonstrating organisational, managerial and financial commitment to the activity for which they require funding. They expect applicants to work with the funding body before submitting an application; to have devoted management time to understanding the funder's strategic objectives; and to have devoted management time to make sure that the proposed project matches those objectives.

Recommendation 17

As Recommendation 5: The Council should delete the currently vacant post of City Archivist and replace it with a professionally qualified Strategic Development Manager to lead the Archives. This new post should have an explicit outward-facing development and fundraising remit to build relationships with supporters and donors, and to write external funding applications.

Recommendation 18

The Council should make a one-off financial commitment to the York City Archives service of £30,000 which will pump-prime external funding applications and which will encourage matching donations from private individuals and trusts.

The most financially efficient way to achieve this will be to create and endow a Development Trust for the Archives modelled on the Hampshire Archives Trust. (*cross-ref to Recommendation 6*).

The Archive has potential to generate more income to seed-corn development

- On the most recently published figures, York City Archives are underperforming relative to other local authority archives in generating sales income. York generates 1.74% of its gross annual budget from sales (e.g. copy documents, and images, paid research etc.), ranking it at 56th from 85 services reporting figures and at 60% below the average.³
- However, the average national figure for sales' contribution to overall archives budgets is only 4.33%⁴ - there is no huge hidden pot of trading gold. The major financial resource that is waiting to be tapped is not trading income, but direct external funding for development projects, coupled with a significant increase in donations, added-value volunteer inputs, and sponsorship.
- This does not mean that no efforts should be made to increase sales income to match and exceed the national average. The merger with the Local History library will increase potential sales income, as the Local History Library holds more family history resources. The Archives does not appear to have explored the possibilities of licensing archives for which the Council owns the intellectual property rights.
- If increased sales income was ring-fenced to be used as a matching contribution to any bids for external development funding this would incentivise staff to increase sales. It would also incentivise users to buy products and services, as they would be able to see a direct benefit to the service from their purchases.

³ Source: CIPFA Archive Services Actuals Statistics 2006-07.

⁴ Source: CIPFA Archive Services Actuals Statistics 2006-07

Recommendation 19

The Council should use Archives trading activities to generate an income for the Development Trust. (*cross-ref to Recommendation 6*)

The Council should draw up a Service Level Agreement whereby the Development Trust takes over responsibility for managing Archives trading activities. The Council should incentivise the Development Trust to increase trading income by allowing the Trust to retain any net additional trading income the Trust can generate over and above the current level of trading income (i.e. in financial year 2008/09).

Recommendation 20

To enable the Development Trust (*cross-ref to Recommendation 6*) to invest in expanding trading activities the Council should make a one-off start-up grant to the Trust. This one-off grant should be in the region of £30,000, which will allow the Trust to immediately fund some remedial conservation and digitisation projects and the purchase of the associated equipment that will make more archives available and enhance the services trading potential. These enhancement projects should be carried out in partnership with other local archives as a basis for joint applications for external grants.

The Archive has real potential to increase its user numbers.

- From 90 services reporting York City Archives ranks at 66th for the number of “hands-on” users relative to the size of the archive. This is 62% lower than the average local authority service.⁵
- From 107 services reporting York City Archives ranks at 87th for the number of remote enquiries received relative to the size of the archive. This is 70% lower than the average local authority service.⁶
- There is no inherent reason why York City Archives should be so underused. The performance of other local authority services show that an increase in usage is perfectly feasible. Thanks to programmes such as “Who Do You Think You Are?” and other similar documentaries (e.g. the recent commemoration of the 90th anniversary of the Armistice) public interest in using archives has never been higher.
- As an example the recent investment in library and archive facilities at the National Railway Museum through the “Search Engine” project has given the service greater public visibility and a higher profile. This has resulted in user numbers rising from a previous maximum of 1500 a year to over 26000 users in the first ten months of 2008. This quantity of increase is exceptional, but it indicates the level of latent demand for hands-on access to archives which investment can unlock.
- It is not unreasonable to connect the low usage of York City Archives to its very low public profile within and outside York (there is little publicity to entice in new and non-traditional users) and to the relatively restricted opening hours of the service (closed one day a week, closed at lunchtimes, and closed at weekends.)
- The current levels of staffing for the service are such that these restricted opening hours are the maximum that is achievable. Maintaining even these

⁵ Source: CIPFA Archive Services Actuals Statistics 2006-07.

⁶ Source: CIPFA Archive Services Actuals Statistics 2006-07.

opening hours leaves no staff capacity available for publicity and outreach work, or for generating the external funding which would allow this to happen.

- The relevance and depth of the contents of the archive to the lives of all York citizens means that there is potentially a broad base of support and interest in the York City Archives if their profile could be raised. They could be a powerful tool for combating heritage alienation – the perception that York’s history is “only for tourists”.
- Use of archives by lifelong learners develops reading, research, analytical and information management skills, whilst local history is relevant and accessible history to non-traditional users, making the archives potentially a key resource for the 5 hour “Cultural Entitlement” for young people.
- External funding is available to undertake audience development and outreach. However, successful competitive bids for external funding require the commitment of management capacity to put together applications that will resonate with funding bodies.
- The most economical way of freeing professional staff time to undertake outreach work is to release them from the front desk by creating additional capacity in the public services team, rather than recruiting additional professional staff.

Recommendation 21

The Council should fund an additional 0.4 fte Information Assistant (i.e. 2 days per week). This will free professional staff time to develop and deliver outreach services and publicity, including preparing applications for external funding to help with this. This revenue funding is an investment, the return on which will be successful external funding bids.

Recommendation 22

The Council should fund an additional 0.2 fte Information Assistant (i.e. 1 day per week) to allow the Archive to open on Saturday mornings.

There is significant potential for partnerships with other York archives

- The National Archives regards York as one of the most important archive cities outside London. This is because of the quantity of significant archives held in the city in close proximity to each other: York City Archives; The Borthwick Institute, The National Railway Museum; York Minster Library & Archives and the Yorkshire Film Archive.
- This concentration of expertise in archives of high public interest offers a huge potential for the Archives to gain economies of scale by forming partnerships and joint projects for common benefit. These could include joint storage facilities, procurement of specialist materials, conservation projects, digitisation and cataloguing.
- Other archives in the city remain interested, in principle, in partnering with York City Archives on such projects. However, for this potential to become a reality the Council needs to re-build credibility and trust about its commitment to the Archives.

- Development partnerships for the Archives will only succeed if they can be established on the basis of mutual professional esteem, involve equivalent levels of commitment and are seen to produce mutually-advantageous benefits.
- The rhetoric of “partnership” cannot be used as cover for trying to move a perceived problem to another body, or to avoid making a financial commitment.
- Currently, the Council and the City Archives are not seen as advantageous partners for other services. The previous negative publicity surrounding the City Archives means that potential partners are reluctant to engage with the Council until the Archives’ remit and funding is stabilised and the Council show managerial commitment to the service.
- A level of action proportionally equivalent to the Council’s funding commitment to York Museums Trust is required to build confidence.

Recommendation 23

The Council should appoint an experienced heritage professional as the Strategic Development Manager for the merged Archives and Local History service (*cross-ref to Recommendation 5*). This will increase the City Archives’ credibility as a potential partner with other archives in the city and region.

Recommendation 24

The Council should make a one-off capital contribution to the Development Trust of £30,000. This will provide start-up capital for the Trust to develop partnership projects with other archives. This will build confidence amongst potential partners that the Council is serious about developing a future for the Archives. (*cross-ref to Recommendations 6, 18, 20*)

The remit of the Development Trust should be drafted to include promoting public education through the preservation and access of all archives and local studies collections that are directly connected to the city of York. This would allow it to act as a focus for wider partnerships and multi-service projects, whilst avoiding dilution of effort on projects that do not directly relate to the City.

Opportunities offered by the proposed “Cultural Quarter”

- The proposed “Cultural Quarter” development offers the opportunity to think strategically about a new site for the Archives and Local History service.
- The Central Library building, which already houses the Local History Library, is located adjacent to the Cultural Quarter. A project is already underway to develop the Central Library as an Explore learning centre, for which a CRAM bid has been submitted. The key deliverable of the Archives and Local History service is adult learning and skills development, which aligns exactly with the objectives of the Explore centre project.
- Core public library services are not eligible for Heritage Lottery Funding. Development of the Archives and Local History service would be eligible for HLF funding. With the current squeeze on HLF funds, the Council will need to commit a high proportion of matched funding (between 25-35%) to maximise the chances of success for such a bid.
- Relocation of the Archives and Local History service to the Central Library site would eliminate the need to create a separate support infrastructure for the

service. Reception, toilets, refreshments, education rooms, IT infrastructure and office spaces could all be shared with the Central Library. Creation of a new city-centre Archives could thus be achieved for the marginal cost of the specific facilities required – a BS5454-complaint repository space, and space for secure public access to the archives.

- Relocation of the merged service to the Central Library site would also create linkages between the Cultural Quarter and the rest of the city. The relocated Archives would provide a focus in the Cultural Quarter for communicating the wider city's history, heritage and culture. As a part of the Library service, the new Archives and Local History service will deliver access to history via the branch library network in the suburbs, as well as in the city centre, linking all parts of York together in a common consciousness of their shared history.
- Creating a new city-centre access point for Archives and Local History does not require the construction of a large city-centre archive repository.
- There now exists an infrastructure that allows separation of the archive repository function from the public research and access service. Several commercial companies and other archive services in the north of England offer archival quality off-site records storage services, including on-demand retrieval and delivery to city centre access points. The National Archives, and Chester and Cheshire Archives are using these services. They are being actively considered by the National Railway Museum and the Borthwick Institute as alternatives to further expansion of city centre storage.
- National strategic and funding bodies including the HLF and the Museums, Libraries and Archives Council are encouraging the principle of separating the archive repository function from the public access spaces. These bodies are encouraging archives services to co-operate on their future capital development projects to share expensive repository space rather than continuing to develop their own individual stores. This indicates that funding may be prioritised for such developments in the future.
- If the City Archives re-focuses its future collecting primarily on the core Civic Archive, the requirement for future growth in physical stores will be vastly reduced, as new accessions from the Council will increasingly be in “born digital” form.

Recommendation 25

The Council should commit to a capital project to re-locate the merged Archives and Local History service to the Central Library as part of the wider development of that site in the context of the Cultural Quarter. (*cross-ref to Recommendations 9, 11*)

The development project should include providing a small city-centre BS5454 quality archive repository for archives in current use, backed by a partnership with other archives to house less-frequently accessed archives in a secure archival-quality repository outside the city centre. The remote store should include facilities for retrieving the archives for city centre use as required.

The project should be funded through an application to the Heritage Lottery Fund and other external fundraising backed by matched capital funding from the Council.

A realistic indicative budget for this project would be in the region of £1.5 to £2m. To maximise the chance of success the Council will need to offer matched capital funding of £0.5m.

Opportunities offered by Council records management needs

- The plans for a new Council headquarters building require the Council to make arrangements for off-site storage of non-current Council records. “Non-current” records are those which are not required for immediate business, but which must be retained for on-going reference or evidence for a number of years, and which it is not cost-effective to digitise. The legal retention periods for some of these legacy records can be as long as 100 years after closure (e.g. files relating to children services.)
- There are obvious economies of scale to be obtained if the City Archives requirements for off-site secure storage can be combined with the off-site storage plans being developed as part of the new HQ project. Creating this joined-up thinking will also make it easier for the York City Archives to select key non-current records for permanent preservation, and so maintain the continuity of the Civic Archive.
- The Council is currently rolling out the “YorDocs” Electronic Document and Records Management System to reduce paperwork and increase the efficiencies of workflow around the Council. There are short-term and long-term issues that require joined-up thinking between this project and the City Archives.
- In the early phases of YorDocs the system will have spare scanning capacity available for converting some key paper records. This capacity could be used to kick-start a digital City Archive at marginal cost. Priority should be given to digitising key City infrastructure records held in the City Archives (e.g. City Engineer’s plans) as these have value both for archive users and current City operations.
- If the continuity of the City Archive is to be maintained into the digital future decisions must be made about the retention and disposal of electronic records. A substantial body of work has been carried out by the Parliamentary Archives on digital preservation that is available for the Council to adapt to its own circumstances.
- The key lesson from Parliament is that Archives’ involvement in electronic records systems needs to start at the beginning. Unlike paper archives, digital archives cannot be “left in a corner” for 20 years before being weeded, as technological change will by then have rendered them unusable.
- In order to address these issues, the City Archives has already recruited a Modern Records Archivist. However, the current funding and staffing levels in the archives means that she is now fully occupied in covering the day-to-day delivery of the public archives reading room, and has no time to work with the new HQ or YorDocs projects.

Recommendation 26

The Council should fund an additional 0.4fte Information Assistant (i.e. 2 days per week) to release the Modern Records Archivist to work with the new HQ records management project, and the YorDocs project.

Section 8 DETAILED ANALYSIS & RECOMMENDATIONS - THREATS

External funding is not guaranteed

- Over the next 5 years there will be an increasingly high chance of failure for funding applications to the Heritage Lottery Fund, as HLF funds are reduced as a result of the 2012 Olympics. Applicants who commit a high level of matching funding to an HLF bid will increase their chances of success.
- The current economic situation will have a negative impact on private donations.

Recommendation 27

Appointment of a Strategic Development Manager is an investment in maximising the Council's likelihood of gaining external funding. (*cross-ref to Recommendations 5, 23*)

Commitment of £0.5m to a capital development for the Archives will greatly increase the chances of success of a capital funding application to the HLF. (*cross-ref to Recommendation 25*)

Creation and endowment of a Development Trust for the Archives will be an investment in maximising the Archive's attractiveness to private donors. (*cross-ref to Recommendations 6, 18, 20, 24*)

Local authority lending library services are not eligible for HLF funding.

- At least one other local authority archive funding application to the HLF has failed because the HLF were not confident that the project was sufficiently financially ring-fenced from the core lending library service.

Recommendation 28

The project to re-locate the merged Archives and Local History service to the Central Library must have in place robust financial arrangements and Service Level Agreements to eliminate this threat. (*cross-ref to Recommendation 25*)

Setting up these arrangements will require the York City Archives and Local History service to have strong strategic leadership. (*cross-ref to Recommendation 5*)

Existing users have previously been hostile to change

- Previous proposals to change the structure and remit of the City York City Archives have been met with a high degree of hostility from some current users of the service. This has led to negative press comment, and reputational risk to the Council.

Recommendation 29

The Council should keep the existing users and the Friends of York City Archives closely informed about the implementation of the proposed changes to the City Archives.

The Strategic Development Manager for the Archives should negotiate a development partnership agreement with the Friends of York City Archives. Without limiting the Friend's independence this agreement should clarify the role of the Friends as a partner of the Council, and codify what activities legitimately fall within their remit.

Section 9 SUMMARY OF RECOMMENDATIONS

This section summarises the detailed recommendations for action set out in Sections 5 to 8 inclusive.

These recommendations boil down to a simple truth, which is that the City Archives service has significant development potential, and that this potential can be unlocked by a relatively limited and straightforward reorganisation of the current service.

Creation of an elaborate arms-length delivery mechanism through an operating trust structure is not necessary. However, the creation of a development trust to act as a focus for fundraising and to develop partnerships has real potential to unlock additional sources of funding for the Archives.

Action is thus required to:

- create high-quality strategic leadership and management capacity for the Archives which will allow the service to build development partnerships with other heritage bodies and external funders;
- eliminate unnecessary friction, duplication and wasted effort in the current structure;
- create a financial infrastructure which incentivises the service to generate sales income, sponsorship, and donations;
- create a capital endowment for the Archives which can be used to pump-prime development partnerships with other bodies, and to invest in income generation;
- initiate a realistic capital development plan for the archives which takes advantage of existing initiatives in the city and which can form the basis of a fundraising drive.

Summary Recommendations:

Organisation and Operations	<ul style="list-style-type: none"> • Retain the City Archives in-house, within the Library service • Merge the Archives and Local Studies Library into a single service • Create a single public services team and unified standard of public offer. • Fund one additional full-time Information Assistant to create capacity for the professional staff to increase user numbers through outreach; to re-connect the Archives with current Council records management initiatives; and to open the Archive on Saturdays.
Leadership and Mission	<ul style="list-style-type: none"> • Abolish the post of City Archivist. Appoint a Strategic Development Manager to provide professional leadership for the merged service, and to raise development funding for the service through cultivation of funders and the submission of external funding applications. • Re-focus the Archive on its original remit to preserve and maintaining the unique York Civic Archives. Cease general collecting of archives in other areas, and carry out a rationalisation of the existing collections. • Apply to have the Civic Archive formally Designated as being of national importance.

	<ul style="list-style-type: none"> • Celebrate and reinforce the Archives' return to its core remit by designating the Lord Mayor as Honorary Keeper of the City Archives.
Fundraising	<ul style="list-style-type: none"> • Create a Development Trust based on the Hampshire Archives Trust model to act as a focus for fundraising, engagement with stakeholders and creating partnerships with other organisations. • Make a one-off start-up capital grant of £30k to the Development Trust to allow it to invest in development partnerships with other archives, and in increasing the trading potential of the merged service. • Transfer all Archives and Local History trading activities to the Development Trust under a Service Level Agreement. Incentivise the Trust to increase trading income by allowing it to keep all additional net income it generates above the 2008-2009 level.
Capital development	<ul style="list-style-type: none"> • Initiate a project to re-locate the Archives and Local History to the Central Library as part of existing plans to develop the Library building. • Make a ring-fenced capital contribution to this project of £0.5m, which can be used as the basis for an application to the Heritage Lottery Fund and other funders

Section 10 IMPLEMENTATION

It will take up to five years to complete a turnaround in the City Archives. The following is a feasible indicative timetable.

- | | |
|--|--|
| Jan-Mar 2009 | <ul style="list-style-type: none"> - Recruit Strategic Development Manager - Recruit Information Assistant - Staff consultation on Archives and Local History Library merger - Draw up constitution and Service Level Agreement for Development Trust |
| Apr 2009 | <ul style="list-style-type: none"> - Implement new merged structure - Strategic Development Manager in post - Information Assistant in post |
| Apr-Jul 2009 | <ul style="list-style-type: none"> - Recruit Trustees for Development Trust - Start local publicity campaign for merged Archives & Local History service |
| Sep 2009 | <ul style="list-style-type: none"> - Launch Development Trust - Formal designation of Lord Mayor as Honorary Keeper of City Archives (to tie in with Trust launch?) |
| Sep 2009-Mar 2010 | <ul style="list-style-type: none"> - Draw up and consult on collections rationalisation plan for Archives and Local History - Identify quick-win fundraising opportunities and partnership development projects |
| 2010-2011 | <ul style="list-style-type: none"> - Implement quick-win fundraising and development projects. - Implement collections rationalisation - Apply for formal Designation of the Civic Archive - Stage 1 HLF funding application for new city-centre Archives and Local History service at Central Library |
| 2011-2013

(depending on success of Stage 1 HLF application) | <ul style="list-style-type: none"> - Stage 2 HLF funding application for new city-centre Archives and Local History service - Construction of new city-centre site - Relocate to new site |

APPENDIX 1 – LIST OF CONSULTEES

The following stakeholders were consulted for this study.

City of York Council members and officers

Cllr Andrew Waller	Leader of the Council
Cllr Sonja Crisp	Chair, Executive Members Advisory Panel for Leisure, Culture and Children's Services
Cllr Paul Healey	Vice-Chair, Executive Members Advisory Panel for Leisure, Culture and Children's Services
Cllr Chris Hogg	Member, Executive Members Advisory Panel for Leisure, Culture and Children's Services
Cllr Janet Looker	Shadow Exec Member for Leisure, Culture & Social Exclusion
Cllr Carol Runciman	Deputy Leader & Executive Member for Children and Young Peoples' Services
Cllr Dave Taylor	CYC Heritage Champion
Cllr Christian Vassie	Executive Member for Leisure, Culture and Social Inclusion
Bill McCarthy	Chief Executive
Robert Beane	Information Management Officer, Audit and Risk Management
Philip Callow	Head of Asset and Property Management
Charlie Croft	Asst Director, Lifelong Learning & Culture
Andrea Dudding	UNISON
Sarah Garbarcz	Strategic Manager, Reading & Information
Rob Hunt	ITT Business Development Project Manager – "YorDocs" EDRMS Project
David Main	Family & Local History Librarian
Sarah Prescott	Acting City Archivist
Fiona Williams	Head of Libraries & Heritage

External stakeholders (in alphabetical order)

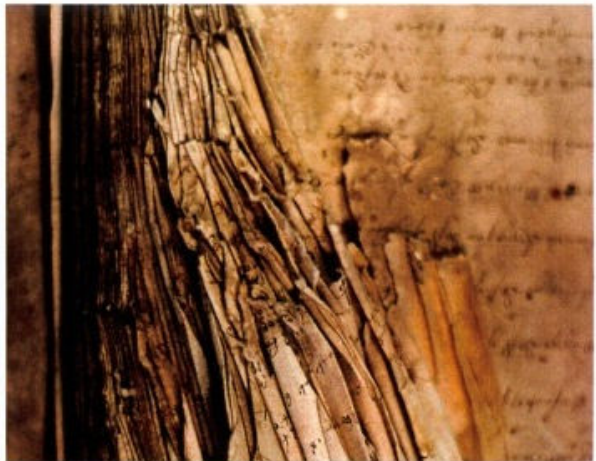
Janet Barnes	Chief Executive, York Museums Trust
Darrell Buttery	President, York Civic Trust
Roy Clare	Chief Executive, Museums, Libraries & Archives Council
Sue Fisher	Head of Development (North), National Railway Museum
Annie Mauger	Chief Executive, Yorkshire Museums, Libraries & Archives Council
Michael Rogers	Membership Secretary, Friends of York City Archives
Dr Andrew Rowley	Senior Archives Adviser (Repositories), The National Archives
Claire Sawyer	Regional Archives Adviser, Yorkshire Museums, Libraries & Archives Council
Janet Smith	County Archivist, Hampshire Archives & Local Studies; also Secretary, Hampshire Archives Trust
Dr Fiona Spiers	Regional Director for Yorkshire, Heritage Lottery Fund
Chris Webb	Keeper of Archives, University of York
Dr Eileen White	Chair, Friends of York City Archives

APPENDIX 2 – HAMPSHIRE ARCHIVES TRUST

Hampshire Archives Trust

Hampshire Archives Trust is a unique organisation, working with the owners of archives to protect Hampshire's archive heritage. By joining the Trust you can help support this work and discover for yourself more about that heritage.

Based at Hampshire Record Office, the Trust supports the work of Hampshire's archives services by rescuing archives at risk, by surveying and advising on the care of archives held by organisations, groups and individuals, and by increasing awareness of the importance and interest of archives.



Archives are our key to understanding the past and how it has shaped the present; they are a vital part of our national and local heritage. Diaries, letters, wills, account books, photographs, film and other records bring the actions and feelings of our ancestors to life in a very real way.

Hampshire Record Office and the archives services in Portsmouth and Southampton provide the right conditions to preserve Hampshire's archive heritage and to help people discover it, but other records documenting Hampshire life and people remain elsewhere, some well cared for and others in far from ideal conditions. The Trust helps to improve their long-term preservation and access, working in partnership with the archives services and local organisations and individuals.



Our members benefit from a programme of visits to other archives and to historic venues in Hampshire and beyond; some sites visited are not normally open to the public. They also receive a twice-yearly newsletter and an annual report – and the satisfaction of knowing that their membership is helping to preserve Hampshire's archives. The larger and wider the membership, the more effectively we can speak out on matters affecting the archive heritage.





For further information please contact the Archivist to the Trust or Membership Secretary,
 Hampshire Archives Trust, Hampshire Record Office,
 Sussex Street, Winchester SO23 8TH
 Tel: 01962 846154 Fax: 01962 878681
 archives.trust@hants.gov.uk
 www.hants.gov.uk/archives-trust



Hampshire Archives Trust

Hampshire County Council

www.hants.gov.uk/archives-trust



JOB DESCRIPTION	
DIRECTORATE: LCCS	DEPARTMENT: Libraries & Heritage
JOB TITLE: Development Manager, Archives & Local History	POST NUMBER: [to be assigned]
REPORTS TO (Job Title): Head of Libraries & Heritage	Current Grade Grade 10
1.	MAIN PURPOSE OF JOB: Working with both internal and external partners, to devise and implement sustainable strategic development plans for the Archives and Local History (ALH) service which deliver the council's cultural vision for the service and which maximise the services' access to external funding streams.
2.	CORE RESPONSIBILITIES, TASKS & DUTIES:
i	Initiate and negotiate development projects for the ALH service (including writing fundraising applications) working with local, regional and national cultural and grant-awarding bodies to create additional capital and revenue resources which will improve public access to and conservation of the ALH collections.
ii	Implement and project-manage development projects (including leading and developing project staff) to improve access to and care of the ALH collections
iii	Develop and implement strategic collections management plans for the ALH collections through negotiation with archive owners and other heritage institutions, to maintain the scope and size of the ALH collections at a sustainable level and to minimise duplication of resources and overlaps with other heritage institutions.
iv	Lead and manage the Archives and Local History teams, developing team members through the Performance Development Review process so that quality of service to the public and care of the collections is constantly improving.
v	Act as Secretary and professional curatorial advisor to the York Archives and Local History Development Trust (YALHDT), to support and guide the Trustees in fundraising for ALH development.
vi	Identify and implement opportunities to maximise trading income from the ALH collections to reduce the net cost of the service to the council tax payer.
vii	Be accountable for the proper management of all budgets and other resources delegated to this post
viii	Work co-operatively and communicate and consult with colleagues within the service and beyond, to ensure effective working relationships are maintained

	ix	Actively participate in the Performance development Review process, personal learning and development and team working to ensure agreed service priorities and targets are delivered.
	x	Be accountable for and take ownership of all targets delegated to this post.
3.		<p>SUPERVISION / MANAGEMENT OF PEOPLE</p> <p>No. reporting – 7 in total plus project staff and volunteers</p> <p>Permanent staff: Direct: 2 Indirect: 5 Project staff: average of 1 direct report per year Volunteers: Average of 2 direct report volunteers/placement staff and 10 indirect report volunteers/placement staff per year.</p> <p>Full line management responsibility for two direct reports and their teams in two discrete locations: the Archives Team, based at City Art Gallery; and the Local History team based at the Central Library (with outreach via local branch libraries)</p>
4.		<p>CREATIVITY & INNOVATION</p> <p>The post holder will need to exercise a high level of creativity and innovation in identifying opportunities for fundraising and forming development partnerships with external bodies.</p> <p>Without compromising core professional and ethical standards the post holder will need to be prepared to adapt the ALH mission to make connections with the differing agendas of external funding agencies.</p> <p>S/he will need to apply fresh thinking to identify ways in which the Archives and Local History service can engage with individuals and organisations which do not come under the traditional “heritage” umbrella.</p>
5.		<p>CONTACTS & RELATIONSHIPS</p> <ul style="list-style-type: none"> • Internal <p>Weekly contact with the Head of Libraries and Heritage as line manager for this post to agree personal objectives, short and long term strategic priorities for the ALH service, budget and staff management issues and to evaluate the success of ALH projects and operations.</p> <p>Attend and actively contribute to fortnightly meetings of the Library & Heritage Service Senior Management Team to co-ordinate the ALH operational and marketing plans with the rest of the Library & Heritage service</p> <p>Regular contact with managers and senior managers across CYC to advise, influence and persuade them of the value of adopting best practice in managing CYC’s records of permanent value to maintain the archive, and to meet consequent Freedom of Information and Data Protection requirements.</p> <p>Attend and contribute to monthly briefings for the Executive Member for</p>

Leisure, Culture and Children's Services.

Regular contact with CYC press officers to brief them on upcoming news stories from the ALH service which can be used to raise the profile of the service, assist fundraising and encourage public use of the service.

- **External**

Regular contact with Trustees of YALHDT as a group at their regular formal meetings and on a one-to-one basis outside formal meetings to support, advise and guide them in their decision-making and fund-raising activities, including tactfully reconciling any Trustee project proposals with professional best practice and funding bodies' strategic priorities.

Regular contact (at least once a month and usually more frequently) with local history and volunteer groups to negotiate support partnerships for the ALH service, and to publicise the work of the ALH service, including tactfully reconciling any volunteer project proposals with professional best practice and the ALH service's strategic priorities.

Regular contact (at least six-monthly) with the senior heritage professionals in other heritage and archive bodies in York (primarily the University of York, York Museums Trust, York Minster, National Railway Museum and the York Civic Trust) to identify and negotiate opportunities for project and fundraising partnerships, and to anticipate and resolve at an early stage any potential conflicts that may arise from policy or operational overlaps between the ALH service and other local heritage organisations.

Six-monthly contact with representative users and non-users of ALH services to obtain feedback on the standards and range of ALH public services, to address user and non-user concerns about the service, and to evaluate the success of ALH development projects from the users' perspective.

Six-monthly contact with the regional representatives of the Heritage Lottery Fund (HLF) and the Museums, Libraries & Archives Council (MLA) to positively influence their understanding of the ALH service's strategic and cultural objectives and thus assist CYC to submit funding applications to HLF and MLA which have a high potential for success.

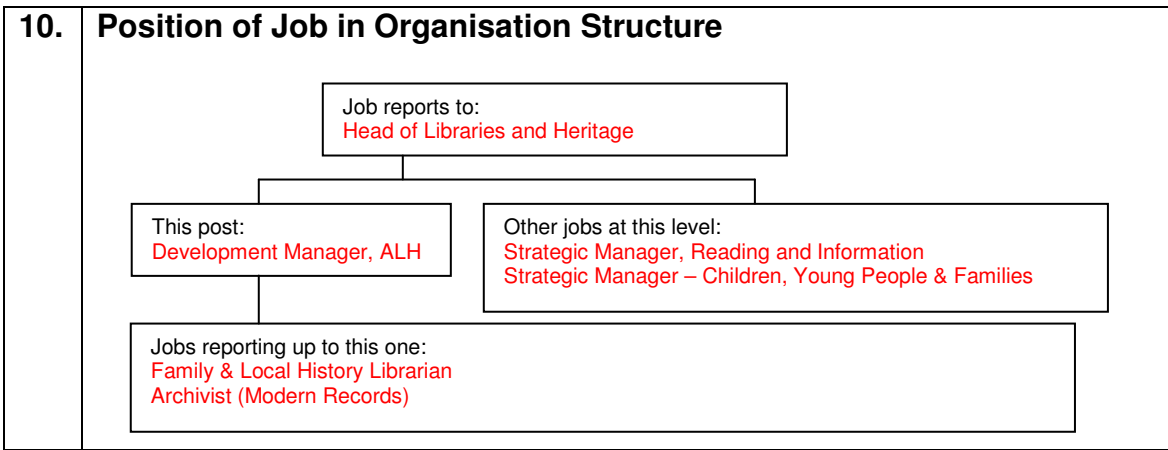
Ad hoc contact with representatives of external funding bodies (e.g. grant-making trusts and foundations) to identify and negotiate fundraising and development partnerships which simultaneously advance the ALH Development Plan and meet the business objectives of the external funding body.

Regular contact (at least annually) with the relevant professional and regulatory bodies (e.g. The National Archives; Society of Archivists, National Council on Archives; CILIP; CIPFA) to provide information and statistics on ALH service operations, and to represent the ALH service in regional and national policy consultations on archives and local studies issues.

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6.	<p>DECISIONS – discretion & consequences</p> <p>Discretion Within the broad strategic objectives of the current ALH Development Plan as agreed by the Executive, the jobholder has wide ranging discretion to initiate and develop contacts with potential external partners and to recommend development proposals for acceptance to the EMAP for LCCS.</p> <p>Subject to statutory requirements, the Council’s and nationally determined policies, procedures and standards, the jobholder has wide-ranging discretion to require anyone wishing to gain access to any part of the ALH collections to conform with whatever security procedures and/or restrictions on access are required to prevent loss of, damage to or unacceptable use of the collections, or to prevent contraventions of the Councils obligations under Data Protection, Freedom of Information and other archives legislation.</p> <p>The jobholder is responsible for the day to day management of the ALH revenue budget of approximately £180k including authorising overtime and expenditure on travel, subsistence and purchase orders, and managing income-generating operations. The jobholder is also responsible for devising the annual operating plan for the ALH service, including making recommendations to the Head of Libraries and Heritage for the level of staff and non-staff revenue budgets required.</p> <p>Consequences The jobholder’s operational decisions on staffing, expenditure and access to the collections will directly enhance the experience of service users and the wider perception of the CYC ALH service as an open and accessible service which is attractive to external development partners.</p> <p>The jobholder’s decisions and recommendations for development proposals will significantly enhance the financial resources available to the Library & Heritage Service over and above the recurrent revenue budget.</p>								
7.	<p>RESOURCES – financial & equipment <i>(Not budget, and not including desktop equipment.)</i></p> <table border="0"> <thead> <tr> <th data-bbox="316 1536 480 1570"><u>Description</u></th> <th data-bbox="1043 1536 1126 1570"><u>Value</u></th> </tr> </thead> <tbody> <tr> <td data-bbox="316 1576 986 1720">CYC Archives collections comprising 400 cubic metres of unique and irreplaceable historic documents dating from the 11th Century to the present day</td> <td data-bbox="1043 1682 1362 1715">£8m (insurance value)</td> </tr> <tr> <td data-bbox="316 1727 858 1827">CYC Local History Collections comprising 130 m³of rare publications and images</td> <td data-bbox="1043 1794 1362 1827">£1m (insurance value)</td> </tr> <tr> <td data-bbox="316 1868 839 1901">Cash & cheques (donations & sales)</td> <td data-bbox="1043 1868 1262 1901">c.£300 monthly</td> </tr> </tbody> </table>	<u>Description</u>	<u>Value</u>	CYC Archives collections comprising 400 cubic metres of unique and irreplaceable historic documents dating from the 11 th Century to the present day	£8m (insurance value)	CYC Local History Collections comprising 130 m ³ of rare publications and images	£1m (insurance value)	Cash & cheques (donations & sales)	c.£300 monthly
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Cash & cheques (donations & sales)	c.£300 monthly								

8.	<p>WORK ENVIRONMENT – work demands, physical demands, working conditions & work context</p> <p>Work demands The jobholder will be required to manage and balance conflicting deadlines, priorities and requests for information arising from the extensive range of internal and external stakeholders in the service.</p> <p>Physical demands The jobholder will occasionally be required to physically move individual boxes and rolls of archival documents into and out of storage areas.</p> <p>Working conditions The jobholder will normally work in an office environment, with occasional days of work in chilled storage areas.</p> <p>Work context The work involves minimal risk to personal safety or injury, illness or health problems arising from the environment or the public.</p>
9.	<p>KNOWLEDGE & SKILLS</p> <ul style="list-style-type: none"> • Professional (graduate/postgraduate) qualification in archives administration or librarianship. • Developed personal research and learning skills which will allow the jobholder to rapidly accumulate the specialist historical and local government knowledge required to function effectively as senior professional in charge of the city archives. • Knowledge of the core legal and regulatory issues which affect the operation of a local government archives and local history service and public access to information held by the service, in particular the operation of Freedom of Information, Data Protection and Public Records legislation. • Knowledge of the various local, regional and national governmental and professional bodies which may have an impact on the operation and development of a local government archives and local history service. • Experience of managing a specialist team or teams delivering information services directly to the public, including staff development, setting team and individual objectives, operational planning, and budget management. • Experience of negotiating with external bodies to set up service delivery or development partnerships, using tact and diplomacy to create a partnership which delivers mutual benefit. • Experience of writing successful external funding applications. • Experience of managing discrete capital or revenue projects from development through to implementation and post-implementation evaluation. • Excellent written and verbal communication and interpersonal skills, including the ability to appropriately tailor communications styles to a wide variety of audiences.



Job Description agreed by:	Name:	Signature:	Date:
Job Holder			
Manager			



Executive

23 December 2008

Report of the Assistant Director (Property Services)

Accommodation Project: Peasholme Hostel Update**1.0 Executive Summary**

- 1.1 To update Executive on the current position of this contract following voluntary liquidation of the contractor.
- 1.2 The project has now been re-tendered and a new contractor, Irwins Ltd have been appointed to complete the works.
- 1.3 The consequence of this action has incurred £311,000 of extra costs to the Peasholme Hostel Relocation project. The additional costs are to be contained within the overall Administrative Accommodation Project budget of £43.8m.

2.0 Introduction

- 2.1 Allerton Construction Ltd was awarded the contract to construct the new hostel at 4 Fishergate in May 2007.
- 2.2 Allerton Construction applied to enter Voluntary Liquidation on the 1st September 2008. The Receiver subsequently informed CYC of his intention not to complete the remaining works.
- 2.3 City of York Council instructed Wm Saunders Partnership LLP to prepare tender documents to complete the project.

3.0 Basis of Tender

- 3.1 Tenders are on a fixed price basis.
- 3.2 Tendering Procedure will be in accordance with the principles of the 'Code of Procedure for Single Stage Selective Tendering' 1996, Alternative 1 applies, and the overall price is dominant.
- 3.3 The Form of Contract will be the JCT Standard Form of Building Contract With Quantities, 2005 Edition (Revision 1 2007).

3.4 Payments are made on the basis of monthly valuations.

4.0 Tenders Received

4.1 Tenders were received on 24th October 2008 from all four of the selected tenderers by the due date and time.

4.2 The tenders received are scheduled below in ascending order of value:

£1,248,697 100.00%

£1,250,779 100.17%

£1,271,648 101.84%

£1,414,559 113.28%

5.0 Examination of Tenders

5.1 A priced breakdown was requested from the three lowest contractors, to be checked on receipt in accordance with the code of procedure.

5.2 All three documents were examined which revealed no arithmetical errors.

5.3 The tender submitted by Irwins Ltd has been consistently priced throughout and is considered to represent value for money. A full financial check has been carried out on Irwins Ltd to ensure, as far as is possible, their financial resilience.

5.4 To further minimise the risk to the council the preferred contractor has been asked to provide a Bond from their bank. Should the contractor fail to complete the contract, as a result of administration, the bond would require the bank to contribute to the council's costs of appointing another contractor to complete the works.

6.0 Budget Implications

6.1 The Peasholme Hostel Relocation project is funded from the Land Assembly section of the Administrative Accommodation Project and Members were last provided an update on 24th July 2008.

6.2 Since July the Peasholme Hostel Relocation project has incurred a number of unavoidable costs, in particular, a piling failure and the voluntary liquidation of the contractor.

Pile failure and resultant dispute

- 6.3 A dispute arose with Allerton Construction on the design and construction of the concrete piles. The dispute centred on adverse ground conditions affecting the bearing capacity of the original pile installation and their subsequent failure. This required a redesign of the piling solution, layout and ground beam reinforcement. The dispute revolved around responsibility for the design. The dispute was settled by negotiation with all parties taking a share of the responsibility.
- 6.4 This resulted in an increase to the project costs of £117,000.

Voluntary Liquidation

- 6.5 Allerton Construction's decision to enter Voluntary Liquidation has incurred the following additional costs for the project:
- Site security, maintenance and direct payments
 - Professional fees to resolve the contractual/financial issue with the Receiver and implementation of a re-tendering exercise.
 - Legal, warranties and Party Wall fees
 - Construction costs
- 6.6 CYC have incurred £311,000 of additional costs.

Impact upon costs

- 6.7 The impact upon the cost of this project is scheduled below:

		£	£
Budget set for Peasholme Hostel Including all works and fees			1,800,000
Piling failure and settlement of dispute			117,000
Allerton's Voluntary Liquidation:			
Site security, maint & direct payments		22,000	
Professional fees		64,500	
Legal, Warranties & Party Wall Fees		23,000	
Construction Costs		201,500	311,000
Revised cost attributable to the Peasholme Hostel relocation			2,228,000

		£	£
Sum paid to Allertons			625,400
Contract to award to Irwins			1,254,697
Fees etc			347,903
Revised cost attributable to the Peasholme Hostel relocation			2,228,000

7.0 Service Delivery

7.1 Completion of the project is now expected in July 2009.

7.2 The changed procurement strategy (competitive dialogue) for the new Council HQ and the timescale for that procurement process means that the existing hostel provision can remain within the current premises until the new hostel building is available.

8.0 Implications

8.1 The following information is provided:

- **Financial**

The additional costs are to be contained within the overall cost of the Administrative Accommodation Project budget of £43.8m.

The impact of any additional cost contained within this scheme is that less is available for constructing the new Council HQ building.

- **Human Resources (HR)**

There are no HR implications.

- **Legal**

Contractual references are included within the report.

- **Crime and Disorder (C & D)**

There are no C & D implications.

- **Information Technology (IT)**

There are no IT implications.

- **Property**

Property implications are included within the report

9.0 Risk Management

- 9.1 The council is aware that the current economic climate is proving to be very challenging for construction companies. The appointment of any contractor in this environment carries an attendant risk. The council has done all that it can to minimise that risk.
- 9.2 The tender submitted by Irwins Ltd has been consistently priced throughout and is considered to represent value for money. A full financial check has been carried out on Irwins Ltd to ensure, as far as is possible, their financial resilience.
- 9.3 To further minimise the risk to the council the preferred contractor has been asked to provide a Bond from their bank. Should the contractor fail to complete the contract as a result of administration the bond would require the bank to contribute to the council's costs of appointing another contractor to complete the works.

10.0 Resettlement Service

- 10.1 The philosophy of resettlement is to give people who have a history of rough sleeping, that is single homeless people and couples without children who often have multiple complex issues, the opportunity and the support to develop new skills to enable them to live successfully in their own tenancies in the future.
- 10.2 The current programme has been developed over many years across a number of agencies including City of York Council, Salvation Army, Arc Light, Peasholme Charity and Future Prospects. York's good practice and multi-agency working model has achieved national recognition through a Move on Planned Programme (MOPP).
- 10.3 This framework of the re-settlement programme will address all issues holistically, including practical tenancy skills, behavioural issues, and employment skills. In addition the Peasholme Centre has an employability scheme offering accredited practical work skills and learn direct facilities giving access to on-line basic literacy, numeracy and computer skills.
- 10.4 The new building will have significantly improved facilities to enable this programme to operate more effectively - with 1 large group room, training kitchen and IT suite. In addition, the building design will give improved access for disabled / poor mobility customers, with en-suite bathrooms in all , plus customers kitchenette to prepare their own drinks and snacks, bike parking, re-cycling facilities, plus basic workplace improvements including a managers office, private interview room for support sessions / appointments, staff shower for night staff, grey water storage and a hydraulic lift.

11.0 Recommendations

- 11.1 That Executive:
- 11.2 Note the appointment of Irwins Ltd as contractor for the completion of the Peasholme Hostel Relocation project
- 11.3 Note the report and acknowledge the additional costs incurred resulting from the contractor going into voluntary liquidation.
- 11.4 Approve the new allocation of £2,228,000 as the total estimated cost of relocating the Peasholme Hostel, funded from within the Administrative Accommodation Project Budget

Contact Details

Author:

Ian Asher

Head of Strategic Business and Design

Tel: (01904) 553379

Chief Officer Responsible for the report:

Neil Hindhaugh

Assistant Director: Property Services

Tel: (01904) 553312

Report Approved



Date 12/12/08

Specialist Implications Officer(s)

Steve Waddington: AD – Housing Services

Quentin Baker: AD - Legal Services

Ian Floyd: Director of Resources

Wards Affected:

For further information please contact the author of the report

Background Papers:

Files contained within project administration of Admin Accommodation Project



23 December 2008

Executive

Report of the Director of Resources

Corporate Efficiency Programme and Update on Specific Efficiency Reviews

Summary

1. The purpose of this report is to inform the Executive about issues relating to Efficiency across the Council, and specifically the Corporate Efficiency Programme and individual efficiency reviews.

Background

2. This report deals with two main issues relating to efficiency. The first part outlines the progress made following the Executive decision to procure a performance partner in September 2008. The report outlines the proposed next steps, and seeks the Executive endorsement to the engagement of a performance partner and the undertaking of a scoping study, which will be reported back to the Executive once completed. The report also seeks the views of the Executive in relation to Member engagement with the process.
3. The second part of the report outlines progress in relation to a number of efficiency reviews, which were commissioned as part of the 2008/9 budget process. Only the reviews specifically commissioned as part of the budget process are discussed, it should however be noted that other work in relation to efficiency is ongoing throughout the Council.

Part 1

Corporate Efficiency Programme

4. Previous reports to the Executive have outlined the proposal to move forward with a major corporate efficiency programme. This is something that has been done successfully in other Councils, and is seen as a key driver to ensuring the required efficiency savings needed to balance the budget are achieved. In addition, CYC has recent experience of bringing in external support to drive efficiency, through the recent review of transport within HASS and LCCS, which have produced considerable savings.

Our Requirements for the Partnership

5. City of York Council has a clear requirement for a flexible partner that will:
 - Carry out an incisive, cross-service review to identify efficiency opportunities across the Council, with an early scoping study to identify potential opportunities within a 3 month period.
 - Create an achievable implementation plan for the next 3 financial years that will deliver £15m cashable savings, net of transformation costs. These savings will support the financial strategy, with corresponding decreases in the requirement for individual service based savings/cuts.
 - Work with the Council in an incremental partnership to deliver these savings, ensuring the Council improves services and realises additional benefits from the partnership; such as enabling sustainable excellence and continuous improvement after the performance partnership has concluded.

Procurement Process Followed

6. A detailed procurement process has been undertaken to select a Partner. This has made judgements in terms of:
 - Price
 - Quality of resources
 - Experience in similar change programmes at other Authorities
 - Risk Reward Model
7. Four companies were invited to present to a selection Panel of senior officers, and from this Northgate Kendric Ash (NKA) have been chosen.
8. This partnership is split into two distinct phases of delivering a twelve week review and a subsequent 3 year Performance Partnership. The 3 year programme will have clearly defined milestones towards the achievement of £15m net efficiency target (minimum) to deliver service, organisational and financial improvements. The costs of the initial scoping study is £52,000, which is a considerable discount on standard rates, and which will ultimately be a first charge against any efficiencies secured.
9. In each of these key phases, the demands of everyone involved in the partnership will be stretching. Full engagement, senior sponsorship, strong joint governance and rigour in each stage of the process will ensure maximum impact and outputs from the partnership.

10. During the twelve week review and the subsequent 3 year performance partnership programme, critical elements will include:

(i) A Partnership Approach

11. This will be enabled by:
- Communicating effectively (internally and externally) the aims and objectives of the partnership;
 - Working together to direct and shape the options and recommendations throughout the review – we expect to be constantly testing ideas throughout;
 - Robust but constructive challenge (on both sides) of what could be long-held beliefs or assumptions. We expect the review to be strategic and look at fundamental elements of service delivery, building upon work to date and ensuring that no areas are ‘off limits’;
 - Establishing clear methods of operation, escalation and governance that ensures the partnership maintains momentum, and has authority in delivering the aims of the Corporate Efficiency Agenda now and in the future.

(ii) Creating a successful engagement model

12. This will rely upon:
- Access and availability of staff at all levels during the review, along with Members and customer representatives, where appropriate;
 - Stakeholder identification and commitment;
 - Clear sponsorship in York, at Chief Executive and Director level, with clear buy-in to the Corporate Efficiency Agenda for all service areas, leaving no stone unturned and no Service Area / Directorate ‘off-limits’;
 - Encouraging openness and maturity in reviewing the services.

(iii) Embedding a strong governance model

13. The success of the programme will need:
- NKA being established as an accountable and trusted member of the Council Management Team;
 - The establishment of a Value for Money Board (VFM) comprising senior members of the Council, NKA, nominated service leads, key stakeholders and support from others as and when identified;
 - working together to identify and overcome any obstacles;

- The establishment of a clear framework against which the partnership will be based – options appraisal, business case approval, implementation, benefits realisation. Once agreed, this framework will allow consistency and speed through the process;
 - The establishment of a Programme Management Office (PMO). The portfolio of work that will be developed through the Efficiency Programme will comprise of a series of 'linked' projects that will need to be managed through this PMO – the 'engine room' of the programme and involved in preparing, managing and reporting all relevant information. Within the Resources restructure a new post of Head of Efficiency and Procurement was created, and there are plans to create a small support team underneath this from existing resources. Options for expanding this team and bringing in resources from elsewhere within the Council may be looked at. It could offer a very useful opportunity for secondment of staff who are looking for development opportunity.
14. The completion of the 12 week review will result in the clear identification of priority service areas on which to focus first, with secondary services and cross cutting initiatives that will deliver significant savings / efficiency gains over the next 3 years and beyond.

The Risk and Reward Model

15. The risk and reward model deployed by NKA is 100% fees at risk in relation to non-delivery of agreed outputs.
16. The scoping review will result in implementation proposals which will illustrate an outline service improvement plan, identifying the critical tasks required to deliver the efficiency savings that they consider achievable. Their commercial model underwrites that all fees will be rebateable against the levels of achievement of the service and financial savings plans. Accepting the requirements of the Council highlighted above, the resource risk of delivering these achievements remains with NKA.
17. These principles are in line with the existing risk and reward model within the Council for the Transport review (LCCS/HASS), which, in summary, provides the Council:
- With defined points against which fees will be rebated
 - Their commitments are £ for £ - so for every £1 below target achievement, £1 in fees gets rebated up to 100% of all our fees;
 - Termination points are also linked to achievement
 - Regular contractual reviews which monitor progress to date and set the future direction of the partnership;
 - The opportunity to set specific deliverables alongside efficiency targets.

18. The Council can take confidence from their strong track record which shows maturity in the approach, having been contractually applied with all their long term partnership customers.
19. The confidence delivered through rigorous initial reviews has meant that NKA has not had to rebate any fees with any customer.
20. It is considered that there is the potential for a portion of the cashable savings to be used to create an investment fund. This investment fund could assist the Council in accelerating the efficiency programme by funding other efficiency initiatives.
21. We have set out the requirement to save £15m (net) over the 3 year period of the programme, and for these to be taken out of the revenue budget over the financial years 2010/11 – 2012/13. Current documentation indicates contract start mid-January 2009. The 12 week review will take place January – April, with the partnership being largely effective (given reasonable approval of the review outcomes) during the 2009/10 financial year. With this in mind, the review would target a sustainable savings plan over the three year partnership, linking the risk model to delivery of savings.

Resources Required from the Council

22. While the previous paragraphs illustrate the commitment required from the Council to support the development of the partnership, it is not expected that the Council will need to engage dedicated resource for the 12 week review.
23. NKA do, however, need to work with Council staff and stakeholders to get underneath the detail of the service areas and organisational issues. Their review will not be a desktop study, and while they will review plans, reports and available information, the real insight into the opportunities across the Council will come from direct interaction with people at all levels.
24. As previously stated, it is imperative, therefore, that this review gets high level sponsorship and is perceived throughout the Council as a high-profile project that demands engagement. NKA will work with the Council to overcome any difficulties encountered in the review. Normally, these are attributable to a number of reasons, including:
 - Access to key staff and stakeholders – especially where the review is not appropriately sponsored and the review is working to tight timescales;
 - Access to critical information – normally a symptom of further issues. NKA find transparency in financial information can sometimes prove difficult to achieve. Access to Accountancy resources to help clarify information is valuable throughout;
 - Defensiveness – especially when they are developing ideas and creating options appraisals. NKA must question and challenge information, direction

and existing ways of working. Appropriate communication and openness in the process can help to engage staff at all levels and NKA will look for our help in achieving this.

25. Aside from accessing information and people, NKA will need some support in logistics, such as workspace, facilities to hold meetings, etc. We envisage that they will be located near to the Easy Programme Team.

PART 2

Efficiency reviews Commissioned As Part of 2008/09 Budget

BACKGROUND

26. In February this year the following growth relating to improving efficiency/effectiveness was agreed as part of the 2008/09 budget:
- Commissioning of review on Commercial Property Portfolio (£50k one off)
 - Commissioning of review relating to subsidised and community transport (£44k one off)
 - Development of Organisational Effectiveness Programme (£85k ongoing sums)
 - Review of Leisure and Culture Services (£50k) one off
 - Review of services that the Council should strategically procure or 'share' (£25k) one off
28. In addition there is a carry forward of £50,000 from previous years decision to conduct a business review into Property Services which this report also picks up on.

Current position

29. The current position for each area is set out below:

(i) Commercial Property review (£50,000) and Review of Property Services (£50,000)

Officers have held discussions with the Members and given the evolving situation within the Council regarding future property structures, and the wider slump in the Commercial property market, it is proposed was agreed to 'pull' the review of the Commercial Property. It is suggested that this sum be added to the Efficiency Reserve with a view to it supporting the Efficiency Programme which will at some point consider the commercial property portfolio. The review of Property Services was due to go to procurement stage for selection of an external advisor, however it was felt better to incorporate this as part of the

Corporate Efficiency Review as they were both operating to similar timescales, through similar procurement frameworks, and it was considered more efficient and practical to bring this review into the Corporate Review. It will be identified with NKA as a priority for early review.

(ii) Subsidised and Community Transport (£44,000)

Details on this review are set out in **Annex 1**

(iii) Organisational Effectiveness Programme (rebadged as Single Improvement Plan) (£85,000). This was not a review as such, but ongoing investment to support the Council becoming more effective in delivering key aspects of the Single Improvement Plan, with a view to becoming more effective and efficient.

The funds were allocated as follows:

- £20,000 went into Corporate Accountancy for Efficiency Reviews – this funding (£17,000) has been used to assist with funding the new Head of Efficiency and Procurement as part of the Resources Directorate restructure, with a view to taking forward the Corporate Efficiency Programme and Strategic Procurement across the council.
- £25,000 went into Performance and Improvement Team (PIT) and was used to support the restructure proposals within the PIT Team that were conducted around April-June 2008. The impact of this is a stronger Performance Team, which has now also been additionally supplemented by additional resource as a result of the restructure within Resources, in particular the creation of a Head of Performance and Business Assurance.
- £40,000 went into Public Services to fund a Customer Relations Post. Further details on this post are set out below :

The role of Customer Relations Improvement Officer is integral to the delivery of the Customer Strategy and the implementation of Easy@york phase 2. The key deliverables will be: -

- Consultation on the Customer Strategy
- The design and development of the York Customer Centre (YCC) in the new civic HQ building through understanding our customers' access requirements and service delivery needs
- Design and management of the corporate implementation for the corporate customer feedback and complaints policy and procedures including the design of corporate business processes and reporting frameworks.
- Implementation of the new Performance Framework for customer care. This will include implementation of a measurement tool, corporate wide guidance and methods for measuring, reporting and ensuring we learn from results. This will support the government

requirement to reduce unnecessary contacts from customers and support identification of areas where we can improve the quality of the end to end service and so provide efficiencies.

- Review, implementation and embedding of a new set of improved customer first measures and standards including improved methods of monitoring, reporting and reviewing which supports the single set of National Indicators and the improvement in equality monitoring/ impacts/data within performance management/ measurement systems.
- Development of Customer Insight - an in-depth understanding of who our customers are, where they are and what they want from local services so we can build this into the design and improve delivery of our core services. This in turn will support the soon to be introduced Equalities Framework and our Equalities Improvement Plan.

(iv) Leisure & Culture (£50,000): the details of this review are set out in Annex 2.

(v) Shared services (£25,000): This was intended to commission a piece of work that would address which services the Council could strategically procure/share. This is something that the CEP will pick up on and therefore it is intended that this money be added to the efficiency reserve.

Implications

- **Financial** – It is proposed to use £52,000 from the Efficiency Reserve that Council approved in September 2008. If Members agree to the reviews relating to Property and Shared Services being taken forward through the Efficiency programme, the sum of £125,000 that was approved for these reviews could be available to add to the Efficiency Reserve.
- **Human Resources (HR)** – No specific implication but there will be a need for HR support during the Efficiency Programme.
- **Equalities - None**
- **Legal** - the Performance Partner framework has followed recommended Procurement procedures.
- **Crime and Disorder - None**
- **Information Technology - None**

Risk Management

30. The risks within the Partnership have been referred to throughout the report. In particular there is a need for an effective Partnership to be developed, engagement throughout the Council, sufficient resource to support the Partnership, and good Governance arrangements. The need for the Council to embrace and respond positively to change is crucial, and to ensure robust

challenge in terms of how services are currently delivered. The risks in terms of costs are dealt with primarily through the risk/reward model, the details of which have been outlined earlier.

31. There are clear risks in terms of not taking forward the Partnership, or in not making it a success. Without a successful Corporate Efficiency Programme the Council will struggle to meet its financial savings targets, and Government efficiency targets. This will put increased pressures on Council budgets, and potentially mean reductions in service levels. Failure to achieve the targets set within the Efficiency Programme will mean that individual services will need to identify specific savings.

Recommendations

32. The Executive is asked to:
 - Note progress on the Corporate Efficiency Programme, endorse the approach to the CEP, and the selection of Northgate Kendrick Ash, and agree that the scoping study of £52,000 be funded from the Efficiency reserve
 - Consider how Executive wishes to be involved in the Corporate Efficiency Programme, including Member representation on any CEP Strategic Steering Board
 - Note the progress in relation to the review of Leisure, Transport, and the allocation of funds for Organisational Effectiveness
 - Recommend to Council that the Corporate Efficiency Programme now takes forward some of the reviews agreed as part of the 2008/09 budget, in particular in relation to Property Services, Commercial Portfolio and the consideration of services the Council should strategically procure/share, and that Council agree to the funds that were approved for these reviews, £125,000, be transferred to the existing Efficiency Reserve.

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Report Approved **Date** 11/12/08

Specialist Implications Officer(s) *List information for all*
Implication ie Financial *Implication ie Legal*
Name *Name*
Title *Title*
Tel No. *Tel No.*

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

All *tick*

For further information please contact the author of the report

Annexes:
Annex 1 – Subsidised and Community Transport review
Annex 2 – Leisure and Culture review

Subsidised and Community Transport (£44,000)

Overview

A comprehensive review of public transport arrangements in York will be presented to the Executive in January 2009. The key areas of the study are as follows:

Bus services

Subsidised bus services

Consultants, Halcrow, were commissioned to consider the current, tendered, bus network to establish whether or not the Council was receiving value for money for the services provided. Several options were considered; to cut some services; to retain all services; or to replace some of the local bus services with demand responsive or taxi-bus alternatives.

The outcome of the study is a proposal to consider withdrawing traditional bus services with a subsidy of more than £2 per-passenger. Where viable bus alternatives do not exist, the report explores the option of utilising Council dial & ride vehicles or taxi buses as an alternative. The report also outlines the large capital investment and ongoing revenue budget required to support a Demand Responsive Transport (DRT) operation, estimated to be in the region of £50,000 per annum, per vehicle.

Commercial bus services

The review provides an overview of the commercial bus network and confirms that the good levels of accessibility, coverage, frequency and quality are delivered to York residents and visitors.

Members are also made aware that the network is 'fragile' in parts. The impact of steeply rising costs for bus service providers, combined with reducing numbers of fare paying passengers, has led to the withdrawal or reduction of some commercially provided services during 2008. Informal discussions with bus operators suggest that there are other bus services which are now struggling to remain commercially viable.

Park & Ride

The review assesses the recent operational history of these services and analyses the implications of the new contract (commencing in February 2009) and the Access York project.

Concessionary travel

There are two main areas considered:

English National Concessionary Travel Scheme (ENCTS)

This scheme, launched in April 08, allows entitled concessionary pass holders to travel anywhere within England on local bus services, within permitted hours. The review summarises the first eight months of operation and concludes that the system, operationally, is working well.

Take up of passes and 'ridership' are both higher than was anticipated. Concessionary trips in (or starting in) York were as follows:

- 2006/7 2.9m
- 2007/8 3.1m
- 2008/9 est. 4m (based on figures received to date)

The review considers the impact of concessionary travel on the operation of commercial and park & ride bus services. It also analyses whether the existing 09:00 start time should be put back to 09:30 and whether the existing arrangements for companion pass holders should be amended.

Estimates are given for ridership in future years and the implications of increased concessionary patronage on the Council budget are assessed.

National Transport Tokens

The quantity of tokens issued was reduced to £20 per claimant for 2008/09. This has led to a corresponding drop in the level of token claimants to 7,806 claimants (year to date) against 13,124 claimants last year. Claimants of ENCTS passes have increased in the same period from 27,826 to 34,718.

The review suggests several options for consideration:

- Retain the status quo (eg £20 distribution for all concessionaires)
- Withdraw the distribution of tokens completely
- Better target priorities (the review considers the over 75s, registered disabled & those with no access to local bus services)
- Increase the value of tokens
- Replace the anonymous token system with a stored value taxi card system.

Supporting measures

In order to better promote public transport, the review highlights improvements made in the past year across several areas:

- Bus information/Journey Planning
- Tackling bus congestion, better utilising the 'Bliss' system
- 'Your Next Bus' SMS bus information
- Improved ticketing solutions (Yorcard and YOzone 16-18yr old pass)
- Improvements to bus vehicle and passenger road safety
- Improvements to bus stop information and facilities

Annex 2

Leisure and Culture Review

Summary

1. This paper provides an update on:
 - the information gathered in the first stage of the Leisure and Culture review (during May and June)
 - progress with the second stage involving detailed reviews (September onward)

Background

2. As part of the budget process for 2008/09 members agreed a one-off sum of £50k in order to undertake a review of Leisure and Culture services. We have made the objective of the review one of driving transformational improvement in Leisure and Culture services whilst identifying savings options.
3. Members have already declared the ambition to make Lifelong Learning and Culture opportunities available to **More people, More often** with impacts across 5 areas:
 - Making York More Eventful
 - Engaging People in Learning
 - Being Healthy
 - Supporting Stronger Communities
 - Developing a Vibrant Cultural Infrastructure
4. To drive transformational change, however, we will need measurable aims. We believe that it is realistic to make York the most culturally participative city in Britain and we have identified 3 strands for the review to unpack this ambition:

A. Active Lifestyles

We will increase participation in active lifestyles so that by 2013 we have the highest participation rates in active lifestyles of any city in the country

5. Currently responsibility sits with the Sport & Active Leisure Team with more limited input from other services. This ambition needs to become a more central focus of the Lifelong Learning & Culture service arm so that citizens receive a clear, joined-up, attractive message about the opportunities available to them and the benefits of participation in active lifestyles. The offer would be characterised by:

Excellent facilities – modern facilities offering a wide range of activities, capable of inspiring high levels of use and consequently of operating with minimal subsidy. In addition it is also about building services out of buildings, using all the city's space to promote active lifestyles, formally and informally.

Raised Awareness – all residents will be aware of the health benefits of an active lifestyle; high profile branding will support the message that an active lifestyle is not primarily about sport; there will be free access to a concerted flow of information; tailored and inter-active approaches will address individual requirements.

City Leadership – there will be more effective joined up partnership working especially with the Primary Care Trust.

6. The outcomes for this review strand would include:

- A 1% per annum increase in adults participating in 5 x 30 minutes of moderate intensity physical activity per week
- A 1% per annum increase in adults participating in 3 x 30 minutes of sport per week
- All our young people doing at least 5 hours of PE or sport per week

B. Learning:

We will maximise the council's contribution to increasing access to and take up of learning opportunities so that by 2013 our participation levels are amongst the best in the country across all sections of our communities

7. Currently adult learning is the territory of the Adult & Community Education Service albeit with a significant offer from other services. This situation needs to be transformed so that citizens see a joined-up, high profile, attractive learning offer which becomes the focus of what the Lifelong Learning & Culture service arm is about. This offer would be characterised by:

Inviting spaces – a reconfigured library service at the heart of a network of exciting and inspiring informal learning venues; an “HQ” for learning recognised by learners; imaginative use of non-institutionalised space e.g. parks; a single, central, sign-up point; add-on services generating significant income.

A joined up approach - a more holistic learning identity so that learners understand the opportunities and who to contact, clear branding, a one stop shop approach; concerted sign-posting from all services.

Community involvement – extending community involvement and governance; developing a more inclusive approach; growing volunteer participation; making the learning provision widely accessible and attractive i.e. fun; lots of free provision.

Varied provision – taking advantage of our diverse services where every part of our services will be contributing especially to the learning offer; integrating and interlinking the provision with clear pathways from cultural learning to formal learning and to employment. Learning opportunities suitable for a range of ages and talents; drop in learning opportunities; corporate learning; graduate learning; holiday learning.

8. The outcomes for this review strand would include:

- more venues for learning in York to so that learning is available within one mile of every household

- more people participating in learning from deprived areas by 5% each year
- more adults improving their literacy and numeracy by 500 each year for 5 years
- a 10% increase in the use of libraries for learning each year
- 1 million visits a year to York Library
- delivery on the “Skills Pledge”

C. The Cultural Offer for Young People

We will make York a culturally exciting place for young people so that by 2013 the 5 hour “Cultural Entitlement” is available to all young people and young people report that York is amongst the very best places to live in the country

9. A great deal of provision is currently made for young people but we are currently unclear about the nature of our role. Should we be providing cultural leadership for the city and if so what would be our role as a provider? How do we fit with schools and with all the other teams working in this area? What do we know about the place of culture in young people’s lives? How do we create cultural provision for young people that is characterised by:

High Quality spaces – specially designated spaces for young people; plenty of accessible city-wide and city-centre provision; informal provision, not like school; encouragement for young people to access all provision.

A distinctive youth offer – marketing to young people, to schools, to parents; programmes encouraging wider family participation; programme commissioned and designed by young people; co-ordinated across the service. We need to address the current perception that there isn’t enough for young people to do. We need to prepare to deliver the 5 hour entitlement.

Partnership with schools – working through schools and the extended schools programme.

10. The outcomes for this review strand would include:
- Perception from parents that there is an increase in availability of activities for young people
 - The “5 hour cultural entitlement” is delivered in line with national indicators
 - An improvement in proxy measures e.g. participation in Arts / Museums / Libraries / volunteering, decrease in youth crime
11. The 3 review strands will:
- set measurable improvement in performance
 - involve all the services and consider implications for future organisational and management structures
 - pick up the review topics identified for each service (see proformas from the first stage of review)

- set out budget options

The next report back will be at the end of March.

Pointers from the First Phase

12. The first stage of the review (during May and June) has gathered information on each service that will help identify issues worthy of detailed review over the second phase of the review by reference to issues such as:

- Potential for alternative methods of service delivery which could improve outcomes
- Any current high unit cost
- Any current relatively poor performance / outcomes
- Potential to deliver savings

Detailed information can be found in the proformas attached.

13. No major surprises emerge from the information gathering. Services can generally be characterised as low spending with positive outcomes. This is not surprising given the long track record of making service improvements combined with budget savings across this area. Compared to 10 years ago the budget is now £2.665m (or 23%) less in real terms. Whilst we now provide one fewer swimming pool than we did 10 years ago every other area is characterised by greatly increased output, including a number of services that simply did not previously exist, for example:
- a community arts programme
 - a community active leisure programme
 - events and festivals
 - a community open spaces team
14. Other services, such as Museums, are in much better shape. The management of the service is also much leaner now with just two assistant director level posts (including YMT) where once there was a director and 3 assistant directors.
15. Particular issues emerging from each service area are as follows.
16. **Libraries:** The service is relatively cheap and efficient. Users are generally happy with the service although it is not particularly well used. Transformation is needed in the way the service is provided with the new Acomb library showing the way. We need to generate more income and use buildings and technology more effectively.
17. **Adult and Community Education:** This service is externally funded. There are issues around the threat of reduced core funding jeopardising the viability of the service and we need to consider whether there potential new areas for the service to move into, and whether there be benefit in closer integration with other parts of the Council who provide outward facing education and training in order to create capacity.
18. **Arts and Culture:** The service makes a significant contribution to the City of Culture theme as well as to educational attainment. By working in partnerships

the service is able to generate a level of activity quite disproportionate to expenditure. A key issue will be how to continue to increase delivery from the Instrumental Music Service whilst eliminating subsidy from the general revenue fund.

19. **Sport and Active Leisure:** The service is delivering a great deal in return for low expenditure largely through strong partnership working. However, our efforts are thinly spread and the service is made vulnerable by its reliance on short-term, external funding. We are not good at telling people about what we do, what's available to them, and what the benefits are of participation in active lifestyles. To create capacity to improve in these areas we need to generate options to reduce the subsidy we have to put in to the leisure facilities.
20. **Parks and Open Spaces:** The service is cheap but producing good results. There is no evidence from elsewhere of options for radical change. Initial benchmarking suggests the need for a more thorough benchmarking exercise around expenditure on grounds maintenance services.
21. **Museums:** Expenditure on museums is relatively high. In return YMT are undertaking a transformational programme supported by guaranteed funding from the Council to 2013. Major review will be appropriate at that time when it is to be expected that YMT will be better able to operate with reduced Council subsidy.
22. The overall impression from these strands is one of services that are thinly spread, doing good work over a range of areas but sometimes pulled in too many directions, often in pursuit of external funding. Management capacity is over-stretched.

The Second Stage of the Review

23. The detailed review work has been organised under the 3 ambitions set out above and will at the same time pick up the service specific issues.
24. **Active Lifestyles:** the work is examining the potential to:
 - Invest in creative programmes of activities which could directly address the know barriers to participation e.g. workplace programmes, social sporting activities, buddying systems and target those who participate the least
 - Create alternative management options for our facilities that could release revenue whilst ensuring that facilities remain a key part of delivering the community participation agenda
 - Determine the respective responsibilities of both the service arm and the PCT within the physical activity agenda. This involves gathering examples of good practice from across the country including looking at the potential to draw in external funding
 - Cost and plan a city-wide physical activity campaign and develop information systems to support it will address "information support" barriers to increasing participation

- Create incentive programmes e.g. 1 free swim for every 10 paid, discounted use for fitness improvement, discount on council tax for regular participation, 1 person pay / bring a friend for free
- Reassess the way the service arm's spaces and places are managed to contribute to the active leisure agenda
- Establish appropriate staffing structures including securing the current short-term funded posts

25. **Learning:** the work is examining the potential to:

- Bring Adult Education and the Library Service together in a single service
- Create an integrated learning function across the service arm (including for example coach education programmes, swimming lessons, etc.)
- Develop community champions to support learning and act as learning ambassadors
- Develop York Library as an Explore centre and the opening of the three other potential centres
- Develop partnerships with local communities to expand and develop library provision including the use of community volunteers in libraries
- Introduce RFID technology to free library staff from the issuing of books and develop capacity to engage and support people in a range of learning
- Develop a full-cost learning offer to generate funding to support other programmes, once again as a single service function
- Make better use of commissioning programmes with other providers in the voluntary sector to support disadvantaged learners, with funding to support particular groups
- Make available on-line booking for learners who know what they want
- Institute single management arrangements with York Training Centre or as a minimum the sharing of a number of support functions such as MIS and quality assurance
- Create clearer partnership arrangements with Future Prospects including a coordinated service arm relationship

26. **Young People:** the work is examining the potential to:

- Work with schools on how they will deliver the majority of the offer (about 3 hours out of the 5 during term time)
- Make the most of the Whole Class music teaching provision to ensure that every child in KS2 get the opportunity to learn a musical instrument and greatly increasing the numbers continue to learn thereafter whilst removing subsidy from the general revenue fund
- Work with other providers to improve skills in providing high quality cultural experiences by all staff working with young people
- Work with the cultural organisations to develop more opportunities for young people

- Organise our services to place cultural provision at the heart of the Extended Schools offer so that it is highly visible, organised, formalised and provides clear and measurable progression routes for participants, giving economies of scale and co-ordinating the administration of the offer
- Use new technology to signpost and market both current and new provision

Implications

27. **Financial:** £50k is available to support the review process. This is largely being used to create the necessary additional staff capacity to be able to carry out the review work.
28. Short-term savings options have already been identified totalling £117k. These have been fed into the 2009/10 budget process.

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Executive**23 December 2008**

Report of the Chief Executive

The Community Engagement Strategy**Summary**

1. Producing a Community Engagement Strategy is one of the actions from the Single Improvement Programme (SIP). This report takes stock of progress and looks for a steer in finalising a strategy and toolkit, draft examples of which are attached as annexes. It asks members to approve the direction taken so far and the proposed next steps.

Background and key drivers

2. York has a strong reputation for community engagement. Some examples are:
 - the authority has conducted an annual residents survey ever since 1996
 - the council was one of the first council's to start a citizens' panel (talkabout) to research new ideas and reaction to particular initiatives
 - the council operates a ward committee structure across the whole city, where local councillors can take decisions with the local ward. There is also delegated ward budget which involves the public in suggesting how this should be spent and voting on the suggestions.
3. It is important that we always look to improve our approach. The drivers for the review are:
 - we want to be sure our services are responsive and meet the needs of our communities, as our communities have a right to know and to have their say
 - we want to be sure our services and policies anticipate future concerns, aspirations and needs
 - we want active and involved citizens, participating in decisions and shaping services so that they feel that policies and services reflect this involvement and are tailored to local need
 - we want to be sure that information, consultation and involvement opportunities are provided on the right issues, targeted at the right people in an accessible way

- we want to have a corporate approach to providing information, consulting and involving, which flows through the organisation from strategic policies to the individual service delivery, and that this is coordinated with partners.
4. The context for this review has been as follows:
- a. The Corporate Performance Assessment said that there was an absence of a systematic approach to engagement within the council. As a direct response, the council has put new emphasis on engagement as it is now included in the SIP. In addition, the proposals for the new Comprehensive Area Assessment focus on outcomes of engagement across the city, highlighting the importance of a coordinated approach across the council and city partners. The assessment will look at the process and impact of engagement to delivering empowered residents.
 - b. The Duty to Involve comes in force April 2009. The duty is set out in the Local Government and Public Involvement in Health Act 2007 which, outlines that:
 - **Provision of information** - needs to go beyond standard information on services and must be provided in a way that can be easily accessed and understood by all.
 - **Consultation** - which allows people to have a say about the decisions and services that affect them and that their views are acted upon.
 - **Involvement** – which is the most interactive form of engagement, leading to more empowered individuals and communities. It can include direct participation in decision making and working with us in designing policies.
 - c. Research in recent years through the residents' opinion survey has shown a majority of people feel they do not get enough information. In last years' survey less than half (45%) feel the council keeps them very or fairly well informed. Only 37% are satisfied with the opportunities for participation in local decision-making provided by the council, although 45% do not express a strong opinion one way or the other. Around 20% of all respondents would like to be more involved in decisions with another 66% wanting to be depending on the issue. However, 14% would not like to be more involved in such decisions.

Our approach and outcomes of the process so far

Self-assessment

5. Work so far has been steered by an Engagement Reference Group of council officers from all directorates and levels of seniority. Membership of this group is contained in Annex A. In addition there has been a workshop of senior managers that discussed the following questions
- Where are there examples of good practice in engagement?

- Where are there inconsistencies and where do things need improvement?
 - How can we embed best practice and make engagement real for people?
6. Informal 'soundings' have taken place from a number of sources. Details of who has been contacted are in Annex D. Some of the key points from the early feedback are that the respondents recognise how much engagement work the council does, but that it needs to be coordinated and that good feedback is essential for showing how the engagement made a difference.

Review of other councils

7. We reviewed other councils' engagement strategies including Manchester, Knowsley and Newcastle. The model most other authorities have adopted is a strategy and toolkit approach. Most authorities have looked to engage along with their respective LSPs, with the LSP being the owner of the strategy. Please see Annexe E for further details of this process.

National guidance

8. The *Local Government and Public Involvement in Health (LGPIH) Act 2007* looks to widen and deepen the involvement of local communities in shaping their own future. It introduces a new duty 'to inform, consult and involve', which comes into force in April 2009. This requires us to inform, consult and involve local people in local decisions, services and policies – that is the routine functions of the council and one-off significant decisions.
9. The guidance from the government says, "the aspiration for the new duty is to embed a culture of engagement and empowerment. This means that councils consider, as a matter of course, the possibilities for provision of information to, consultation with and involvement of *representatives of local persons* across all authority functions". The phrase "*representatives of local persons*" refers to 'a balanced selection of the individuals, groups, businesses or organisations the authority considers likely to be affected by, or have an interest in the authority's functions' – ie stakeholders in the broadest sense, including hard to reach groups, those who work, visit and study in the city and not just residents.
10. The timing of the involvement should be as early as possible, so that functions are shaped around the needs and aspirations of the community. The duty to involve does not replace any existing requirements but needs to be considered in addition to them. The emphasis is on a corporate approach (with partners where appropriate) to providing information, consulting and involving in ways that flow throughout the organisation, from strategic policies into individual service delivery.
11. The Empowerment White Paper, *Communities in control: real people, real power* published in July 2008 continues the focus on access to information, community members having an influence and being active in the community. The paper underscores the need for the council to be proactive, and encourage accessibility for to allow for more involvement and influence. An inclusive approach is encouraged with an emphasis on co-ordination with

partners and a broader focus than just residents, for example to include those who work, study or visit York.

The duty to inform

Provision of information

12. Provision of information should support communities to have their say and get involved 'where appropriate'. This goes beyond standard information on services and must be provided in a way that can be easily accessed and understood. It is important that stakeholders are aware of what the council is doing, both in the services they use and the services they don't. More than this we need to ensure people have the information required to have informed opinions on the development of those services. Finally, we need to make sure that all communication is in language appropriate to the audience.

Consultation

13. Consultation allows people to have their say about the decisions and services that affect them, providing genuine opportunities for people to be involved. The distinction between research and consultation is that research is the collection and analysis of data to provide greater understanding, whereas consultation is a process of dialogue that leads to a decision. In good consultation the public should be aware of the different options available, the pros and cons of these, background information, how decisions are made and by whom and how views will shape that decision.

Involvement

14. Involvement gives people greater influence over decisions or delivery. It can involve:
 - influence or direct participation in decision making (such as talkabout, budget consultation and ward committees)
 - feedback on decisions, services, policies and outcomes (such as exit surveys, the place survey and other research)
 - working with the us in designing policies and services (being involved in the commissioning of services)
 - carrying out some aspects of services for themselves (for example having responsibility for the maintenance of a community centre or the transfer of the management of assets, street clean ups or environmental conservation work)
 - working with us to assess services (through co-opted members of Overview and Scrutiny Committees, but also as mystery shoppers).

National Indicator 4 Framework

15. The effective implementation of the new duty will at least in part be assessed by a national indicator NI4 – the percentage of people who feel that they can

influence decisions in their locality in relation to the area within a 15-20 minute walk from the respondent's home. City of York Council has agreed to the LSP recommendation that NI4 is included as a key measure in our LAA. Currently there is no target for the indicator until a baseline has been established, but there is a commitment to deliver meaningful improvement in the level of engagement. Key to obtaining good feedback on this perception measure is embedded and effective engagement, occurring across the council and across partners.

16. To support the information collected by the Place Survey on this indicator, the Government Office have also developed a framework for NI4. This places a great expectation on quality engagement which leads to an involved population who can influence decisions of the council and our partners.
17. NI4 asks ten key questions:
 - (1) How well does the local authority and its partners know and engage with communities?
 - (2) How far engagement extends to vulnerable, disadvantaged and marginalised groups?
 - (3) How far have communities and their representatives been engaged effectively in developing the outcomes for their area, and in assessing whether they have been delivered?
 - (4) Are local people provided with a spectrum of opportunities to have their say and get involved in activities over and above being informed and consulted?
 - (5) how effective are local authorities and their partners in co-ordinating their engagement activity and communicating its impact on their decisions?
 - (6) how far is the local authority making increased efforts to revitalise local democracy by ensuring the profile of elected members is moving towards that of the population as a whole, as well as promoting and facilitating democratic engagement?
 - (7) is the third sector being developed actively so that it can work with partners to enable diversity of views to be heard?
 - (8) are governance arrangements in place across the partnership and within agencies so that there is effective challenge of empowerment activity?
 - (9) do commitments made in partner strategies around community involvement in service design make their way into delivery?
 - (10) are arrangements in place to ensure that frontline workers are themselves empowered to deliver community engagement commitments?

CYC best practice examples

18. It has been clear that, even in the context of the new legislation, City of York Council has some outstanding examples of good practice to build on. Some examples are
- **Informing** – recycling messages, council tax leaflet, media releases, media briefings, the council’s website, Streets Ahead tenants magazine
 - **Consulting** – talkabout, ten years of annual resident’s opinion surveys, consultation around easy@york, annual budget consultation, Local Development Framework and Sustainable Community Strategy consultations
 - **Involving** - Transfer of assets work, participatory budgeting via the ward committee budget process, Estate Improvement Grant, schemes such as Yorkash, the Statement of Community Involvement for the Local Development Framework.

However, we need to make sure our future engagement is consistent, that it has the right spread, that it is fit for purpose and for the future.

Working with partners

19. The Chief Executive has discussed the engagement strategy with the Without Walls Board. The Board were happy with the principle of an LSP engagement strategy and have asked for further information on the implications of that. Other local authorities have agreed a joint approach to engagement through their LSPs, with shared principles for all of the members as an overarching engagement framework.
20. A paper is going to the Without Walls Executive Delivery Board on December 15 on the subject of LAA delivery action planning. It says:

At a recent Board meeting WOW recognised the need to rationalise approaches to communication and engagement. It was agreed to explore the opportunities to work with CYC who are developing and implementing an Engagement Strategy and ‘Toolkit’.

Internal communications

21. Internal communications are not explicitly included in the strategy, although there will be references to them in the toolkit, and the principles of good engagement are intrinsic to all internal communications as much as external communications. Work to transform the council’s intranet and other innovations in internal communications will be reflected in the toolkit.

Conclusion

22. The Engagement Reference Group has reached the following conclusions:
- a. while some of the evidence is inconsistent, we believe there is an appetite in the city for better information about the council and its services and a desire to express a view before key decisions are taken.
 - b. although there is some excellent engagement conducted by the council, it is not consistent and there is a need to spread best practice more reliably.
 - c. different parts of the council can carry out separate consultation at the same time. There is a need to co-ordinate better so that our communities are not confused or over-burdened and so that efficiency can be improved.
 - d. the council needs to strengthen its involvement and engagement of communities by making it clearer to all teams what tools and techniques are available and when they can be best employed.
23. In order to respond to these findings the Engagement Reference Group recommended a framework consisting of:
- a set of principles that should form the basis of a strategy (please see Annex B for a draft of the strategy). This would be a fully designed document intended to be published electronically.
 - a simple toolkit to deliver the strategy (draft outline at Annex C). This would also be designed to be attractive and user friendly and published online as a fully interconnected document.

Taken together these will form the standards we expect of the council and (if they so choose) partners.

Implementation

24. In order to implement the standards and a consistent approach to engagement:
- the Marketing and Communications team (m&c) will advise on coherence and coordination and the audit and risk management team will give assurance that there is a consistent approach across the council
 - the m&c team will manage a log of engagement activity and check the log for consistency and quality and ensure there is no duplication
 - an amendment to the report writing protocol will be added to acknowledge the importance of engagement and to request officers inform members ahead of every decision what engagement has taken place
 - an Equalities Impact Assessment of the strategy will be produced, with special emphasis on reaching all of the six equalities strands, 'hard to reach groups' and groups of vulnerable people

- a methodology for measuring success in the strategy and keeping it up to date will be developed.

Financial implications

25. There will be no extra resources available for engagement over and above what is already spent by the council. Instead the strategy will be judged a success if it is able to coordinate better the existing work on engagement, give greater focus to the outcomes of our engagement and show clearer action as the result of the more clearly defined principles of engagement.

Sustainability issues

26. Better coordinated engagement will mean less duplication and therefore less paper used by the council in communicating

Legal

27. There are no legal implications in this paper

Crime and Disorder

28. There are no crime and disorder implications in this report

Information Technology (IT)

29. The strategy and toolkit will both be web-based documents.

Property

30. There are no property implications in this report.

Other

31. All other implications have been covered in the report.

Risk Management

32. There are no risk implications in this report

Consultation

33. The council's Corporate Management Team has been consulted on the options outlined in this paper. Other consultation is outlined at Annexe D.

34. Next Steps

35. The Chief Executive, with marketing and communications and the Engagement Reference Group will produce a web-based strategy and user-friendly toolkit for February 2009 and bring this back to members.

36. Executive is invited to sign off the project proposals, in particular
- a. our approach, and outcomes of the process so far
 - b. the draft strategy (see Annex B)
 - c. the draft toolkit (see Annex C)
37. To turn the draft strategy and toolkit into the finalised version the council needs to conduct broad consultation and engagement with members and others. (Please see Annex D.) This will lead to the Executive being invited to sign off the final strategy in February. Is the Executive content with this list of consultees and way of proceeding?

Recommendations

38. Members are asked to approve the next steps outlined above.

Contact Details

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Chief Executive

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Report Approved ✓ **Date** 11/12/08

Specialist Implications Officers:

NA

Wards Affected:

All ✓

For further information please contact the author of the report

Annexes

- A: Membership of the community engagement working group
- B: Draft Community Engagement Strategy
- C: Draft toolkit
- D: Informal engagement record
- E: Other councils' approaches to engagement strategies

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Community Engagement Strategy: Annex A

Membership of the community engagement working group:

Name	Council directorate
Deborah Baxter	Chief Executives
Matt Beer	Chief Executives
Sharleene Bibbings	Chief Executives
Nigel Burchell	City Strategy
Zoe Burns	Neighbourhood Services
Tracey Carter	Resources
Evie Chandler	Chief Executives
Bernie Flanagan	LCCS
Sandra Forbes	Resources
Martin Grainger	City Strategy
Andy Laslett	LCCS
Liz Levett	Neighbourhood Services
Lorraine Lunt	Resources
Bill McCarthy	Chief Executives
Julie McMurray	Resources
Colin Rumford	Neighbourhood Services
Graham Terry	HASS

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Community Engagement Strategy: Annex B

Draft

Community Engagement Strategy

1. Aim of this strategy
2. What communities have told us about engagement
3. Who should we consult?
4. Principles of engagement - from informing to involving
5. When to use different forms of engagement
6. Implementing the strategy in CYC
7. Working with partners
8. A communication and engagement toolkit

1 Aim of this strategy

- 1.1 All members of York's community have a right to know, to have their say and be involved, in issues concerning the council. The council is committed to ensuring that its members, officers and partners engage the public in what they do. The goal of this strategy is to ensure that we are in a position to provide excellent services that meet community needs by enabling:
- our communities to know about CYC services and decisions and are able to have their say
 - our communities to have their say through effective consultation, participating in decisions and shaping services
 - all places and groups in York to be included in opportunities for consultation and engagement.

2 What communities have told us about engagement

- 2.1 The council's residents' opinion survey has consistently shown people feel they do not get enough information from the council. In last years' survey less than half (45%) feel the council keeps them very or fairly well informed. The remainder feel they are not kept well informed.
- 2.2 Only 37% are satisfied with the opportunities for participation in local decision-making provided by the council, although 45% do not express a strong opinion one way or the other.
- 2.3 Around 20% of all respondents would like to be more involved in the decisions their council makes that affect their local area, and a further 66% say they would depending on the issue in question. However, 14% would not like to be more involved in such decisions.
- 2.4 There is also feedback from residents and other stakeholders confirming the opinion that understanding how views expressed make a difference to a final decision is vital, and that lack of co-ordination from different council departments (in the distribution of leaflets for instance) is especially disliked.

3 Reaching all of our communities

- 3.1 It is important that we engage with those people who are most likely to be affected by services, policies and decisions. This may be residents, people who work in the city, visitors and students. It may also include the third sector (voluntary organisations), businesses, bodies such as parish councils and anyone else affected or interested. It is important to consider the involvement of people whose voices may not be heard or who can be marginalised, such as young people and vulnerable people.

- 3.2 From April 2009 there is a statutory duty from the Public Involvement in Health Act 2007 to inform, consult and involve what are known as *representatives of local people*. These are a balanced mix of the people listed above as determined by the topic covered by the engagement, that is those likely to be affected by, or interested in a particular authority function.

4 Principles of engagement - from informing to involving

- 4.1 There are different types of engagement, which have varying levels of outcomes. Some engagement is about having views heard, other types concern having views heard and acted upon, to the extent of changing policies and influencing decision-making. Different aspects of council work will require different approaches, with engagement being a spectrum from communication and providing information over to the transfer of assets, commissioning and service delivery. The different types of engagement are outlined below.

Informing

- 4.2 Communities need to be in a position to be able to understand their entitlements and know how to access services in order for them to have their say and get involved in influencing those services, decisions and policies. They need to have accurate and comprehensive information relating to when and how the council makes decisions affecting services and future policy.
- 4.3 Information must be provided in a variety of ways that are easily accessible and understood – this discussion of language and accessibility will be a key part of the engagement toolkit which is the ‘how to’ part of this strategy.

The key principles of information and communications are:

- good quality communication is essential in engaging with stakeholders
- the council will communicate honestly and openly
- the council will communicate as one organisation and with one voice, co-ordinating the information it provides
- all communications will be as accessible as possible to everyone in the community
- communication of all types should be easily understood, timely and up-to-date
- communication should be two-way where possible, so the council can hear and understand residents’ views
- all communications should follow the council’s corporate visual identity and style guide and be easily and instantly identifiable as coming from City of York Council.

Consulting

- 4.4 Consultation allows people to have their say about the decisions and services that affect them. Consultation needs to provide *genuine* opportunities for people to take part and for their views to be heard and acted upon. The scope of consultation is wide ranging from mandatory surveys to direct dialogue such as focus groups and panels. It can range from asking about prioritisation (such as the budget consultation), getting feedback (such as the Place Survey) and asking direct questions, such as surveys on the position of new park and ride sites.

The key principles of good consultation are that it should:

- be meaningful– all consultation should clearly relate to a decision, service or policy that must be able to be affected by the results of the consultation
- have a clear purpose – the consultation must state why it is being carried out and how the results will be used. It is essential that everyone understands what is being asked and why and how their involvement has influenced and shaped the final decision.
- be timely - decisions need to be informed from the earliest stage possible
- be representative – consultation needs to include a balanced cross section of the local community. If appropriate this could include those who work, live, visit and study in the city, as well as groups, organisations and businesses.
- be accessible to all – both for written information and consultation venues
- be joined up – consultation should be co-ordinated and linked with other relevant services or partners to avoid customer consultation fatigue and duplication of effort, time and cost
- give feedback – results of consultation should be analysed and used to inform decisions, with clear feedback on what has changed as a result of the consultation provided to those consulted and the wider general public.

Involving

- 4.5 This is the most interactive form of engagement which is over and above being informed and consulted. It should lead to empowered individuals and groups. It needs to give the ability for genuine influence over decision-making and delivery and can include
- influencing or directly participating in decisions
 - co-design or commissioning services
 - working with us to assess services.

- 4.6 Community members can be involved through direct participation in decision-making (facilitated by the council's forward plan), joint work in designing policies and services and, actually carrying out some services. For example, street clean ups and work to assess services such as mystery shoppers, as well as contributing to scrutiny reviews looking at Council services and policies and indeed those of many of our partners. The ultimate aim of some types of engagement is to give the public direct influence over council decisions, so that we offer the right services in the right way for the people who use them and that individual areas can reflect the individual needs of people.

The key principles of involvement are that it should:

- be the default position rather than the exception, so that all council services seek to include stakeholders and representatives of local people in the design of policies and services as matter of course
- encourage direct participation in decision making so that people are empowered wherever possible
- encourage aspects of services themselves to be delivered directly by stakeholders
- encourage stakeholders to work with the council in assessing services
- be inclusive and accessible
- be transparent so that it is clear how the involvement has fed into the final decision-making.

5 When to use different forms of engagement

Please note this section will be consulted on to finalise the detail.

- 5.1 Managers will need to develop ways to ensure engagement as an everyday part of their work, as well as an integral part of one-off significant decisions. The toolkit that accompanies this strategy will help support officers as it contains detailed information and guidance, on the tools available for engagement.
- 5.2 One of the central points of guidance for when to use the different forms is that engagement should only take place when we have established that our work won't be a duplication. This is so we take advantage of previous engagement data and avoid unnecessary burden.
- 5.3 There are also specific scenarios that trigger the use of the different forms of engagement. These are outlined below.

Informing

- 5.4 The provision of information is a crucial, to support communities to have their say, provide information on services and include information relating to when and how the council makes decisions affecting services and future strategy. Provision of information should be done via a variety of medium as a basis minimum in the delivery of routine functions. The provision of information should be routine and happen in regular cycles as well as when one-off changes are made.

Consultation

- 5.5 Consultation allows people to have their say about the decisions and services that affect them. The consultation of the community and stakeholders, is to be considered at the earliest time possible in all cases of service delivery change, policy generation and one-off significant decisions as a matter of course. Statutory duties in directorates that place legal restrictions on decisions need to be made clear.

Involving

- 5.6 The aim of involving is to give the public direct influence over council decisions. Involvement should be taken as an automatic part in the development of services, assessment of their effectiveness, for policy decisions and issues with a significant impact. Again statutory duties limiting decisions and choices should also be made clear.

6 Implementing the strategy in City of York Council

- 6.1 As the corporate team most involved in engagement it is proposed that the marketing and communications (m&c) team should lead on the applying the principles stated in this document. Practically this would m&c keeps a log of all engagement and provides quality assurance through analysis of the log. This lead will be done collaboratively.
- 6.2 The audit and risk management team will take the role of giving assurance that there is a consistent approach to engagement across the council.
- 6.3 An engagement section will be added to the template for council papers so that members are able to see what engagement has taken place whenever they make a decision or receive information from officers.

7 Working with partners

- 7.1 It is essential that engagement is co-ordinated with partners and key stakeholders. This has a number of benefits which can include pooled resources and shared understanding of issues which are important to local people around their needs and aspirations.

- 7.2 Co-ordination at this level is a clear requirement of the Duty to Involve and will be assessed as part of the Comprehensive Area Assessment process, as well as delivery against the NI4 indicator – the percentage of people who feel that they can influence decisions in their locality, which is contained within the Local Area Agreement.
- 7.3 This strategy has been developed collaboratively, through working with numerous internal and external partners. The work to arrive at the strategy and toolkit has been steered by a cross cutting group of council officers that included an internal reference group (the Engagement Reference Group), senior managers and the corporate management team. Key strands of the work have also been heavily influence by Without Walls, the Local Strategic Partnership, and groups in the city.

8 A communication and engagement toolkit

- 8.1 As mentioned above a toolkit is being [has been] developed that outlines what the standards mean in practice and advises. The toolkit will provide practical information to council staff on best practice for community engagement.
- 8.2 The toolkit will be [is] an online document, cross-referenced and available for download and distribution.

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Community Engagement Strategy: Annex C

Draft

Engagement toolkit and calendar

Please note: this is only a rough guide to the toolkit which will be consulted on extensively. It may look very different to this and contain more (or less) sections

The actual document will be web based and will therefore be formatted (and cross-referenced) differently

It will contain more detailed information and be launched in March 2009

About this toolkit

1. This toolkit aims to give practical information to council staff (and partners where appropriate) on best practice for community engagement. It accompanies the council's Community Engagement Strategy.
2. The toolkit is based around the community engagement processes of informing and communicating, consulting and researching, involving and devolving decision-making and supporting community action.
3. It also sets out core skills used in community engagement, such as planning, facilitation and communication and its principles - diversity and equality. There are also guidelines for engaging with different interest groups, such as young people and older people and case studies.
4. The heart of community engagement is the development of relationships, open and clear communication, networking, listening, and learning to understand the diverse people and places that we are working with. Make sure you always communicate clearly. Community engagement can be hard. What may work in one area with certain people may not work as well down the road with a different set of people.

What does 'good' look like

5. We want a coordinated and effective dialogue with all parts of community, leading to more appropriate and responsive services. The toolkit aims to support strong, active and inclusive communities, who can influence decision-making processes. This means that engagement is good when it leads to
 - our services being responsive and meeting the needs of our communities
 - our policies anticipate future concerns, aspirations and needs
 - to active and involved citizens, participating in decisions and shaping services.
6. Overall we want
 - to be sure our services are responsive and meet the needs of our communities, as our communities have a right to know and to have their say
 - to be sure our services and policies anticipate future concerns, aspirations and needs
 - active and involved citizens, participating in decisions and shaping services so that they feel that policies and services reflect this involvement and are tailored to local need
 - to be sure that information, consultation and involvement opportunities are provided on the right issues, targeted at the right people in an accessible way

- to have a corporate approach to providing information, consulting and involving, which flows through the organisation from strategic policies to the individual service delivery, and that this is coordinated with partners.

Making sure we leave no one out of our engagement – the centrality of equalities

7. The council has a legal and moral obligation to cater for the needs of all residents, including those often called 'hard to reach'. We want to make sure that council information and publications are accessible to all parts of the community as a matter of course.
8. The council will strive to ensure that we are accessible to everyone in the way that we communicate about our services and policies. We are responsible for ensuring that all of our residents have equal access to all of our services and information - in order to do this, communication in all its forms needs to be in a variety of appropriate formats.
9. Where possible, large print, Braille and audio versions of publications are offered on request. Translation services will also be offered in key publications and communicated via the council's translation panel which details the availability of this service.
10. Further information on Accessibility issues and communicating with Hard to Reach groups can be found in the Equality Strategy.

Our approach to informing and good communication

11. The goal of all of the council's communications is to enable residents, customers, and both geographical communities and communities of shared interests to:
 - understand the way in which the council performs its duties and uses its resources
 - be aware of the services provided by the council and its partners
 - be involved in decisions that affect them by informing and consulting them about the council's proposed policies in a timely, balanced and transparent way
 - be at the heart of the continual improvement of services.
12. To achieve these goals the council has to be able to:
 - communicate through appropriate means, consistently and in plain language
 - foster positive relations with the media, taking a proactive approach
 - effectively use the intelligence generated by communications activities
 - monitor, assess and continually improve its performance in this field.

13. The lead for the council’s communications is the Marketing and Communications (m&c) Team. Members of the team are always available to provide advice on communications and consultation issues.
14. The m&c role is to ensure the council is able to communicate in the ways outlined above, in line with the Code of Recommended Practice for Local Authority Publicity. Part of the way it does this is by working proactively and reactively with the media and by issuing the council’s own publications.
15. The media protocol makes it clear press office is the first and only contact for officers with the media. The m&c team attend directorate management teams and read agendas to find council business.

Corporate communication methods

Providing information about the council		
Corporate Tool	Regularity	When to use
A press release is for informing the public about something that is happening in the near future that might be of interest. It is sent by the press office to journalists as the basis for a news story and is an invaluable of informing stakeholders of the council’s work. The content of a council press release is governed by the media protocol.	The council’s press office issues on average 60 press releases a month, dealing with every aspect of the council’s work. The press office operates 8.30 – 5 on weekdays and through an out of hours number over the evening and weekends for emergencies.	Use for any communication with the public that is broadly ‘news’. The press office will write press releases and liaise with the media, but the information contained in the release comes from the team. Please give m&c as much advance warning of the need for a release as possible – they take time to produce and there may be others in the queue ahead of you.
A media statement is a reactive comment issued in response to a question from the media. It will normally be reported as ‘a council spokesperson said...’ The m&c team will normally try to issue comment in response to media query and avoid a ‘no comment’ appearing.	As required – the council receives around 200 media enquiries a month, most of which will result in a statement being issued.	The media protocol makes it clear press office is the first and only contact for officers with the media. Journalists contact the press office several times a day with questions about aspects of the council’s work. The press officer who takes the call will log it and decide who is in the best position to answer the question. He or she will agree a statement with a relevant person, which the press officer will then issue. The press officer will be able to advise on the best response. On occasion when something is likely to generate media interest the team will prepare a statement in advance.

Providing information about the council		
Corporate Tool	Regularity	When to use
A photocall is when the press office invite the media to photograph something newsworthy.	Photocalls can be as frequent as there are things worth photographing. They are by their nature one-off events.	Use for any communication with the public that can be explained visually. A photograph is usually more striking and immediate than words. The press office will help establish a photocall and advise on any props required, and the marketing staff in m&c can help in producing these, but they will need advance warning of at least three or four days. The use of a photocall is also governed by the media protocol.
A media briefing is when the media are formally invited to speak to a councilor and/or senior officer. In an emergency this can be a press conference	As required	Use to explain complicated and/or urgent specific issues. The media protocol states all party leaders should be briefed by officers before a media briefing. The press office will arrange and invite the media to attend. The media will normally need two or three days warning and the press office will need some time to arrange the briefing. All briefings therefore need to be arranged with the press office in good time.
A feature article is a more in-depth piece explaining the background to an issue	As required	Features are normally based on 'human interest', that is where the reader can easily relate to what is being written. The press office can try and interest the media in running a feature story.
Your Ward/Your City	Quarterly 4 or 8 page two-colour publications that are delivered by council staff to every household, timed to coincide with ward committees (as the agendas are carried in <i>Your Ward</i>)	<i>Your Ward</i> and <i>Your City</i> can be used to communicate information about services either on a ward level or citywide. Anything that officers feel residents need to know, that is not urgent (bearing in mind two month lead-in times) should go in these publications, space permitting. <i>Your Ward</i> is also used for ward-based consultation
Streets Ahead	8 page full colour magazine	For communicating with council tenants. The publication is overseen by a panel made up of tenants.
A-Z of council services	Booklet sent to all households funded largely by advertising	For providing basic information and contact details about council services

Providing information about the council		
Corporate Tool	Regularity	When to use
The council website (www.york.gov.uk)	Viewed by over 100,000 visitors a month.	As well as informing stakeholders about the full range of council work and allowing for feedback, the website has an established and growing ability to conduct council business through on-line forms and other interactive services. The front page allows information to be passed on almost instantly.
Other websites with council and partners such as YorOK YorTime, SYP, WOW etc		
Marketing/advertising	The marketing function advises on advertising and commissions publicity material, exhibition materials and corporate literature on behalf of the council and council departments.	Different parts of the council have a differing need for advertising and marketing, and the budgets for that activity are held by the services so the spend is difficult to predict.
Provision of service specific or topic specific leaflets	Examples include Schools Out, Street Sport York, Family Information Service packs for parents, Tenants Choice brochure, Housing Information Booklet for tenants, recycling information etc	A leaflet is a cost-efficient and proven method of communication. It is essential that the purpose and audience is considered at the outset, as well as how any leaflet will be distributed. The role of m&c in leaflet production is to get prices; liaise with printers; advise on design, corporate style and visual identity; ensure equalities and price information is on the leaflet; and finally offer a proofing services if required. Professionally produced and properly branded leaflets are essential to the council's overall identity.

Avoiding jargon and using plain English

16. The council is committed to presenting all information in 'plain language'. That means every piece of writing should be well organised, clearly and simply written, and free of jargon. This section offers brief guidelines on how to do this.
17. Think about what you need to say. Make brief notes along the following lines:
 - who am I writing this for?

- what do I need to tell them about, or ask them to do?
 - what do I know about my audience – what sort of people are they, what do they already know?
18. Decide on the best way of communicating with your reader. For instance, is it by letter, by a leaflet, a poster, an article, an advertisement? Is the information also to be posted on the website? Think about how this will affect what you say and how you say it. You may need to rewrite your information for different contexts.
 19. List the key points that you want to make. Make sure they are in a logical order that will make sense to your reader. Begin with an introduction that makes the purpose of the whole thing clear.
 20. Write in a personal and direct way – addressing the reader as an individual. For instance, where possible use pronouns – ‘we’ rather than ‘the department’ or ‘the council’, and ‘you’ rather than ‘residents’ or ‘applicants’. So you might write: “We’re bringing a recycling collection to your area, and we’d like to know your views on how best we can help you sort and recycle your rubbish” rather than “The council is bringing a recycling collection to Tang Hall and it wants to know residents’ views on what will best help them sort and recycle their rubbish”. The first version is more direct, and more likely to make the reader feel involved and to get a response.
 21. Keep to the point and get to it quickly in the first place. Your writing must interest your readers from the beginning, and give them reason to continue. Remember that to be clear does not mean to be terse. Sometimes you will need more words in order to explain a point clearly, and to make sure your style is both warm and polite. But that does not mean waffle – always use the most direct words and expressions.
 22. Keep sentences short. Around 15–20 words per sentence is a good average. It is wise to deal with one main idea in each sentence, making points simply and clearly. However, a good writing style holds the reader’s attention partly by varying sentence length.
 23. Keep paragraphs short as well. Space on the page helps the reader to scan text more easily. Each paragraph should be only a few sentences on the same theme.
 24. Use familiar words and avoid jargon. Don’t use a longer or more difficult word here a simpler one exists. For example:

utilise	use
endeavour	try
prior to	before
in the event of	if
remittance	payment
in the vicinity	near
commence	start
 25. Use sub-headings to break up text. In a document of any length, again these help the reader to navigate the text more easily, and make it more inviting to read.

26. Always read through, check and revise your writing. Make sure it is direct and easily understood. Reading it aloud or reading it to other people can help you to find any part that is unclear or over-wordy. Use the spelling and grammar check on your computer with discretion – unfortunately it doesn't always get it right.

Tips about consulting and researching

27. There are a variety of terms used to describe consultation, with research and consultation often used interchangeably. By and large research is the collection and analysis of data to provide greater understanding, whereas consultation is a process of dialogue that leads to a decision. Both amount to the same thing though: finding out what customers want.
28. Consultation and research is usually done when planning to make changes to a service, introduce a new service or find out customers' views on an existing service. It is just one of the elements of the decision making process - it does not solve the problem or make the decision, but it can provide the information to help to do so.
29. It is important to that consultation should be of a high standard – poor quality consultations not only produce unreliable results but also undermine the public's confidence in the council's sincerity in wanting to consult and involve residents in decisions.

Why we should consult – good consultation means that:

- The council remains open to and addresses emerging issues, whether they arise from residents, elected members, or other stakeholders locally or nationally
- The development of services and monitoring of their performance is based on an understanding of the views of residents, customers and communities
- Budgetary / policy decisions are informed by a full understanding of the needs and priorities of residents, customers and communities
- There are opportunities for residents, customers and communities to be involved in the development of council policies and services and decisions affecting the city
- The council responds fully to statutory requirements to consult
- Decision-makers at all levels within the authority have access to timely and pertinent information on the opinions of citizens, customers and communities
- The consultation exercises the council undertakes are carried out using an appropriate mix of methods to the high standards associated with professional ethics
- The council maintains and enhances its reputation as a centre of excellence and best practice in consultation.

Defining your audience

30. Good consultation needs a defined target audience. This might be all residents in York, people from a particular area or group, users of a particular service, or possibly non-users of the service whose views might be important.
31. Consultees must be representative of the local community in York. This means involving disabled people, black and minority ethnic (BME) people, people of different faiths, older and younger people, lesbian, gay and bisexual (LGB) people and women and men. All consultation must be representative unless there is a defined and reasoned explanation why not. In order to ensure the consultation is representative the equality profile of the audience needs to be monitored, which will allow results to be broken down – this can be done with the assistance of the equalities team or the market research team.
32. Consultations on decisions that will have a particular impact on disadvantaged groups should include a booster group to get a deeper understanding of the views of this group, which can be assessed along with the views from the mainstream consultation.

Different types of consultation

33. There are several different ways to consult, depending on the purpose of the consultation and the target audience. All types have their advantages and disadvantages. The research team will be able to explain which is best for whichever purpose.
34. Corporate consultation conducted by the research team includes talkabout, the citizens' panel, the Residents Opinion Survey (ResOp), and BVPI surveys such as the housing monitor, benefits, planning and library surveys.
35. Consultation tends to fall into quantitative (which is broad but shallow) and qualitative (which is narrow but in-depth). The former type allows for statistical analysis, the latter for a greater insight.
36. Examples of written consultation are:
 - e-consultation (via the internet)
 - postal questionnaires (such as the Place Survey)
 - newsletters (eg Your City)
 - citizens panels (talkabout, Business Panel)
 - self-completion questionnaires (at venues or events, for example)
37. Examples of verbal consultations are:
 - face to face interviews
 - focus groups
 - telephone interviews
 - large public meetings

- neighbourhood public meetings

38. Other types of consultation can include:

- Exhibitions
- Using the Media
- Conferences

Avoiding duplication

39. There are many groups, both within the council and outside, with a need to consult regularly. Officers should consult the Consultation Database or the research team to make sure they are not duplicating effort and risking consultation fatigue in their audience.

The importance of feedback

40. Customers who take part in consultation have a right to know the results. Consultees should be told how at the time of the consultation how and when these will be fed back to them.

Corporate consultation methods

Consultation		
Corporate Tool	Regularity	When to use
Place Survey	The main survey of residents' opinion is the statutory postal questionnaire and goes to 5,000 people at random	The Place Survey is a statutory questionnaire, with the majority of the questions determined by central government. There are five local questions which are arrived at through consultation with CMT,
The citizens' panel talkabout	Panellists receive 2 postal surveys a year.	Panel consists of over 2,000 residents who are selected at random from the electoral register and sent surveys. These surveys include questions from council teams designed to give them customer information and feedback on policy and service development. We use different methods to boost representation from different groups depending on the survey and the need, specifically targeting young people and BME people for the panel to ensure it is representative.
Annual budget consultation	Every year in November/December	For determining residents priorities for spending in the coming year. In recent years has been a questionnaire to every household and budget seminar.

Consultation		
Corporate Tool	Regularity	When to use
housing service monitor	Annually (statutory requirement every 2 years)	Goes to a sample of council tenants
external painting		
waste and recycling		
backchat	Potentially Monthly	A new innovation designed to engage young people is an online citizens' panel that is separate from the <i>talkabout</i> panel. It will be lighter in tone and more flexible than the paper-based <i>talkabout</i> . A panel of 1,500 people has been recruited and the first survey will be conducted in January 2009.
Directorate		
Tenants choice exhibition	Annually	Explains the improvement works for tenants who are undergoing major improvement works.
Postal satisfaction surveys	Continual	These are used by many services including Environmental Health and Trading Standards and housing services to help shape service improvement based on user comments

When and how to involve

[This will change radically with full consultation across the council as the toolkit is finalised]

41. Communities and individuals can be involved through direct participation in decision-making (facilitated by the council's forward plan), joint work in designing policies and services and actually carrying out some services. For example, street clean ups and work to assess services such as mystery shoppers, as well as contributing to scrutiny reviews looking at council services and policies and indeed those of many of our partners.
42. The ultimate aim of some types of engagement is to give the public direct influence over council decisions, so that we offer the right services in the right way for the people who use them and that individual areas can reflect the individual needs of people.

Involvement		
Corporate Tool	Regularity	When to use

Involvement		
Corporate Tool	Regularity	When to use
Ward Committees	A ward committee always meets in public four times a year.	Through a ward committee meeting local residents can: <ul style="list-style-type: none"> • find out more about local services • put forward views about local issues • find solutions to local problems • help make council and other services work better for the benefit of the whole neighbourhood <p>Ward committees have a local budget to spend in consultation with local residents. This can be used to pay for extra council services, local projects or to attract other funding into the area.</p>
Development of Neighbourhood Action Plans for all ward committee areas	This is an annual cycle using ward committee meetings and the Your Ward publication	Using customer consultation and engagement to develop local priorities for action. These provide a platform for identifying local priorities from local people that cut across partnership delivery for example around crime and disorder and health.
Attendance at public meetings	Full details of council meetings (including venues) are published on Guildhall notice board usually five working days before the meeting takes place. The council's website has a calendar of all council meetings.	Most of the council's business is conducted in public unless it is commercially sensitive or is about an individual. The public may be asked to leave while such an item is discussed. Most council meetings take place at the Guildhall, except for some planning meetings which occasionally take place at rural locations.
Local Development Strategy Statement of Community Involvement		The Statement of Community Involvement sets out how we plan to involve the community in the preparation and production of planning documents and making decisions on planning applications.
Young people deciding what schemes they would like to be funded via ward committee budgets.		
Expert panel in Housing Services		Concerning housing repairs, a review and assessment of leaflets and web information and Anti-Social Behaviour.
The Leaseholder Forum		
Support for the out of school sector training practitioners to make sure that the services reflect the needs of the young people		
Yorkash funding allocation where young people are acting as commissioners	This is an annual process	This is dependant on external funding streams.

Involvement		
Corporate Tool	Regularity	When to use
Schools Council conference	Annually for primary and secondary school age young people.	Key issues are discussed such as bullying
Estate Improvement Grant	This is an annual programme the priorities contained within all ward committee neighbourhood action plans	Scheme suggestions and voting within the Estate Improvement Grant, including estate walkabout with residents and local councillors.
<i>Streets Ahead</i> panel	Quarterly	Panel suggest topics and provide editorial for the <i>Streets Ahead</i> publication

Relevant Corporate Policies

To be followed in all communications and engagement

The **media protocol** gives the legal context of the council's communications and makes clear the expectation for all council staff about media contact with the council. It also deals with proactive and reactive work with the media, press conferences and media photographs. The main points of the media protocol are summarised below (the full protocol is available on the council's website):

1. All officers should ensure that in any publicity material or in any interviews given, they seek to be as objective and factual as possible.
2. The m&c team should be the first point of contact for any media enquiries and it will co-ordinate all public pronouncements on the council's work.
3. Officers should not speak to the media without talking to the press office first.
4. All Chief Officers should consider the media implications of all of the work of their teams on a regular basis.
5. No publicity or press releases issued by the council will quote the comments of councillors.
6. The m&c team will invite Executive Members or Scrutiny Members to take part in media photographs to promote council policies or initiatives as appropriate.
7. When a journalist needs a factual explanation of council policies or procedures the m&c team will agree a response with the appropriate Chief Officer or senior manager.
8. For political policy comment or political justification, the team will refer to the appropriate Executive Member or councillor.
9. In appropriate cases, the m&c team will issue press releases with agendas before the meeting, highlighting key items.
10. The team will respond to any subsequent press enquiries by providing an explanation at officer level or referring to the Leader of the council or the appropriate Executive Member and setting up interviews and photocalls if required.
11. Press releases will not be issued at the request of individual councillors in their capacity as ward councillors.
12. Any political group can issue information to the media at any time. However this must not be done using council resources.
13. Members will not be featured in photographs for use in publications except simple 'head and shoulders' photographs that allow the public to identify them.

Equalities

Corporate Engagement Calendar

NB This calendar excludes ad hoc research, consultation and communication

Annual engagement calendar				
Timescale	What	Type	Who	Methodology
Continuous	Housing Repairs Survey: A survey assessing satisfaction with repairs service amongst council tenants.	Research	HASS	Postal
	Housing and Social Care Services: Monitoring the complaints procedure.	Research	HASS	Postal
	News and Jobs staff bulletin every fortnight	Internal communication	Corporate	4 page one colour bulletin
	Neighbourhood Action plans	Consultation	Neighbourhoods	Information sheets with feedback opportunity to shape neighbourhood priorities and consultation at ward committee meetings and public events.
	Ward Team Meetings	Involving/Informing	Neighbourhoods	Multi agency problem solving groups led by ward councillors
	Planning Panels	Involving	Neighbourhoods	Ward residents elected and supported through ward committees. Meet every 3 weeks to discuss and comment on Planning Applications
	Residents Association (RA) Training and Information Events	Involving/Informing	Neighbourhoods	Either events for individual Residents Associations, Groups of RA's (cluster groups) or open to all CYC Supported RA's

Annual engagement calendar				
Timescale	What	Type	Who	Methodology
	Parish Liaison	Involvement	Neighbourhoods	Bi monthly liaison meetings Development of a charter
	Engaging with Children & Young People in Wards	Involving/consulting	Neighbourhoods	As series of targeted events either as open access ward committee events or delivered through schools
	Cold Calling Zones	Involving	Neighbourhoods	Setting up of Cold Calling Zones in resident identified areas across the city. Service advertised through Your Ward Your City and other media Check with Dawn Clarkson/Colin Rumford
	Satisfaction Surveys A survey assessing satisfaction with the environmental regulation service areas amongst service users.	Research	Neighbourhoods	Questionnaire sent out to members of the public and to traders following contact with the service areas.
	Schools Out	Communication	LCCS	Newspaper Style publication an edition per school holiday
Jan	talkabout	Research	Corporate	Postal survey Feedback: Mini Newsletter and Your City
	Staff Survey: The survey measures opinions of working for CYC: communications, management, learning and development, performance reviews, equalities, bullying.	Research	Corporate	Postal and online Feedback: News in Depth, Intranet
	A-Z of council services	Communication	Corporate	Delivered to every household
	back-chat online panel - panel of residents to take part in short online surveys	Research	Corporate	online

Annual engagement calendar				
Timescale	What	Type	Who	Methodology
Feb	Personal Social Services Survey – statutory annual survey, covering a different topic year to year eg 08 equipment and adaptations, 09 home care	Research	HASS	Postal
	Your City	Communication	Corporate	4 page newsletter
	Ward Committee Meetings & Ward Surgeries Open access public meetings chaired by ward councillors.	Involving	Neighbourhoods	At least one meeting per ward, also encompassing a ward surgery for members of the public to meet ward team members and other service providers face to face.
	Estate Improvement Grant Process (February & March)	Involving	Neighbourhoods	Public Meetings to discuss a long list of schemes including those prioritised by the local Residents Association
	Your Ward	Communication	Neighbourhoods	4 or 8 page newsletter
	back-chat online panel - panel of residents to take part in short online surveys	Research	Corporate	online
March	Council Tax Booklet	Communication	Corporate	12-16 page booklet sent to all households with budget and performance information
	Streets ahead	Communication	HASS	8 page colour newsletter to all tenants
	back-chat online panel - panel of residents to take part in short online surveys	Research	Corporate	online
April	Your City	Communication	Corporate	4 page newsletter
	Your Ward	Communication	Neighbourhoods	4 or 8 page newsletter

Annual engagement calendar

Timescale	What	Type	Who	Methodology
	Estate Improvement Grant Process - Ballot	Involving/consulting	Neighbourhoods	Ballot card distributed to all tenants inviting them to prioritise Estate Improvement Schemes
	Ward Committee Meetings & Ward Surgeries Open access public meetings chaired by ward councillors	Public Meeting	Neighbourhoods	At least one meeting per ward, also encompassing a ward surgery for members of the public to meet ward team members and other service providers face to face.
	News in Depth staff magazine	Internal communication	Corporate	12 page colour magazine
	Neighbourhood news	Internal communication	Neighbourhoods	4 page one colour newsletter
	back-chat online panel - panel of residents to take part in short online surveys	Research	Corporate	online
May	back-chat online panel - panel of residents to take part in short online surveys	Research	Corporate	online
	Estate Improvement Grant process results & Feedback	Communication	Neighbourhoods	Newsletter, Streets Ahead, attendance at RA meetings
June	Your City	Communication	Corporate	4 page newsletter
	Your Ward	Communication	Neighbourhoods	4 or 8 page newsletter
	back-chat online panel - panel of residents to take part in short online surveys	Research	Corporate	online
	Ward Committee Local Improvement Scheme Suggestion	Involving and consultation	Neighbourhoods	Local Improvement Scheme Suggestion Form contained within an information sheet delivered as part of Your Ward

Annual engagement calendar				
Timescale	What	Type	Who	Methodology
	talkabout	Research	Corporate	Postal survey Feedback: Mini Newsletter and Your City
July	News in Depth staff magazine	Internal communication	Corporate	12 page colour magazine
	Streets ahead	Communication	HASS	8 page colour newsletter to all tenants
	back-chat online panel - panel of residents to take part in short online surveys	Research	Corporate	online
	Ward Committee Meetings & Ward Surgeries Open access public meetings chaired by ward councillors.	Involving	Neighbourhoods	At least one meeting per ward, also encompassing a ward surgery for members of the public to meet ward team members and other service providers face to face.
	Neighbourhood news	Internal communication	Neighbourhoods	4 page one colour newsletter
Aug	back-chat online panel - panel of residents to take part in short online surveys	Research	Corporate	online
September	Your City	Communication	Corporate	4 page newsletter
	Streets ahead	Communication	HASS	8 page colour newsletter to all tenants
	Your Ward	Communication	Neighbourhoods	4 or 8 page newsletter
	Local Improvement Scheme Budget Consultation (Participatory Budgeting)	Involving consultation	Neighbourhoods	Freepost information sheet containing resident priorities 'ballot list' delivered with Your Ward newsletter.
	News in Depth staff magazine	Internal communication	Corporate	12 page colour magazine
	back-chat online panel - panel of residents to take part in short online surveys	Research	Corporate	online

Annual engagement calendar				
Timescale	What	Type	Who	Methodology
	Neighbourhood news	Internal communication	Neighbourhoods	4 page one colour newsletter
October	Annual Services Monitor Survey (STATUS): Statutory survey assessing satisfaction with CYC as a landlord.	Research	HASS	Postal survey Feedback:Streets Ahead
	back-chat online panel - panel of residents to take part in short online surveys	Research	Corporate	online
	Ward Committee Meetings & Ward Surgeries Open access public meetings chaired by ward councillors.	Involving	Neighbourhoods	At least one meeting per ward, also encompassing a ward surgery for members of the public to meet ward team members and other service providers face to face.
November	Recycling Calendars	Communication	Corporate	Delivered to all houses with kerbside collections
	Place Survey – statutory survey of 5,000 residents to ascertain satisfaction with York area and services	Research	Corporate	Postal survey Feedback: press release
	back-chat online panel - panel of residents to take part in short online surveys	Research	Corporate	online
December	Budget consultation	Consultation	Corporate	postal and online survey. Workshops
	News in Depth staff magazine	Internal communication	Corporate	12 page colour magazine
	Streets ahead	Communication	HASS	8 page colour newsletter to all tenants
	back-chat online panel - panel of residents to take part in short online surveys	Research	Corporate	online
	Neighbourhood news	Internal communication	Neighbourhoods	4 page one colour newsletter

Ad-Hoc	Additional Ward Committee Meetings and single issue ward meetings	Involving	Neighbourhoods	Ward based open access public meetings.
Ad-Hoc	Working Together	Communication	Neighbourhoods	4 page colour newsletter to Residents Associations. At least 3 x annually.

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Community Engagement Strategy: Annex D

Informal engagement record

Who	What we asked	When
Members <ul style="list-style-type: none"> • Cllr. D'Agorne • Cllr. Galvin • Cllr. King • Cllr. Reid 	Open discussion on engagement in general (notes of this meeting are available)	18/11
Corporate Management Team	Views on the approach to engagement and on an early draft of the strategy and toolkit (notes of this meeting are available)	12/11
Senior Mangers Group 'Top 200' mangers meeting Roundtable discussion with two groups of senior managers	<ul style="list-style-type: none"> • Where are there examples of good practice? • Where are there inconsistencies? • Where do things need improvement? • How can we really embed engagement? (notes of this meeting are available)	19/9
Without Walls Board	Open discussion on engagement in general and LSP views on ownership of strategy (notes of this meeting are available)	19/11
YREN Network	Open discussion on engagement in general and possible ways of closer relationship between community groups and CYC (notes of this meeting are available)	5/12
NYYPCT	Open discussion on engagement in general and possible ways of closer relationship	16/12
York People First	Open discussion on engagement for people with learning difficulties	17/12
CVS	Open discussion on engagement in general and possible ways of closer relationship between community groups and CYC	
Higher York	Open discussion on engagement in general and higher education	
Peter Kay	Open discussion on engagement in general and business requirements	
Lyn Jeffries	Open discussion on engagement and equalities issues	

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Community Engagement Strategy: Annex E

Other council's approaches to engagement strategies

Manchester City Council

The Manchester approach is a strategy and toolkit for the Manchester Partnership Board (the LSP) with the strategy owned by a sub-group of the LSP – the Manchester Community Engagement Strategy Board. This sub-group has two working groups looking at different aspects of engagement.

The strategy defines community engagement and what a community is (communities of place, communities of interest). It details four aims and themes and makes commitments to engage. It then lists the partners involved, the values the strategy uses and the structure for the board and working groups.

The toolkit runs to 65 pages covering areas such as equalities, engaging with specific groups, producing a poster, producing a newsletter, researching, consulting, involving communities, devolving decision-making, and supporting community action.

Middlesbrough

A similar approach to Manchester was taken by the Middlesbrough LSP (Middlesbrough Partnership). This involved an overarching community engagement framework, which, together with a consultation toolkit and best practice guide, is used by local organisations to ensure a consistent and professional approach.

Knowsley Borough Council

The Knowsley strategy (Community Knowhow) is published by the Knowsley Partnership, the LSP. It defines community engagement at five levels: information provision; consultation; deciding together; acting together; supporting local initiatives. The strategy was arrived at after a series of workshops and interviews with key stakeholders.

The strategy goes on to describe the vision, values and aims of the partnership and the good practice to build on. It outlines priorities and an action plan with the strategy being adopted and implemented by all members of the LSP. A section looks at action to embed the strategy and there is a section that looks at measures to gauge success.

Newcastle City Council

Newcastle's engagement strategy is a council document and is not owned by the LSP. It is published as web pages rather than as a pdf of a paper document. A contents list

introduces the concept of community engagement and via links outlines Newcastle's vision. Aims and objectives are discussed, along with who the strategy is for, what has been achieved so far and what they mean by engagement. Standards are then detailed, how to measure success and who is responsible for the plan.

The strategy is explicit that its job is to co-ordinate better existing work -
"community engagement activities have been brought together into one overarching strategy for the city and, as a result, we are aiming to better coordinate how we engage with our customers, citizens and communities."



Executive

23rd December 2008

Report of the Director of City Strategy

City of York Council –Changes to PPS12 and a Revised Local Development Scheme

Summary

1. This report advises Members on the production of a revised Local Development Scheme (LDS) for the City as required under the Planning & Compulsory Purchase Act (2004). The LDS is effectively the project plan for the delivery of the Local Development Framework. The report outlines the implications arising from the changes to Government Guidance (PPS12), the formal requirements relating to the production of an LDS, and financial implications.
2. A report on this matter was considered by the LDF Working Group on 4th November and the minutes from this meeting are attached as Annex A. A draft of the LDS amended to reflect the recommendations of the LDF Working Group is attached as Annex B and for the purposes of comparison the last timetable provided for Members is attached as Annex C.
3. Members are asked to approve this document for formal submission to the Government Office for Yorkshire and the Humber subject to the recommendations of the LDF Working Group.

Background

4. The Planning and Compulsory Purchase Act (2004) requires local authorities to produce and publish a project plan for the production of the Local Development Framework (LDF) known as the Local Development Scheme (LDS). It is important that the LDS is revised periodically to reflect changes to the LDF program. This project plan must be approved by Government Office prior to publication. Progress against the key milestones in the LDS will be one factor considered in the future awarding of the Housing and Planning Delivery Grant.
5. Guidance indicates that the LDS should look forward three years, and it should cover all aspects appropriate to the progression of the LDF. This includes the establishment of the evidence base, information on which

development plan documents will be taken forward, resource implications and reporting structures.

6. The LDS comes into effect four weeks after being submitted to Government Office unless Government Office intervenes during this period or requests more time. It is possible that Government Office may request changes to an authority's LDS to take account of issues such as the ability of the Planning Inspectorate to resource specific Public Inquiries.

Changes to PPS 12

7. Government guidance relating to the production of development plans is contained in PPS12. This document was revised and re published in June 2008 incorporating a number of key changes that are now reflected in the revised LDF program. Given this document's critical importance to the LDS a summary of the key changes is provided below.
8. The revised PPS is much shorter than the previous PPS12 and concentrates on more general advice about the nature and content of Core Strategies and other parts of the LDF. More detailed guidance is contained within the on-line 'Plan-Making Manual'. Overall the guidance is less detailed and prescriptive than previously. While this is an advantage in some ways, the requirement for documents to be 'sound' remains and it is now more open to interpretation what is required to achieve soundness. This could be problematic if the interpretation taken by the Planning Inspectorate (who test documents for soundness) is different from, or not communicated to, the local authorities.
9. The PPS confirms that all local planning authorities are expected to produce Core Strategies, setting out the vision for the area, the key issues to be addressed, a delivery strategy and measures for managing and monitoring the strategy. Core Strategies should have a time horizon of at least 15 years from the date of adoption.
10. The guidance highlights that Core Strategies can now allocate 'strategic sites', which are those considered central to achievement of the strategy. However, it warns that progress should not be held up by including non-strategic sites. There is an emphasis on infrastructure delivery and a requirement that Core Strategies are supported by evidence of the infrastructure needed and how/when it will be provided.
11. A key change involves dropping the 'Issues and Options' and 'Preferred Options' as formal stages and requiring consultation before rather than after submission. There are now 4 basic stages of production detailed below.
 - (i) Consultation stages leading to production of the DPD. This would include the consultations previously required under the 'issues and options', and 'preferred options' stages. These stages are not named as requirements in the revised PPS, and are all non-statutory or informal consultation stages, but there is a requirement for engagement with stakeholders, consultation on the matters to be included in the DPD, an adequate evidence base, and consideration of reasonable alternatives. Consultation should be proportionate to the document being produced.

(ii) The 'Proposed Submission' is the stage at which the authority publishes the DPD in the form that it proposes to submit it to the Secretary of State, for the purpose of seeking representations on the document prior to submission. At this stage the authority must be satisfied that the document is sound and ready for submission. Consultation must be 'at least 6 weeks' rather than precisely 6 weeks as previously required. The Guidance suggests the purpose of publication is to gather representations on the soundness of the document, rather than an additional stage of public participation or consultation, although the Regulations themselves do not appear to be so restrictive.

(iii) Submission of the DPD to the Secretary of State. There is uncertainty about how much (if anything) can be changed following consultation on the proposed submission DPD if it is to be progressed to inquiry. Potentially any significant changes would require withdrawal of the document and further full consultation on an alternative. However, for minor changes it may be possible to limit consultation just to the element that has changed. Once the document is submitted the examination process starts, leading to a binding Inspector's Report.

(iv) Adoption of the DPD. The Inspector's Report is binding so if the authority wants to progress the DPD it has to adopt it including the modifications recommended by the Inspector. There is still the possibility that an Inspector could find a DPD 'unsound'.

12. Table 1 below compares the original Core Strategy process with the revised process now set out in PPS12. This highlights in particular the reduction in statutory consultation stages.

Table 1: PPS 12 Changes to Process

Original Core Strategy Process	Revised Core Strategy Process
Pre-Production Stages (including informal Front-Loading)	Production & Preparation (including informal consultation) [New Regulation 25]
Issues & Options (Informal Consultation)	
Preferred Options (Statutory Consultation)	
Submission Stage (Including Statutory Consultation)	Publication (Statutory Consultation [New Regulations 27, 28 and 29])
	Submission Stage (Notification) [Section 20 of Act and New Regulation 30]
Public Examination	Public Examination
Adoption	Adoption

13. The 'tests of soundness' previously included in PPS12 are replaced with a requirement for plans to be 'justified', 'effective' and 'consistent with national

policy'. The 'justified' requirement covers the need for a robust evidence base and consideration of alternatives. The 'effective' requirement means that documents must be deliverable, flexible and able to be monitored. In addition, there are legal requirements such as compliance with the Statement of Community Involvement, undertaking a sustainability appraisal and having regard to the Sustainable Community Strategy.

14. Section 5 of PPS12 deals with other Development Plan Documents (DPDs). These should follow the same procedures as Core Strategies, but the PPS sets out a number of issues which authorities should consider when deciding whether to produce DPDs which are additional to the Core Strategy. These include matters such as the coverage of the Regional Spatial Strategy or Core Strategy, infrastructure requirements, environmental pressures, and resources. It is emphasised that non-Core Strategy documents should not be used to take the place of the Core Strategy – "it is the Core Strategy which should make clear spatial choices about where development should go".
15. Section 6 deals with Supplementary Planning Documents (SPDs), for example Village Design Statements and development briefs. It is emphasised that these should not be prepared with the aim of avoiding the need for an independent examination of a policy which should be examined. The role of local communities in preparing SPD is acknowledged. Supplementary guidance may also be produced by a Regional Planning Body, government agency or County Council to cover areas larger than individual Districts, but it would not be SPD. However such guidance could be given similar weight to SPDs especially if it is endorsed by the relevant local planning authority.

Key Components of LDS

16. The proposed LDS, attached as Annex A to this report, covers six key areas each of which is detailed below:
 - i. Introduction – highlights the requirements of the new system and the authority's current position;
 - ii. Programme & Contents – covers the process of adopting development planning documents under the new planning system and highlights those that the Council intends to prepare over the next three years. This includes revised timelines for the documents currently under production.
 - iii. Annual Monitoring Report
 - iv. Sustainability Appraisal & Strategic Environmental Assessment
 - v. Existing Council Strategies
 - vi. Resources

Options

17. Members have three options relating to the proposed LDS:

Option 1: To approve the LDS subject to the recommendations of the LDF Working Group on 4th November 2008 for formal submission to Government Office for Yorkshire and the Humber.

Option 2: To seek amendments to the LDS through the recommendations of the Executive.

Option 3: Request that Officers prepare an alternative project plan.

Analysis

18. In the Local Development Scheme submitted to Government Office in March 2007 we committed to developing the following documents by 2010:
 - Core Strategy;
 - Allocations DPD;
 - York Northwest Area Action Plan;
 - City Centre Area Action Plan; and
 - The Statement of Community Involvement.
19. As Members are aware the Statement of Community Involvement has been subject to the Inquiry process deemed 'sound' and formally adopted. In addition the Core Strategy, Allocations DPD, The City Centre and the York Northwest Area Action Plans have all being subject to Issues & Options consultations and are now being progressed to the next stage of production. Against a national picture of delay and whilst dealing with some difficult planning issues we feel that we are making good progress. Notwithstanding this the revised LDS does include some changes in the program. This arises in part from the changes to PPS 12 highlighted above and from some delays in document production which is explained in more detail below. It should be noted however that the proposed overall timetable is not significantly different to the current LDS approved in 2007 or the update provided to Members earlier this year with all documents due to be adopted by 2010.
20. With regard to the production of the Core Strategy this process was deliberately delayed by three months in the Summer of 2007 to allow for joint public consultation with the Sustainable Community Strategy. This was done to accord with best practice and government guidance and also to avoid public confusion which would arise from the two similar consultations being carried out close together. It should be noted that when the original LDS was prepared in late 2006/ early 2007 the exact timetable for the city wide consultation on the Sustainable Community Strategy was unknown. The joint LDF Core Strategy/Community Strategy consultation - the Festival of Ideas 2 - was very successful with over 2300 people responding. We are presently working on the equivalent to a preferred options document which should be ready for consultation early in the new year. This is considered necessary to provide full understanding of the proposed approach.
21. With regard to changes to other elements of the program, including any delays in the program, this is essentially the result of the considerable amount of evidence base work we have undertaken. As you would expect we have been closely monitoring the progression of other plans particularly

within the region and nationally. This has underlined the need for a robust evidence base to support any approach and led both to a requirement for further evidence base work and in some case a different approach to be taken.

22. As Members are aware a range of major studies have been completed since the last LDS was approved: Strategic Flood Risk Assessment; Strategic Housing Market Assessment; Strategic Housing Land Availability Assessment (Stage 1); Employment Land Review (Stage 1); Open space study (Stage 1) and a city wide retail study. In addition work relating the Open space study (Stage 2), Employment Land Review (Stage 2), detailed consideration of the retail implications of the York Northwest site, and the Strategic Housing Land Availability Assessment (Stage 2) will be completed shortly. Work relating to the following areas is also underway: nature conservation sites, green infrastructure, infrastructure provision and detailed conservation character appraisal work for the City Centre. It is expected that all this work will be substantially complete by the end of this calendar year and ready to support the Submission draft Core Strategy as per the revised timetable.
23. As indicated above good progress has been made in developing our LDF, against a national picture of some significant delays. It is considered that the program outlined in the revised LDS (Annex B) will ensure that the City has a Core Strategy, Allocations DPD, and two Area Action Plans in place before the end of 2010.

Corporate Priorities

24. The revised LDS supports the following Corporate Strategy Priorities:
 - Decrease the tonnage of biodegradable waste and recyclable products going to landfill
 - Increase the use of public and other environmentally friendly modes of transport
 - Improve the actual and perceived condition and appearance of city's streets, housing estates and publicly accessible spaces
 - Increase people's skills and knowledge to improve future employment prospects
 - Improve the health and lifestyles of the people who live in York, in particular among groups whose levels of health are the poorest
 - Improve the life chances of the most disadvantaged and disaffected children, young people and families in the city
 - Improve the quality and availability of decent affordable homes in the city
 - Improve the economic prosperity of the people of York with a focus on minimising income differentials
 - Reduce the environmental impact of council activities and encourage, empower and promote others to do the same.

Implications

25. Implications are as listed below:

- **Financial:** Members have agreed funding of £227k in 2008/09 and £224k in 2009/10 to complete the Local Development Framework. It is currently anticipated that expenditure can be contained within the budget over the two years however this is unlikely to result in a completed document. Additional resources if required for 2010/11 will need to be considered as part of future budget rounds to complete the project.
- **Human Resources (HR):** There are no HR implications.
- **Equalities:** There are no Equalities implications.
- **Legal:** As work on the LDF progresses legal advice will be sought to ensure the document under production is both procedurally and technically sound.
- **Crime and Disorder:** There are no Crime and Disorder implications.
- **Information Technology (IT):** There are no IT implications.
- **Property:** There are no property implications.
- **Other:** There are no other known implications.

Risk Management

26. Potential risks to the delivery of the programme are highlighted in Table 1 of the LDS document itself along with potential mitigating actions.

Recommendations

27. That Members:

- (i) approve, subject to the recommendations of the LDF Working Group on 4th November 2008 (minutes attached as Annex A), the proposed Local Development Scheme for formal submission to Government Office for Yorkshire and the Humber;

Reason: To ensure that the Local Development Scheme for York is submitted to Government Office for Yorkshire and the Humber as required under the Planning and Compulsory Purchase Act.

- (ii) delegate to the Director of City Strategy in consultation with the Executive Member and Shadow Executive Member for City Strategy, the making of any other necessary changes arising from either the recommendation of the LDF Working Group or Executive, prior to submission to Government Office; and

Reason: To ensure that any recommendations of the LDF Working Group and the Executive are incorporated into the submission draft LDS.

- (iii) delegate to the Director of City Strategy in consultation with the Executive Member and Shadow Executive Member for City Strategy the making of any minor changes arising from comments made by Government Office or the Planning Inspectorate following formal submission.

Reason: To allow the authority to respond to any comments made by Government Office or the Planning Inspectorate that would lead to minor changes to the LDS.

Contact Details

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**Report
Approved**



Date 02/12/08

Specialist Implications Officer(s)

Financial
Patrick Looker
Finance Manager
Tel: 551633

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

All

For further information please contact the author of the report

Background Papers:

None

Annex A: Minutes of the LDF Working Group 4th November 2008
Annex B: City of York Council Draft Local Development Scheme
Annex C: Previous Timetable (June 2008)

City of York Council

Committee Minutes

MEETING	LOCAL DEVELOPMENT FRAMEWORK WORKING GROUP
DATE	4 NOVEMBER 2008
PRESENT	COUNCILLORS STEVE GALLOWAY (CHAIR), AYRE, D'AGORNE, MERRETT, MOORE, REID, SIMPSON-LAING, HORTON (SUBSTITUTE) AND I WAUDBY (SUBSTITUTE)
APOLOGIES	COUNCILLORS POTTER, R WATSON AND WATT

14. DECLARATIONS OF INTEREST

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

15. PUBLIC PARTICIPATION

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

16. MINUTES

RESOLVED: That the minutes of the meeting of the Local Development Framework Working Group held on 4 August 2008 be approved and signed by the Chair as a correct record.

17. CITY OF YORK COUNCIL –CHANGES TO PPS12 AND A REVISED LOCAL DEVELOPMENT SCHEME

Members considered a report which advised them of the production of a revised Local Development Scheme (LDS) for the City as required under the Planning & Compulsory Purchase Act (2004). The LDS was effectively the project plan for the delivery of the Local Development Framework. The report outlined the implications arising from the changes to the Government Guidance (PPS12), the formal requirements related to the production of the LDS, and financial implications. A draft of the LDS was attached as Annex A to the report and, for the purposes of comparison, the last timetable provided for members was attached as Annex B. Members were invited to comment on the draft LDS and recommend it for formal submission to the Government Office of Yorkshire and the Humber.

Officers stressed that the key change in the Government guidance, as re-published in June 2008, was a reduction in statutory consultation stages in

favour of a process of continuous consultation. This now meant that before submission, consultation had taken place, and comments were fed to the Planning Inspectorate. Other key changes include an emphasis on the Core Strategy, including the highlighting of key strategic sites, and also changes to the test of soundness to ensure that plans are justified, effective and consistent. At the submission stage, the authority should be satisfied that the document was sound and ready for submission. It was added that, overall, the timetable was not substantially different, but that there were milestone changes as outlined in Table 1 on Page 9 of the LDS.

Members asked what would now be done differently, considering that the process was now well under way. Officers advised that the content of the Core Strategy would not change; the key change would be the approach to consultation although the Council would still need to demonstrate that at the key submission stage all alternatives had been considered.

Members requested clarification on the status of the Open Space Study (PPG17). Officers advised that the PPG17 Study was virtually complete and would be complete when the LDS was formally submitted.

Members expressed a view that multiple consultations at the early stages could be unnecessary, lengthy and bureaucratic. In addition questions were asked about the nature of the infrastructure provision work referred to in paragraph 20 on page 12. Officers responded that it must be shown that the plan and the sites within it were deliverable at the submission stage and that the emerging good practice would be monitored and used.

Members expressed concern that the Green Infrastructure Supplementary Planning Document referred to on page 27 of the Draft LDS would not be adopted until 2011 when it should be central to the Core Strategy. Officers confirmed that work on this, whilst it would run alongside and influence the Core Strategy, would need to be formally adopted as a Supplementary Planning Document following adoption of the Core Strategy itself.

Members also asked whether the evidence base of the 2001 Census was sound and whether, with the recent economic changes, the assessment would be valid. Officers responded that the study was looking at a 20-year period with in-built conservatism and that Officers were constantly looking at the evidence to see if it was fit for purpose. Members asked whether the Origin and Destination Study 2007 could be drawn on. Officers indicated that they would liaise with the Transport Planning Unit (TPU) to ensure that the most up-to-date evidence base was used.

Members asked about the status of documents in Annex C on Page 27 of the LDS.

The following comments and changes were agreed:

- On page 5 of the Draft LDS (figure 2 document timescales) Officers to look in to the possibility of minimising the effect of summer and Christmas breaks upon the consultation on the Core Strategy and Allocations Development Plan documents.

- That any Village Design Statements that are currently in progress and not included in the list on page 27 (Annex C Planning Guidance) of the Draft LDS are included.
- That Members be kept updated on any progress made on the Green Infrastructure and Green Corridors work.
- That the titles of the documents in Annex C be amended to reflect their status in terms of their effect upon planning decisions.

RESOLVED: (i) That the Executive be recommended to approve, subject to the recommendations of this working group as recorded above, the proposed Local Development Scheme included as Annex A to the Officers report for formal submission to Government Office for Yorkshire and the Humber.

REASON: So that the Local Development Scheme can be submitted to the Government Office for Yorkshire and Humber.

(ii) That authority be delegated to the Director of City Strategy in consultation with the Executive Member and Shadow Executive Member for City Strategy, for the making of any other necessary changes arising from either the recommendation of the LDF Working Group or Executive, prior to its submission to Government Office.¹

REASON: So that any recommended changes can be incorporated into the Local Development Scheme prior to its formal submission to Government Office.

(iii) That authority be delegated to the Director of City Strategy in consultation with the Executive Member and Shadow Executive Member for City Strategy for the making of any changes arising from comments made by Government Office or the Planning Inspectorate following formal submission.

REASON: So that any comments made by the Government Office or the Planning Inspectorate can be incorporated into the Local Development Scheme.

Action Required

1. Make changes to Draft LDS as agreed at the LDF Working Group meeting on 4 November.

SS

Cllr S F Galloway, Chair

[The meeting started at 4.35 pm and finished at 5.20 pm].

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City of York

LDF

Local
Development
Framework

DRAFT
Local
Development
Scheme

December 2008

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1. Introduction and Context

The Local Development Framework

- 1.1 In September 2004 the Planning and Compulsory Purchase Act (The Act) introduced a new planning system. For local authorities such as York the new system introduced a range of planning documents collectively known as the Local Development Framework (LDF).
- 1.2 The Act requires Local Authorities to prepare and maintain a Local Development Scheme (LDS) which is the project plan that explains the documents that the Council will prepare as part of its LDF over the next three years. It also sets out the resources that will be required and the timetable for each document.
- 1.3 This LDS takes into account the changes introduced by the revised PPS12 which was published in June 2008. The main changes are firstly, that the two options stages (Issues and Options and Preferred Options) have now been replaced by a single requirement to consult in the preparation of the document and secondly, that formal consultation now occurs prior to submission of the document to the Secretary of State.

Purpose and Content of the Local Development Scheme

- 1.4 This document is the Council's Scheme for 2008 to 2011. Its main purposes are:
 - to inform the community and other partners of the Local Development Documents (LDDs) that will make up the LDF for the area and the timescales they can expect for their preparation; and
 - to establish the Council's priorities for the preparation of LDDs and their associated work programmes, including in relation to budgeting and resources.

The Present Development Plan for the City of York

Strategic Planning Guidance

- 1.5 The Yorkshire and Humber Plan: Regional Spatial Strategy (RSS) to 2026 was adopted in May 2008. It constitutes the formally approved development plan covering the City of York area and should be used in the assessment of planning applications.

Locally

- 1.6 In November 1999 a public inquiry opened to examine objections to the City of York Local Plan. One of the first issues to be considered by the independently appointed Government Inspector was the York Green Belt. In January 2000 he published his provisional views, which made it clear that the Plan should seek to adopt a permanent Green Belt. This differed to the approach advocated by the Council which involved initially designating an interim Green Belt whose boundaries would endure only for the life time of the Local Plan i.e. until 2006. Taking its lead from the inspector, in February 2000, the Council suspended the inquiry and officers began a Green Belt Review, which led to the Third Set of Changes to the Plan.
- 1.7 The consultation on the Third Set of Changes was held in February and March 2003. The Council received over thirteen thousand representations. This led to the production of a Fourth Set of Changes to the plan. The Local Plan up to and including the Fourth Set of Changes stages has been approved for Development Control purposes by the Council. Although this document does not have full Development Plan status as it has not been through the Inquiry process, it is considered to be an important material consideration in the assessment of planning applications. This document will be used for the purposes of Development Control until such time as it is superseded by elements of the LDF.
- 1.8 In addition to the draft Local Plan the Council has produced and is producing a range of draft supplementary planning documents to support policies included in the draft Local Plan up to and including the Fourth Set of Changes as approved by the Council for Development Control purposes (see Annex C). These documents are considered to be material considerations in terms of determining planning applications and will continue to be used by the Authority until such time as they are superseded.

Further Information

- 1.9 A glossary of terms is provided in Annex E. Further general information about the LDF can be obtained from the Council's web page at www.york.gov.uk or the Planning Portal Website (the government's online service for planning) at www.planningportal.gov.uk.

If you would like to discuss this document or the LDF more generally please contact:

Forward Planning Team

City Development

City of York Council

9 St. Leonard's Place

York YO1 7ET

Telephone (01904) 551466

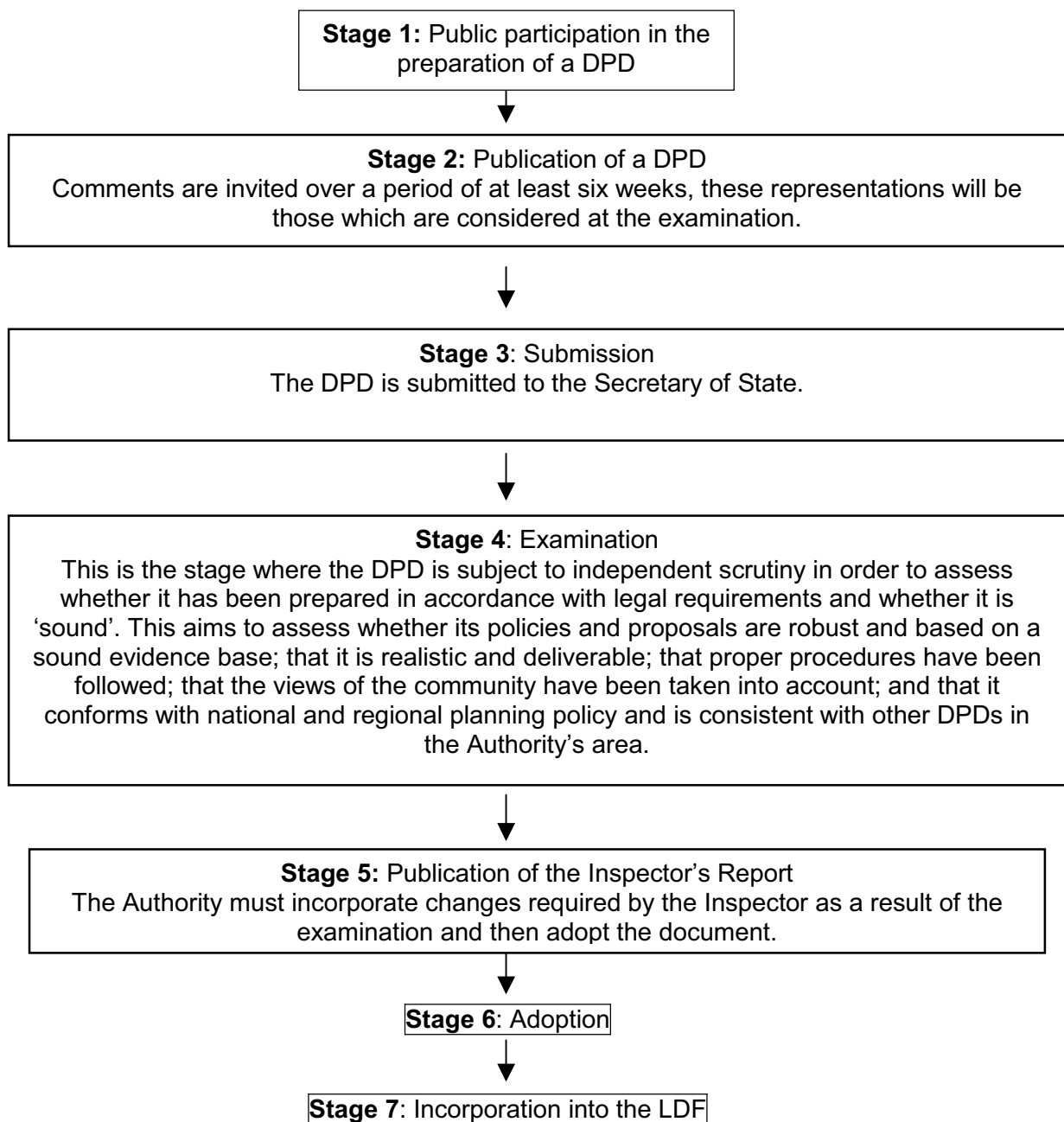
Email citydevelopment@york.gov.uk

2. Programme & Content

Process

- 2.1 The process for the production of Development Plan Documents (DPDs) that will form the LDF for the City is described in Figure 1 below.

Figure 1: Preparation of Development Plan Documents (DPDs)



Local Development Documents

Progress to Date

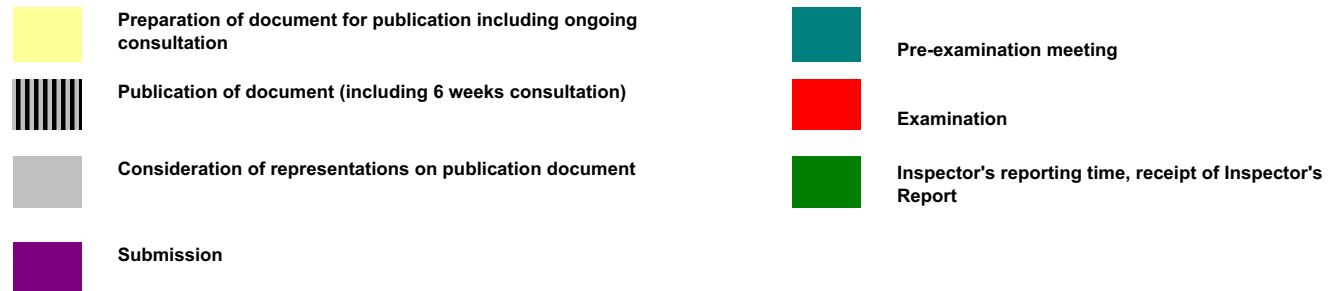
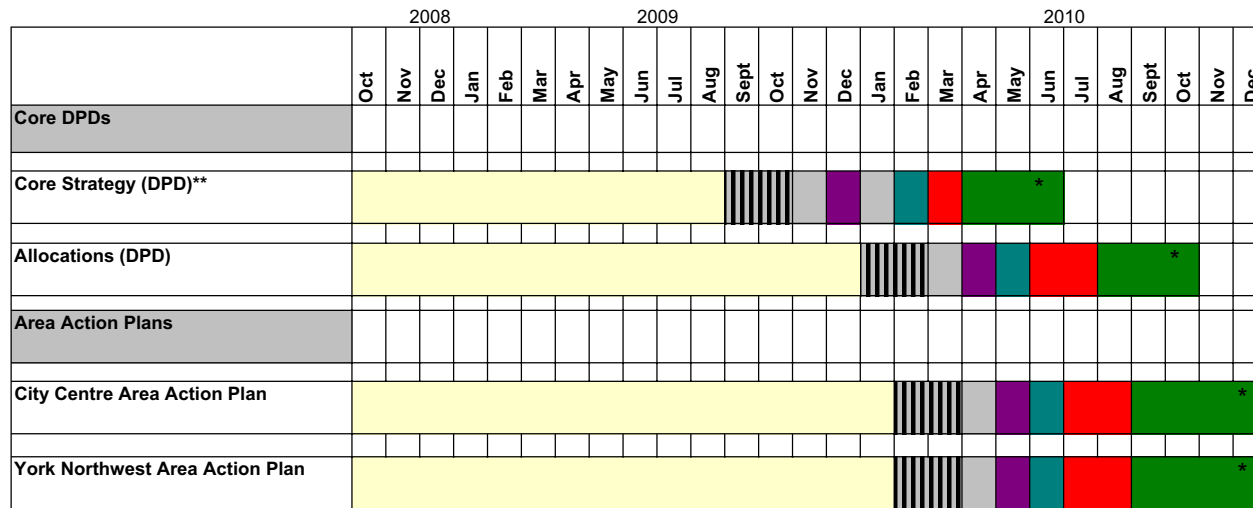
- 2.2 Since the last LDS was produced in 2007, work has continued on the production of the Core Strategy, Statement of Community Involvement (SCI), Allocations DPD, York Northwest Area Action Plan (AAP) and the City Centre AAP. In terms of the Core Strategy, a second Issues and Options paper was prepared and consultation was undertaken on this in Autumn 2007. Issues and Options consultation has been undertaken on the Allocations DPD (Spring 2008), the York Northwest AAP (Winter 2007/2008) and the City Centre Area Action Plan (Summer 2008).
- 2.3 The SCI was adopted in December 2007. It sets out the Council's proposals for how the community will be involved in the production of planning documents and through consultation on planning applications.

Current Documents

- 2.4 Over the next 3 years the following documents will be adopted:
- Core Strategy DPD
 - Allocations DPD
 - City Centre AAP
 - York Northwest AAP

The indicative timescales for the above documents are set out in Figure 2. Detailed information on the contents of the various LDDs identified in this section is provided in Annex A.

Figure 2: LDF Work Programme - DPDs and Area Action Plan



*Formal adoption will follow the committee process

** A range of SPDs will be produced to support the policies of the Core Strategy. These are set out in Annex C.

Figure 2: LDF Work Programme - Completing the Evidence Base

Work is underway on the following evidence base studies:

	2008			2009												2010									
	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct
Evidence Base																									
Strategic Housing Land Availability Assessment (Phase 2)	█	█																							
Employment Land Review (Stage 2)	█	█																							
York Central Retail Study	█	█																							
Central Historic Core Conservation Area Appraisal	█	█	█	█	█	█	█																		
Biodiversity Audit - SINC Review	█	█	█																						
Biodiversity Action Plan (BAP)	█	█	█																						
Historic Landscape Character Assessment	█	█	█	█																					

Evidence Base

- 2.5 A key feature of the LDF is that its policies and proposals are soundly based on up-to-date and reliable evidence. A robust evidence base is therefore required in order to inform content and direction. This evidence base will also provide vital information for its subsequent monitoring and review.
- 2.6 The existing evidence base includes:
- City of York Biodiversity Audit (1996), Martin Hammond and City of York Council (CYC).
 - York Landscape Appraisal (1996), ECUS for CYC.
 - City of York Local Plan: The Approach to the Green Belt Appraisal (2003), CYC.
 - Travel to Work Topic Report – District Level (2005), CYC.
 - Employment Land Review (Stage 1) (2007), SQW for CYC.
 - Strategic Flood Risk Assessment (2007), CYC.
 - Strategic Housing Market Assessment (2007), Fordham Research for CYC.
 - Strategic Housing Land Availability Assessment (Phase 1) (2008), CYC.
 - City of York Retail Study (2008), GVA Grimley for CYC.
 - Open Space, Sport and Recreation Study (2008), PMP for CYC.
- 2.7 In addition to the existing evidence base we are also working on an emerging evidence base, the timetable for which is detailed in figure 2. These studies include:
- Strategic Housing Land Availability Assessment (Phase 2);
 - Employment Land Review (Stage 2);
 - York Central Retail Study;
 - Central Historic Core Conservation Area Appraisal;
 - Biodiversity Audit - SINC Review (Sites of Importance for Nature Conservation);
 - Biodiversity Action Plan (BAP); and
 - Historic Landscape Character Assessment.
- 2.8 Annex B provides further information on the existing and emergent evidence base and ongoing studies. As the LDF progresses, we will consider whether any further work or specialist studies are needed to develop or supplement this evidence base. This will be considered when preparing any LDDs and as part of the annual monitoring process. Consultants will be employed where the information required is of a specialist nature or the time needed to undertake the research is not available in-house.

Risk Analysis

- 2.9 An assessment has been undertaken to identify key risks to the programme, these are outlined in Table 1 below along with potential mitigating actions.

Table 1: Risk Analysis

Risk	Impact L/M/H	Probability L/M/H	Mitigating Actions
Staff turnover	H	M	The potential loss of a team member could have a significant impact upon LDF delivery. To address this risk contingencies are in place (such as the redeployment of internal resources to cover a shortfall or use of 'agency' staff) to enable continuity in the programme in the event of a staff member leaving the employment of the Council.
New PPS's or RSS published that changes national or regional policies and guidance.	H	M	Ensure that the LDF team is fully aware of emerging national and regional context and responds to changes early.
Change in the local political agenda.	H	M	Cross party LDF Member Working Party to provide ownership and feedback into the process. Officers will have a greater awareness of potential issues and will be able to respond accordingly.
Objections	H	M	Whilst the SCI sets out the overall engagement strategy with all interested parties, it is likely that there will remain some interests whose case will need to be considered at Inquiry. However this will not be known until the DPD is published and formally consulted on. Notwithstanding this, the front-loading of engagement with interested parties will seek to overcome as many objections as possible prior to the examination stage, where the most significant slippage in preparation may occur.
Capacity of Planning Inspectorate (PINS) to accommodate	H	M	The capacity of PINS is not something that the Council can directly influence.

Risk	Impact L/M/H	Probability L/M/H	Mitigating Actions
an as yet unknown level of nationwide demand.			
Soundness of DPDs	H	L	Dialogue with Government Office and PINS at all key stages in the process will seek to minimise the risk. Issues and concerns would then be addressed in a timely manner.
Legal challenge	H	L	All DPDs will be prepared upon a robust evidence base subject to a sustainability appraisal, and involve engagement with all interested parties. The Self-Assessment Soundness Toolkit produced by the Planning Advisory Service will be used.

3. Annual Monitoring Report

- 3.1 The Council is required to annually monitor the effectiveness of its policies and progress on the production of its LDF. As a part of this process it will prepare an Annual Monitoring Report (AMR) before 31st December each year that will cover the previous financial year (1 April to 31 March).
- 3.2 AMRs have been prepared and submitted to Government Office covering the time periods 2005/06 and 2006/07. Both are available to view on the Council's webpage www.york.gov.uk or from the Council's City Development -Forward Planning Team (please see contact details in section 1).
- 3.3 The AMR includes:
- national core indicators and locally devised indicators, which monitor the effectiveness of current planning policies. Future AMRs will also suggest actions to address any issues highlighted (but will not itself amend or revise policies);
 - an assessment of the progress made by the Council with regards to the LDF. This includes a review of the documents produced and ongoing work taking place. It also states the reasons why or why not progress has taken place; and
 - a comprehensive review of contextual statistics that help to paint a picture of the social, environmental, economic, physical and demographic background for the City of York.

4. Sustainability Appraisal and Strategic Environmental Assessment

- 4.1 Section 39 of The Planning and Compulsory Purchase Act 2004 requires LDDs to be prepared with a view to contributing to the achievement of sustainable development. Local Planning Authorities must also comply with the European Union Directive 2001/42/EC which requires formal Strategic Environmental Assessment (SEA) of certain plans and programmes which are likely to have significant effects on the environment. The Directive has been incorporated into English law by virtue of the SEA Regulations 2004, and applies to all LDDs where formal preparation begins after 21st July 2004. All DPDs and SPDs will therefore be subject to Sustainability Appraisal (SA) incorporating SEA.
- 4.2 In this way, SAs assist and improve policy, project and programme development by assessing the likely significant effects on the economic, social and environmental objectives by which sustainable development can be defined.
- 4.3 The SA/SEA report will be an integral part of the plan making progress and will be undertaken in stages alongside the production of each DPD/SPD. The

first stage involves establishing the evidence base, identifying the key sustainability issues with regard to the city and developing sustainability objectives relevant to that DPD in a Sustainability Appraisal Scoping Report. For each DPD we have also produced Initial Sustainability Statements to accompany consultation to provide sustainability information on the issues and options presented. The initial statements will feed into the final Sustainability Appraisal and maintains ongoing discussion as to the direction and progression of each document.

4.4 The following sustainability documents have been completed to date:

LDF Document	Sustainability Documents completed
Core Strategy	<ul style="list-style-type: none"> • SA Scoping Report (June 2006) • Issues and Options Initial Sustainability Statement (June 2006) • Issues and Options 2 Initial Sustainability Statement (September 2007) • Preferred Options Document (ongoing)
Allocations DPD	<ul style="list-style-type: none"> • SA Scoping Report (March 2007) • Issues and Options Initial Sustainability Statement (March 2008)
York Northwest AAP	<ul style="list-style-type: none"> • SA Scoping Report (July 2007) • Issues and Options Initial Sustainable Statement (November 2007)
City Centre Area Action Plan	<ul style="list-style-type: none"> • SA Scoping Report (July 2008) • Issues and Options Initial Sustainability Statement (July 2008)

4.5 The Eco Footprint tool provides a recognised and accepted (by the ODP, DEFRA and Audit Commission) method of assessing the land required to meet York's needs. An Eco Footprint is a way of measuring the impact our lifestyles have on the Earth's resources. The Eco Footprint of York considers how much land is needed to feed the people of York and provide them with all the energy, water and materials they need. The Footprint also calculates the emissions generated from burning oil, coal and gas, and determines how much land is required to absorb the pollution and waste generated by the residents of York. The footprint takes the area of usable land and divides it equally between the global population. The Fair Earthshare, as it is called, is 1.8 global hectares per person. The current Eco Footprint for York is 5.38 global hectares per person. We are also using carbon footprinting to inform the sustainability appraisal. Carbon footprinting is a recognised way of understanding how much carbon and other greenhouse gas emissions occur in the actions of an individual, company or project. Carbon footprinting will be used to understand how much of the gases will be released under different

options set out by the DPDs and will supplement the ecological footprint information.

- 4.6 We now have in post a dedicated Sustainability Appraisal officer within the City Development team. Keeping this resource 'in-house' matches government best practice and helps to ensure that the SA process is embedded into the LDF policy development process.

5. Existing Council Strategies

- 5.1 Government guidance indicates that the LDF has a key role in delivering the spatial aspects of the Sustainable Community Strategy. It is also clearly important that the LDF takes full account of other existing Council strategies that have spatial elements. Table 2 highlights existing Council Strategies that will be considered and scoped as part of on going work for the LDF. In addition to the existing Council Strategies, Officers will seek to identify emerging strategies with implications for the LDF and ensure a consistent approach is taken.

Table 2: Existing Council Strategies

<u>Strategy</u>	<u>Role</u>	<u>Timescale</u>
York – a city making history: Vision and Sustainable Community Strategy (2008)	<p>The Community Plan runs up to 2025. It sets a vision for the City which aims to:</p> <ul style="list-style-type: none"> • build confident, creative and inclusive communities; • create a leading environmentally-friendly city; • ensure York is at the forefront of innovation and change with a prosperous and thriving economy; • create a world class centre for education and learning for all; and • celebrate our historic past whilst creating a successful and thriving future. 	To 2025
Local Transport Plan (LTP2) inc associated strategies in Annexes to LTP2	<p>Local transport authorities are required by the Transport Act 2000 to prepare a LTP. The second LTP contains a long term strategy within which a five year implementation plan for 2006 to 2011 is set, and outlines how we intend to build a sustainable and safe transport network for the City of York.</p> <p>LTP2 also includes 14 transport strategies as Annexes to the document, which support the main document and contain more detailed information and background information on the various strategies and works carried out in developing the LTP.</p> <p>The LTP is set in the context of economic and spatial strategies, and is required to support targets for housing, jobs and social inclusion and the environment.</p>	2006 - 2011
Second Air Quality Action Plan	Air quality issues in York are mainly related to traffic emissions. A new Air	2006 -

Strategy	Role	Timescale
(AQAP2) (associated with LTP2)	Quality Action Plan (AQAP2) has been developed alongside LTP2, to support the aim of improving air quality.	2021
A Municipal Waste Management Strategy for the City of York and North Yorkshire	The Municipal Waste Management Strategy has been developed by the York & North Yorkshire Waste Partnership and provides the strategic vision for managing wastes and improving resource recovery in York and North Yorkshire. This Strategy contains the policies, aims, objectives and targets for the partnership area.	2006 - 2026
Draft Economic Development Strategy and Action Programme	Sets out the economic policy for the City and a set of priority actions for 2008/09.	2008/09
Children and Young People's Plan	The main purpose of the plan is to provide a clear sense of direction for everybody working to improve outcomes for children and young people in the city. Has an analysis of local needs and priorities and concentrates on the government's 5 outcomes for children and young people: being healthy, staying safe, enjoying and achieving, making a positive contribution and achieving economic wellbeing.	2007-2010
Housing Strategy	<p>The assessment looks at supply and conditions of the housing stock, the numbers, demand and location. It also looks at the Council's approach to negotiating affordable housing on sites. It covers vulnerable groups and the homeless.</p> <p>It also includes a number of strategies which include:</p> <ul style="list-style-type: none"> • Older People's Housing Strategy • Homelessness Strategy • Supporting People Strategy • Private Sector Renewal Policy • Empty Homes Policy 	2006- 2009
Contaminated Land Strategy	The Contaminated Land Strategy was written in response to Part IIA of the Environmental Protection Act 1990 which governs the inspection and	2005 Updated

Strategy	Role	Timescale
	<p>remediation of contaminated land not being considered under the planning regime.</p> <p>The Strategy details the Council's proposed method of identifying and prioritising potential contaminated land and details how the information collected would be managed.</p> <p>Part IIA of the Environmental Protection Act 1990 was designed to run parallel to the planning regime. Where a site could be considered under the planning regime, this is intended to be the desired method to ensure the clean up of contaminated land.</p>	every 4 years
City of York Council Life Long Learning and Leisure Plan	<p>The plan considers the following key outcomes:</p> <ul style="list-style-type: none"> Outcome 1: Making York More Eventful Outcome 2: Engagement in Learning Outcome 3: Being Healthy Outcome 4: Supporting Stronger Communities Outcome 5: Developing a Vibrant Cultural Infrastructure 	2008/09

6. Resources

Financial

- 6.1 The financial implication of the production of the four DPDs highlighted in paragraph 2.3 has been fully assessed. The majority of the costs relating to staffing will be met through the City Development Team Revenue budget. In addition funds have also been identified to meet costs relating to the following:
- technical work for the LDF evidence base that cannot be undertaken in house (as detailed in Annex B);
 - the public examinations into each DPD (this includes costs relating to the Planning Inspectorate, Programme Officer and venue);
 - the need for the four additional temporary posts to aid the production of the Core Strategy, Allocations DPD, the two AAPs and to carry out the Sustainability Appraisal and Appropriate Assessment work in house;
 - legal and consultancy support on procedural issues; and
 - consultation and publication.
- 6.2 We have carried out a three year budget planning exercise from 2008 to 2011 to indicate what resources will be required to achieve a suite of adopted LDF documents in 2010. These costs are indicative and will be kept under review. The full funding is in place for 2008/09 and 2009/10 and a growth bid will be submitted for the final year of the programme (2010/11).

Table 3: Costs

	Costs 2008-2011 (£,000)
Technical / Evidence Base Work	348
4 Public Examinations (Inspector and room hire)	150
3 additional LDF Staff (three fixed term contracts)	199
1 Sustainability Appraisal officer (three year fixed term contract) and additional support	150
Legal & Consultancy Support (including 4 Public Examinations)	185
Printing	92
Consultation	65
TOTAL	1,189

Programme Management, Reporting and Responsibilities

- 6.3 The City Council's City Development service will be primarily responsible for delivering the LDF. Its components are illustrated by the family tree attached as Annex D. The section comprises four inter-related teams each led by a Principal Officer and covering Forward Planning, Research and Information,

Development Projects and a team specifically constituted to undertake work relating to the York Northwest site.

- 6.4 The Principal Officer Forward Planning has the role of LDF project management supported by the Head of City Development and the Assistant Director of City Development and Transport. The Assistant Director provides the link with both the Directorate and wider Council management teams who have regular updates on LDF progress and presentations and discussions at key stages in the progress of key documents.
- 6.5 Within the City Development service the Forward Planning team will continue to lead on the production of the Core Strategy and Allocations DPDs with strong support from the Research and Information Team on the production of the evidence base, sustainability appraisal and monitoring and review. The Development Projects and York Northwest teams are leading on the production of the other two AAPs.
- 6.6 We have a monthly LDF Steering Group that comprises each of the four team leaders, the Head of City Development, the Head of Transport Planning and the Assistant Director of City Development and Transport. It is a project management and problem-solving focussed group that considers budgets, progress against the LDS and any key issues that arise.

Reporting

- 6.7 Issues relating to the LDF are reported to Council Members via the Local Development Framework Working Group. This is a formally constituted committee of the Council which meets in public and makes recommendations to the Council's Executive.
- 6.8 The Council's Executive is formally responsible for making decisions relating to LDF production other than approving document for submission to the Secretary of State or final adoption. Decisions relating to these issues must be made by Full Council.

Annex A : Local Development Documents

Profiles of each document currently being prepared are set out below.

Core Strategy (DPD)

Description and Role

The Core Strategy will set out the overall strategy of the LDF and the key strategic policies against which all development will be assessed. All other DPDs prepared by the Council will have to be in conformity with the Core Strategy and contain policies and proposals which support its strategic vision, objectives and spatial strategy. The Core Strategy will contain:

- a context;
- a vision;
- a spatial strategy;
- the role of York's Green Belt;
- objectives, targets and policies for:
 - York's quality historic and built environment;
 - housing growth and distribution;
 - housing mix, density;
 - sustainable communities;
 - future growth of York's economic sector;
 - retail growth and distribution;
 - sustainable transport;
 - green infrastructure;
 - resource efficiency;
 - flood risk;
 - sustainable waste management;
 - minerals;
- a delivery strategy; and
- a monitor, manage and review framework.

The Core Strategy will have to conform to the Regional Spatial Strategy (RSS) and will have full regard to other key Council Strategies such as the Sustainable Community Strategy and the Local Transport Plan (LTP2) and take into account issues such as sustainable development and promoting diversity and social inclusion.

The Core Strategy will be accompanied by a key diagram. This will identify, in a visual format, the key issues that will impact on York's spatial strategy and general core strategy approach such as areas of constraint, strategic transport corridors, strategic growth points for housing, employment and retail.

Table 4 : Core Strategy DPD Timetable

Preparation of document for publication including ongoing consultation	October 2008- July 2009
Publication of document (including 6 week consultation)	August – September 2009
Consideration of representations on publication document	October – November 2009
Submission	December 2009
Pre-examination meeting	February 2010
Examination	March 2010
Inspectors reporting times, receipt of the inspector's report	April – June 2010

Allocations (DPD)

Description and Role

This DPD and associated proposals map will show all the sites which have been specifically identified for development in order to meet the Council's vision and objectives and/or policies of the Core Strategy. It will set out policies and proposals maps relevant to the sites including detailed requirements for their development and phasing policies. Allocations will be developed from the vision and strategic objectives of the Core Strategy and will specify sites proposed for:

- green belt boundaries and settlement limits;
- housing;
- employment;
- retail;
- transport;
- waste and minerals; and
- other uses such as:
 - education;
 - health;
 - built sports facilities;
 - open space and play provision;
 - community and leisure facilities; and
 - renewable energy.

Some allocations will be phased to follow a sequential approach to release and thereby ensure that they are flexible and responsive. This is particularly relevant to housing. Like each of the LDDs, the Allocations DPD will be subject to regular scrutiny through the monitoring process and an Annual Monitoring Report to ensure sites are coming forward as intended, to provide a suitable and available land supply.

Table 5: Allocations DPD Timetable

Preparation of document for publication including ongoing consultation	October 2008 – November 2009
Publication of document (including 6 week consultation)	December 2009 – January 2010
Consideration of representations of publication document	February – March 2010
Submission	April 2010
Pre-examination meeting	May 2010
Examination	June – July 2010
Inspector's reporting time, receipt of inspector's report	August – October 2010

City Centre Area Action Plan (DPD)**Description and Role**

AAPs focus upon implementation, providing an important mechanism for ensuring development of an appropriate scale, mix and quality for key areas of opportunity, change or conservation. Action plans or area strategies with a geographic spatial dimension will benefit from having development plan status in contrast to their previous status as supplementary planning guidance.

There are clearly several areas of the City that could benefit from the production of AAPs. The City of York's architectural and archaeological history is famous worldwide and is one of the key factors in attracting large numbers of visitors to the City. The Minster itself is the largest Gothic Cathedral in Northern Europe. In addition, the Museum Gardens is registered on English Heritage's list of Parks and Gardens of Special Historic Interest. Given the historical importance of the City Centre, its key tourism, retail and business roles and the development issues it faces, it is considered that this should be one of the first areas to be the subject of this type of DPD.

Table 6: City Centre Area Action Plan (DPD) Timetable

Preparation of document for publication including consultation	October 2008 – January 2010
Publication of document (including 6 week consultation)	February 2010 – March 2010
Consideration of representations of publication document	April 2010
Submission	May 2010
Pre-examination meeting	June 2010
Examination	July 2010 – August 2010

Inspector's reporting time and inspector's report	September 2010 – December 2010
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York Northwest Area Action Plan (DPD)

This is a major area for regeneration within the York urban area and includes land adjacent to the City Centre and York Station with a total size of over 76ha. The AAP will provide an overall comprehensive planning framework for the area. It comprises 2 major brownfield sites, York Central and British Sugar. An AAP is needed in order to ensure the environmental impact and infrastructure requirements from the development of the area are properly assessed. Consideration of the wider area will also assist in the preparation of the plan in terms of the type, scale and level of development that may be accommodated and the future implementation for this. The proposed timescales are put forward to take account of the size and complexity of the area and its potential impact on the City.

Table 7: York Northwest Area Action Plan (DPD) Timetable

Preparation of document for publication including ongoing consultation	October 2008 – January 2010
Publication of document (including 6 week consultation)	February 2010 – March 2010
Consideration of representations on publication document	April 2010
Submission	May 2010
Pre-examination meeting	June 2010
Examination	July 2010 – August 2010
Inspector's reporting time and Inspector's Report	September 2010 – December 2010

Summary

Table 8 below shows each DPD, its status, role and content, geographical coverage and its position in the chain of conformity.

Table 8 : Summary of Key Documents

Document title	Status	Role and content	Geographical coverage	Chain of conformity	Publication of document (including 6 week consultation)	Submission	Receipt of Inspector's Report
Core Strategy	DPD	Sets out the overall direction for the LDF by driving forward the spatial planning framework for the city. Sets out the vision, objectives, targets and policies	City of York authority area	Consistent with national planning policy and general conformity with regional spatial strategy	August – September 2009	December 2009	June 2010
Allocations	DPD	This shows all the sites which have been specifically identified for development in order to meet the Council's vision and objectives or strategic policies of the Core Strategy.	City of York authority area	Core Strategy and Regional Spatial Strategy	December 2009 – January 2010	April 2010	October 2010
City Centre Area Action Plan	DPD	Provides an important mechanism for ensuring development of an appropriate scale, mix and quality for key areas of opportunity, change or conservation, in this case York City Centre.	City Centre, to be defined through the AAP process.	To conform with the Core Strategy	February – March 2010	May 2010	December 2010
York Northwest Area Action Plan	DPD	Provides an important mechanism for ensuring development of an appropriate scale, mix and quality for key areas of opportunity, change or conservation, in this case the York Central and British Sugar Sites.	A corridor from the City Centre to the Outer Ring Road including the areas covered by the York Central and British Sugar sites	To conform with the Core Strategy	February – March 2010	May 2010	December 2010

Annex B: Evidence Base

Table 9: Completed Evidence Base and Background Studies.

Study	Date of Production	Synopsis
<p>City of York Biodiversity Audit</p> <p>(produced by: Martin Hammond (Ecological Consultant) and the City of York Council)</p>	<p>November 1996</p>	<p>The study reviews sites of nature conservation importance, assesses habitat resources in the City and reviews the status of species of conservation concern known to occur within the City boundaries.</p>
<p>City of York Local Plan: The Approach to the Green Belt Appraisal</p> <p>(Produced by City of York Council)</p>	<p>February 2003</p>	<p>The study aimed to identify the most valuable areas of green belt from the perspective of the PPG2 purpose relating to the historic character and setting of the City.</p>
<p>City of York Retail Study</p> <p>(GVA Grimley for the City of York Council)</p>	<p>June 2008</p>	<p>Study provides a context for retail policies and proposals within the LDF with particular reference to the amount of floorspace that needs to be allocated for future retail development and the broad recommended strategy with which to implement this.</p>
<p>Strategic Housing Market Assessment (SHMA)</p> <p>(Produced by: Fordham Research for the City of York Council)</p>	<p>June 2007</p>	<p>The SHMA provides a robust evidence base for housing policy in York. It provides information on the need and demand for particular types of housing including affordable housing and a focus on the needs of particular groups, such as families, students and older people. The Assessment has been subject to full stakeholder involvement in accordance with national guidance.</p>

Study	Date of Production	Synopsis
<p>Open Space, Sport and Recreation Study</p> <p>(produced by PMP for City of York Council)</p>	<p>November 2008</p>	<p>This study assesses the City's open space and outdoor sport and recreation facilities, together with an assessment of local needs and the identification of local standards.</p>
<p>Strategic Flood Risk Assessment (SFRA)</p> <p>(Produced by York Consultancy, for the City of York Council)</p>	<p>September 2007</p>	<p>The SFRA enables the Local Planning Authority to adopt a strategic approach to managing the issue of flood risk from a planning perspective. The SFRA provides sufficient information to enable Local Planning Authorities to understand the flood risk consequences in the allocation of development sites and prioritise the allocation of sites utilising a sequential test to manage flood risk.</p>
<p>Employment Land Review (Stage 1)</p>	<p>July 2007</p>	<p>This report presents the first part of an Employment Land Review, which assesses the current situation and future economic prospects for employment land provision in York.</p>
<p>Travel to Work Topic Report – District Level</p> <p>(Produced by City of York Council, City Development)</p>	<p>March 2005</p>	<p>An assessment of district to district travel to work statistics (based on 2001 Census) giving key information on the number of inflows and outflows and modal split.</p>
<p>York Landscape Appraisal</p> <p>(Produced by Environmental Consultancy University of Sheffield (ECUS) for the City of York)</p>	<p>December 1996</p>	<p>An assessment of the landscape character types together with strategies for their management.</p>

Study	Date of Production	Synopsis
Council)		
Strategic Housing Land Availability Assessment (Phase 1)	April 2008	The first phase of the assessment has identified sites based on sources known to the Council within the urban area and the Local Service Centres and uses these sources to estimate potential capacity.

Table 10: Emerging Evidence Base and Background Studies.

Study	Date of Production	Synopsis
Central Historic Core Conservation Area Appraisal (Produced by: BDP for the City of York Council)	March 2009	Detailed appraisal to create clear guidelines to ensure that development is controlled in order to protect and enhance the historic value of the central historic core.
Employment Land Review (Stage 2) (Produced by: SQW and Entec for the City of York Council)	November 2008	This study will reconsider the previous work produced by SQW which is detailed in figure 5 and provide new employment projections. It will guide new employment development and land use up to 2029. It will consider the protection of proposed employment provisions and potentially the allocation of new employment sites in the LDF.
York Central Retail Study	November 2008	This study considers the implications for the city centre of allocating different levels of retail on the York Central site.
Strategic Housing Land Availability Assessment (Phase 2) (Produced by the City of York Council, City Development)	November 2008	This study will identify potential housing sites for development. Primarily the study will be used to inform the Allocations DPD.

Study	Date of Production	Synopsis
Biodiversity Audit - SINC (Sites of Importance for Nature Conservation) Review (Produced by: the City of York Council)	December 2008	This study is a re-appraisal of the procedures and criteria for designating sites of importance for nature conservation, in line with new guidance produced by DEFRA. It is also a review of SINC sites across York.
Biodiversity Action Plan (BAP) (Produced by: the City of York Council)	December 2008	This action plan will use the baseline information set out in the biodiversity audit and will set out targets and objectives for habitats and species that will guide future policy and application decisions related to biodiversity.
Historic Landscape Character Assessment (Produced by North Yorkshire County Council for CYC)	January 2009	This will identify historic aspects of the current landscape, and will increase understanding of past human activity providing a basis for managing change.

Table 11: Ongoing Evidence Base and Background Studies.

Table 11 sets out the ongoing evidence base and background studies. These are usually produced on an annual basis.

Study	Date of Production	Synopsis
Equipped Playspace Audit (Produced by: City of York Council, Lifelong Learning and Culture)	Next audit due Spring 2009	To determine the quantity and quality of playspace for children within the city.

Annex C : Planning Guidance

Existing Planning Guidance:

General Planning Guidance:

- *Contributions to Education Facilities (approved May 2002, revise 2011)*
- *Guide to Extensions and Alterations to Private Dwelling Houses (approved March 2001)*
- *Private Housing Development in York and the Negotiation of Affordable Homes (adopted October 2000, re-approved July 2005, revise 2011)*
- *Listed Buildings and Conservation Areas (adopted 2005)*
- *Planning Obligations & Agreements Procedure Note (adopted 2005, revise 2011)*
- *Highway Design Guide for York*
- *Guidelines for the Preparation of Transport Assessments and Travel Plans (adopted 2001)*
- *Sustainable Design and Construction Interim Planning Statement (Nov 2007)*
- *Commuted sum payments for open space in new development (April 2007)*
- *The York City Walls Conservation Plan (draft, 2004)*
- *The York City Walls & Interpretation and Access Plan (draft, 2004)*

Village Design Statements:

- *Copmanthorpe Village Design Statement, November 2002*
- *Poppleton (Upper and Nether) Village Design Statement, August 2003*
- *Heslington Village Design Statement, April 2004*
- *Rufforth Village Design Statement, September 2004*
- *Askham Bryan Village Design Statement, June 2005*
- *Holtby Village Design Statement, April 2005*
- *Murton Village Design Statement, December 2005*
- *Askham Richard Village Design Statement, June 2005*
- *Dunnington Village Design Statement, March 2006*
- *Knapton Village Design Statement, May 2006*
- *Skelton Village Design Statement, October 2008*

Development Briefs:

- *Elvington Airfield, Oct 1997*
- *Hessay Depot, Oct 1997*
- *Parkside Commercial Centre, Mar 2000*
- *Germany Beck, Sept 2001*
- *Metcalfe Lane, June 2002*
- *Heslington East, Feb 2004*
- *York Central, Mar 2004*
- *Hungate, Apr 2005*
- *Castle Piccadilly, Mar 2006*
- *Terry's Factory, June 2006*
- *Nestle South, May 2007*

Emerging Planning Guidance:

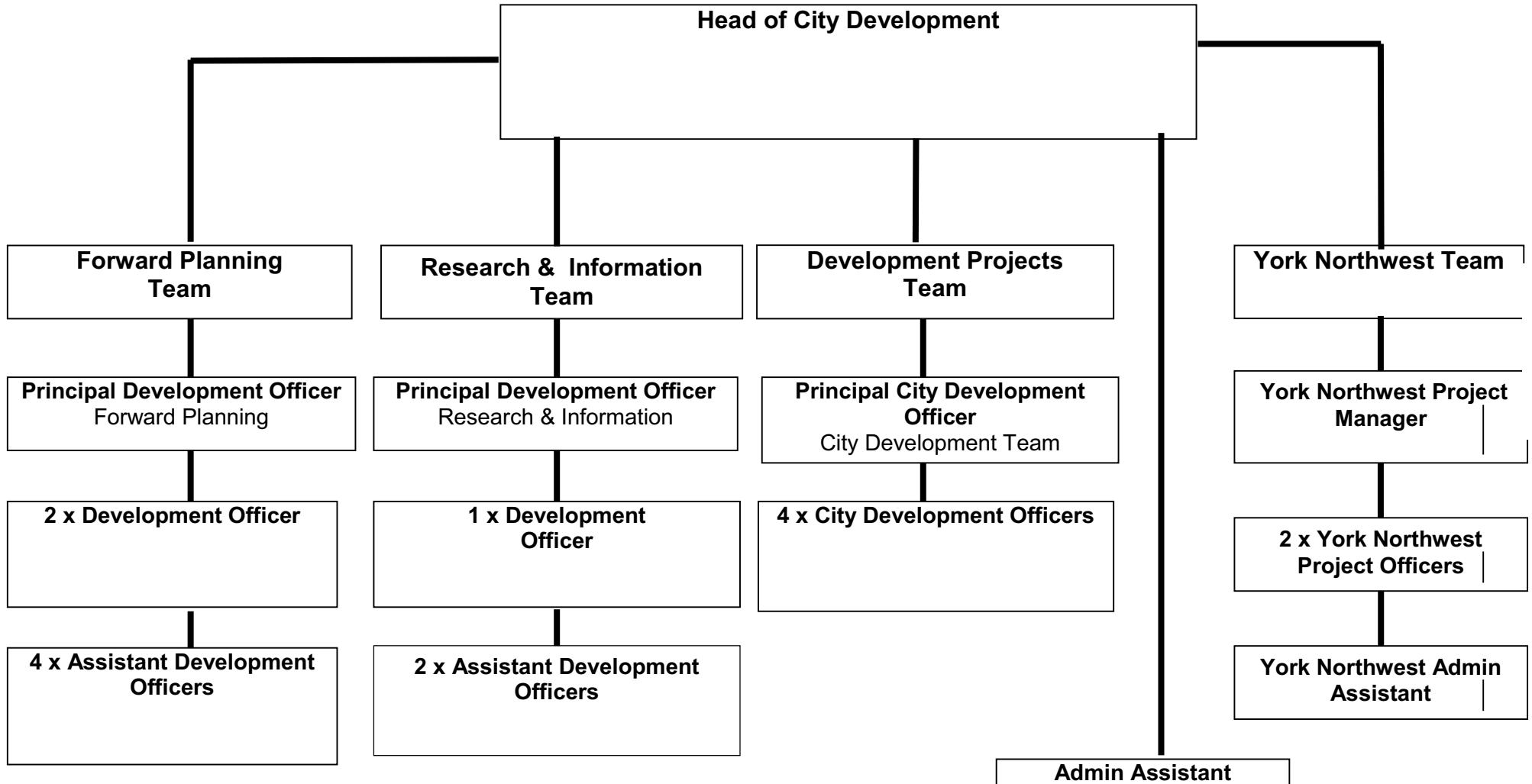
SPDs currently being prepared:

- *Trees on Development Sites (proposed adoption 2010)*
- *Archaeology (proposed adoption 2010)*
- *Local Lists (consultation draft May 2009)*
- *Affordable Housing (proposed adoption 2011)*
- *Community Infrastructure SPD (proposed adoption 2011)*
- *Sustainable Design and Construction SPD (revision, 2011)*
- *Green Infrastructure SPD (proposed adoption 2011)*

Village Design Statements currently being prepared:

- *Fulford Village Design Statement (proposed adoption 2011)*
- *Naburn Village Design Statement (proposed adoption 2011)*
- *Wigginton Village Design Statement (proposed adoption 2011)*

Annex D: City Development



Annex E : Glossary of Terms

Annual Monitoring Report (AMR): part of the *Local Development Framework*, the annual monitoring report will assess the implementation of the Local Development Scheme and the extent to which policies in *Local Development Documents* are being successfully implemented.

Area Action Plan: used to provide a planning framework for areas of change and areas of conservation. Area Action Plans will have the status of *Development Plan Documents*.

Core Strategy: set out the long-term spatial vision for the local planning authority area, the spatial objectives and strategic policies to deliver that vision. The Core Strategy will have the status of a *Development Plan Document*.

Development Plan: as set out in Section 38(6) of the Act, an authority's development Plan consists of the relevant *Regional Spatial Strategy* (or the Spatial Development Strategy in London) and the *Development Plan Documents* contained within its *Local Development Framework*.

Development Plan Documents (DPDs): spatial planning documents that are subject to independent examination, and together with the relevant Regional Spatial Strategy, will form the *development plan* for a local authority area for the purpose of the Act. They can include a *Core Strategy*, Site Specific Allocations of land, and *Area Action Plans* (where needed). Other Development Plan Documents, including generic Development Control Policies, can be produced. Individual Development Plan Documents or part of a document can be reviewed independently from other Development Plan Documents. Each authority must set out the programme for preparing its *Development Plan Documents* in the *Local Development Scheme*.

Development Control Policies: these will be a suite of criteria-based policies which are required to ensure that all development within the area meets the spatial vision and spatial objectives set out in the *Core Strategy*. They may be included in any *Development Plan Document* or may form a standalone document, such as a Development Control DPD.

Issues and Options: produced during the early production stage of the preparation of *Development Plan Documents* and may be issued for consultation.

Local Development Documents (LDDs): the collective term in the Act for *Development Plan Documents*, *Supplementary Planning Documents* and the *Statement of Community Involvement*.

Local Development Framework (LDF): the name for the portfolio of *Local Development Documents*. It consists of *Development Plan Documents*,

Supplementary Planning documents, a Statement of Community Involvement, the Local Development Scheme and Annual Monitoring Reports. Together these documents will provide the framework for delivering the spatial planning strategy for a local authority area and may also include local development orders and simplified planning zones.

Local Development Scheme (LDS): sets out the programme for preparing *Local Development Documents*. All authorities must submit a Scheme to the Secretary of State for approval within six months of the commencement of the Act.

Local Transport Plan (LTP): 5-year strategy prepared by each local authority for the development of local, integrated transport, supported by a programme of transport improvements. It is used as a bid to Government for funding transport improvements.

Proposals Map: the adopted proposals map illustrates on a base map, (reproduced from, or based upon a map to a registered scale) all the policies contained in the *Development Plan Documents*, together with any saved policies. It must be revised each time each new *Development Plan Document* is adopted, and it should always reflect the up-to-date planning strategy for the area. Proposals for changes to the adopted proposals map accompany submitted *development plan documents* in the form of a submission proposals map.

Regional Spatial Strategy (RSS): sets out the region's policies in relation to the development and use of land and forms part of the development plan for local planning authorities. Planning Policy Statement 11 'Regional Spatial Strategies' provides detailed guidance on the function and preparation of Regional Spatial Strategies.

Statement of Community Involvement (SCI): sets out the standards which authorities will achieve with regard to involving local communities in the preparation of local development documents and development control decisions. The Statement of Community Involvement is not a *development plan document* but is subject to an independent examination.

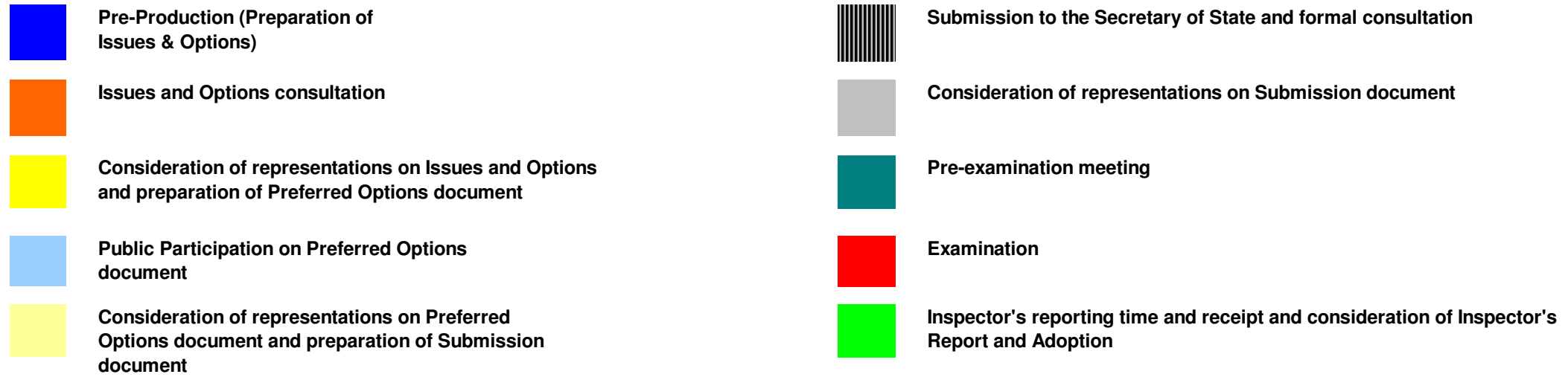
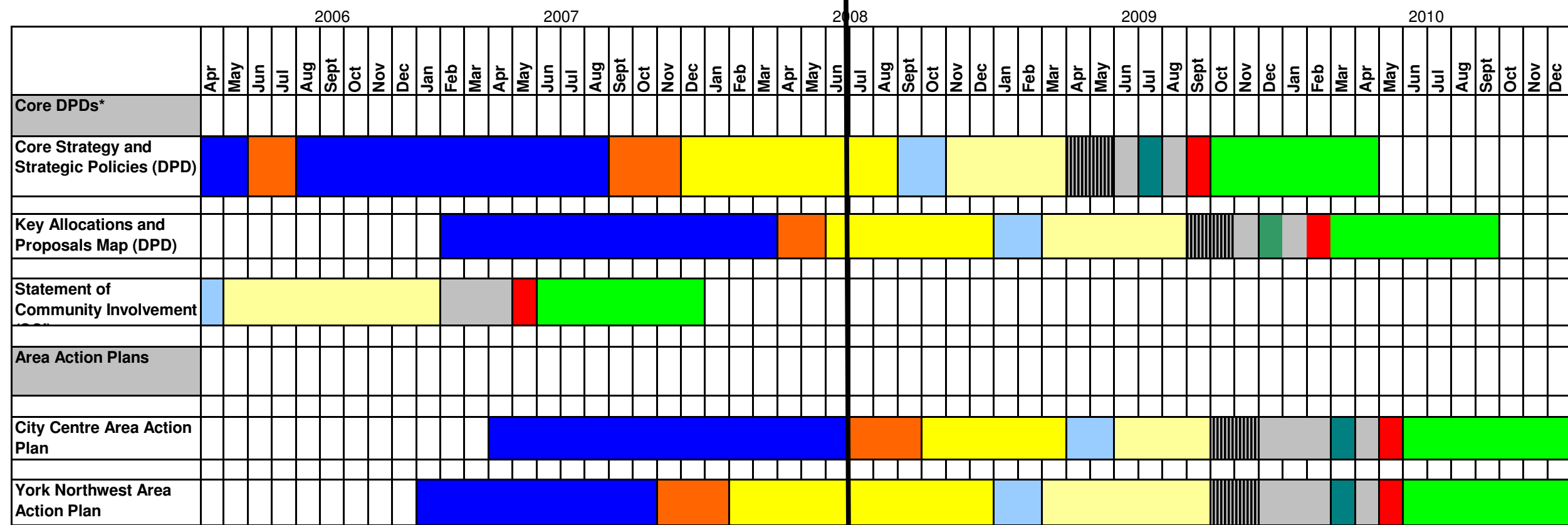
Strategic Environmental Assessment (SEA): a generic term used to describe environmental assessment as applied to policies, plans and programmes. The European 'SEA Directive' (2001/42/EC) requires a formal 'environmental assessment of certain plans and programmes, including those in the field of planning and land use'.

Supplementary Planning Documents (SPDs): provide supplementary information in respect of the policies in the *Development Plan Documents*. They do not form part of the *Development Plan* and are not subject to independent examination.

Sustainability Appraisal (SA): tool for appraising policies to ensure they reflect sustainable development objectives (i.e. social, environmental and economic factors) and required in the Act to be undertaken for all local development documents.

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Annex C: Previous LDF Timetable (June 2008)**



* Ongoing work will also take place on a Development Control Policies DPD, subject to achieving the milestones on other DPDs. Further information on this document is provided in Annex B.

** The timetable will be redrafted to take account of the changes to the planning system arising from the publication of PPS12 (June 2008), the effects of this are currently being considered.

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Meeting of the Executive

23rd December 2008

Report of the Head of Civic, Democratic & Legal Services

Web Casting of Council Meetings

Summary

1. This report asks the Executive to further consider the costs associated with introducing static, web-streaming technology into the Council Chamber in light of the decision taken by Council in September 2008.

Background to Report

2. At the meeting of full Council on 25 September 2008, the following amended Motion was agreed:

“That Officers be asked to proceed with the report option to establish a negotiated contract for web-casting Council meetings. Such a contract should account for utilising the Council Chamber for web-casting, using an ‘out-hosted’ system, and would be based upon web-casting both Full Council meetings as well as a set number of main Planning Committee meetings, based upon a forecast of those major applications likely to come forward for determination each year. Officers to report back on contract negotiations within this calendar year.”

2. The Head of ITT (Operational Services) and the Democratic Services Managers processed a bid for inclusion in the Corporate IT Development Plan 2009/10 in order to secure funding for the proposal.
3. All of the bids have been through a rigorous, 3 stage, appraisal process that has been undertaken at departmental, directorate and corporate levels. The approach assesses the bids against both corporate and directorate strategies and reviews both the benefits and risks of the proposals using a matrix developed in collaboration with the Audit & Risk Management team. It provides a comparative assessment of the bids, culminating in a report to the Executive on all the bids.
4. At the meeting of the Executive considering those bids (2 December 2008), the Executive requested a separate report confirming the capital and revenue costs of a static webstreaming facility in the Council Chamber and how contract negotiations would be undertaken.

Consultation

5. The Head of ITT Operational Services has been fully involved in the preparation of the IT Development Plan bid. In preparing for that, the Central Procurement Team were also consulted on procurement process.

Options

6. In light of the decision already taken by Council to introduce webstreaming into the Council Chamber, in principle, consideration needs to be given to the following options for funding the proposal. Full Council being asked to:
 - i) Provide funding from the IT Development Plan 2009/10, to be approved as part of the final budget process in February 2009;
 - ii) Provide funding in year from within reserves to enable static webstreaming facilities to be procured during 2008/9

Analysis

Capital and Revenue Funding

7. Estimated capital and revenue costs for the proposal are fully set out in the bid details supporting the introduction of webstreaming and these are attached at Annex A to this report. The only revenue costs associated with this scheme are licensing and the hosting services costs, based on coverage for 6.5 hours of meetings per month for a year, as well as annual connectivity costs. It should be noted, however, that the breakdown of capital and revenue costs shown in Annex A is based on the standard 5 year 'borrowing' approach applied to IT Development Plan bids. If Members wished to procure in year, then, the capital costs would be greater initially, namely £21,720, and ongoing revenue costs of £10,394 would need to be found.

Contract Negotiations and Other Issues

8. A tendering exercise would need be initiated in order to evaluate suitable solutions in the market place for introducing static, web-streaming technology into the Council Chamber. This process would involve officers from Democratic Services, IT&T and Central Procurement.

There are implications with regard to the necessary cabling when introducing a static system. Listed building consent may have to be sought if any structural changes have to be made to the Chamber in order to lay cabling and install cameras.

Corporate Priorities

9. The introduction of webcasting as a way of allowing the public to access of decision-making process is in line with our the following direction statements:

‘Our ambition is to be clear about what we will do to meet the needs of our communities, and then to deliver the best quality services that we can afford’

‘We will be an outward looking council, working across boundaries for the people of York’

10. It is also in line with our value statement – ‘Encouraging improvement in everything we do’.

Implications

11. **Financial** – The financial implications associated with the introduction of webstreaming facilities into the Council are set out in paragraphs 6 and 7 above, in terms of both the options for funding the proposal and the relevant capital and revenue costs.
12. **Legal** – There are no other legal implications associated with this report, other than applying the usual practices and processes to procure in accordance with financial regulations.
13. **Information Technology** – as set out in the details associated with this bid given in Annex A to this report.
14. **Equalities** – The introduction of a webcasting system would benefit those members of the public who are otherwise unable to attend a public meeting due to physical disability and/or issues of accessibility.
15. There are no known HR, Crime & Disorder or Property implications associated with the recommendations within this report.

Risk Management

16. A public decision has been taken by Council in September 2008 to introduce webstreaming into the Council Chamber. There are no known risks associated with this report other than potential reputational damage if the Council does not now proceed to identify funding for this proposal.

Recommendations

17. Members are asked to recommend an appropriate funding stream to the Council, enabling webstreaming to be introduced as agreed by Council at its meeting on 25 September 2008.

Contact Details

Author:

Dawn Steel
Democratic Services Manager
Tel No.01904 551030

Chief Officer Responsible for the report:

Quentin Baker
Head of Civic, Democratic & Legal Services
Tel No. 01904 551004

Report Approved



Date 8 December
2008

Specialist Implications Officer(s)

Financial Implications
Patrick Looker
Finance Manager
Tel No. 01904 551633

ITT Implications
Roy Grant
Head of ITT Operational Services
Tel No. 01904 551966

Wards Affected:

All



For further information please contact the author of the report

Background Papers: None

Annexes

Annex A – extract IT Development Fund bid 2009/10

CORPORATE IT DEVELOPMENT PLAN 2009/10
BID DETAIL FORMITT
Reference

09CEX03

Part A: General information

To be completed by Directorates

A1

Web-Casting of Council MeetingsA2 **Directorate***Which directorate is the Bid from* **Chief Executives**A3 **Bid Priority***What priority has your DMT given this Bid?* 3 of 3*When was this priority agreed?* 02/10/08A4 **Type of bid***What type of scheme is proposed?* New System
*Delete as appropriate*A5 **New Bid or Review***Is this a new bid or a review of a previous bid?**Delete as appropriate*

New

Ref of previous Bid:

Title of previous Bid:

A6 **Business Appraisal Details***Has a Business Appraisal been prepared prior to this Bid?**Delete as appropriate*

Yes – Report to Council

By whom:

Dawn Steel

Reference no:

Council 25/9/08

Copy included:

Yes

A7 **Timing of the scheme***When would the scheme need to be in place by?* Summer 2009*Is this date critical?*

No

*If so, please explain why below.**When can the directorate provide the relevant staff resource to start work on the proposal?*

April 2009

What is the total time for which this scheme expected to run, in years?

4 months

If this is part of a phased programme of work running over a number of years, which phase is this bid covering?

No

A8 **Scope Of The Proposal**

To what extent does it affect the Council?

Directorate only

More than one Directorate

Corporate

Tick just one

X

Does it affect?

Externals & Partners

Public

Tick all that apply

X

X

A9 **Contact Details**

Name: Dawn Steel

Bid Author

Job Title: Democratic Services Manager

Contact number: 1030

Business Sponsor

Name: Full Council

Job Title:

Contact number:

Part B: About The Proposal

To be completed by Directorates

B1 Details of the Business Problem or Opportunity
*(What's the problem? Why do we need to do something?)**.What current Problem(s) is the scheme intended to resolve? What Opportunities will the scheme enable?*

The scheme will increase the possibility of public involvement in the democratic process and improve equality. This will be achieved by putting in place the infrastructure to allow Council meetings from the Council Chamber to be broadcast over the internet. This will enable members of the public and other interested parties unable to attend Council meetings to view those meetings via a PC in their own home. This proposal provides costs for a maximum of 6.5 hours of meetings per month.

Members are currently aware that Council meetings are not accessible for everyone, they often take place at irregular times and the venue of the meetings is not always suitable for those with accessibility issues. This initiative is about promoting inclusion in the democratic process. Evidence that this is something that the public are keen to participate in is clear from other Local Authorities who have introduced similar arrangements.

B2 Description of the Proposed Resolution/Scheme
*(What is it that you're proposing we do?)**What is the proposed course of action that will result from approval of this Bid?*

A tendering exercise would be initiated in order to evaluate suitable solutions in the market place for introducing static, web-streaming technology into the Council Chamber.

There are implications with regard to the necessary cabling when introducing a static system. Listed building consent may have to be sought if any structural changes have to be made to the Chamber in order to lay cabling and install cameras.

The operational arrangements consist of cameras and a broadcast control/encoding station. The cameras capture the proceedings under the control of an operator from the control station. Audio is captured from the Council's existing audio system it is then synchronised to the video and encoded for transmission. The encoding of these feeds is done using either Real Player or MS Media Player, these being the most widely available viewing software packages.

The system will provide archiving facilities such that all recorded meetings are freely available for subsequent viewing, for an agreed period of time. In addition to this the system also allows for a council session to be sub-divided according to the agenda item being discussed, thus preventing the viewer having to view the entire meeting. This service is provided as standard by the hosting company. It may also be possible to link into the ModGov system.

	Once off £	On-going £
Hardware		
Rack Mount Unit inc. installation & training	4,250	
HP Laptop with Adobe Premier Pro 2	1,350	
Sony EVID70P Remote control camera	2,940	
Audio Mixer and accessories - 10 input	190	
Hosting/Leasing		
Streampac software licensing per month inc Site Management		
Council branding & hosting and archive for 1 year - 6.5 hours content pcm		8,394
Services		
Auditel integration	3,500	

1 day training (2 people required)	990	
Other Costs		
Data cabling (Electron)	2,500	
Power cabling (CYC)	3,000	
Dedicated broadband connection (recommended & TBC)	1,000	2,000
Contingency	2,000	
Total	21,720	10,394

The resources required for this scheme will include officer time from the business to specify requirements, evaluate tender responses and configure/test the final solution. Officer time is also required from a procurement team to manage the procurement process. Technical resources are needed from IT&T to lead the procurement exercise and to advise on any technical issues.

There will be ongoing support resource required to operate the equipment during Council meetings. This resource would have to be found from within existing Democratic Services staff. This would equate to £130 per month.

B3 Benefits & Impacts (What are we going to get out of doing it?)

The decision making process will become more accessible to the local population. This would be measured by carrying out a pre-implementation survey of members of the public to assess their views on the accessibility of Council meetings. Post implementation we would be able to compare previous take-up against the actual numbers viewing and attending Council meetings.

The introduction of web casting as a way of allowing the public to access the decision-making process is in line with our the following direction statements:

'Our ambition is to be clear about what we will do to meet the needs of our communities, and then to deliver the best quality services that we can afford'

'We will be an outward looking council, working across boundaries for the people of York'

It is also in line with our value statement – 'Encouraging improvement in everything we do'.

The introduction of web casting will contribute to e-government expectations on local authorities to introduce these types of web technologies which make effective use of the internet to widen the potential for public participation. One way for this to be measured would be against actual viewing figures i.e. hits on the web casting pages. Our CPA rating may improve through introducing more transparency and opportunities to participate in the democratic process.

It would be very difficult at this stage to make predictions about targets against these benefits as current levels of public attendance/participation are not being monitored.

Part C: Post Corporate IT Strategy Group Review

To be completed by IT

C1 Recommendations of the Corporate IT Strategy Group

Recommended

Part D: Staff & Financial Resources required

To be completed by IT
assisted by Directorates

D1 Estimated staff resources (dedicated time in ½ weeks)

Directorate staff time committed		ITT staff time requested		Other	
Directorate reps	0.5	Business Development	3	Partner organisations	0
Service managers	2	Customer Support	0		

CORPORATE IT DEVELOPMENT PLAN 2009/10

III Reference

Other Service Staff	4	Networks	1	
		Systems	0.5	
		Procurement Contracts	2	

D2 Will your Directorate be submitting a growth bid related to this bid? No

If Yes please give brief details

D3 Is any part of this proposed scheme externally funded? No

If Yes, please give brief details - how much, when it's available, special conditions or constraints

D4 Costs Requested from the ITDP as part of the Bid

To be completed by IT

<i>A breakdown of the costs is included in the accompanying document.</i>	Total gross costs	Year 1 Cost	Ongoing Cost
	£	£	£
Total Costs	21,720	8,555	15,499

Part E: Supporting Assessments

To be completed by Directorates assisted by IT

E1 **Risk & Opportunity Scores** The detailed assessment is included in the accompanying document.

	Risk Score	20
	Opportunity Score	25

In Year 2008/9**Once-off Costs**

Hardware	£	8,730	
Cabling	£	6,500	
Contingency	£	2,000	
Se-up & Training	£	4,490	
			£ 21,720

Additional Optional Costs

Marketing	£	10,000	
Grand Total	£	31,720	

Annual Costs

Broadband	£	2,000	
Streaming service	£	8,394	
			£ 10,394

Additional Optional Costs

Marketing	£	5,000	
Staff	£	1,500	
			£ 6,500
Grand Total	£	16,894	

Data, Power, Broadband - Caveat - historic building

Marketing costs are indicative of optional campaigns

6½ hrs per month

Marketing costs are indicative of optional campaigns
This could potentially be managed within existing budgets

Via IT Development Plan**Once-off Costs**

Hardware	£	8,730	
Cabling	£	6,500	
Contingency	£	2,000	
Se-up & Training	£	4,490	
			£ 21,720

Additional Optional Costs

Marketing	£	10,000	
Grand Total	£	31,720	

Annual Costs

Broadband	£	2,000	
Streaming service	£	8,394	
Borrowing cost	£	5,300	
			£ 15,694

Additional Optional Costs

Marketing	£	5,000	
Staff	£	1,500	
			£ 6,500
Grand Total	£	22,194	

Data, Power, Broadband - Caveat - historic building

Marketing costs are indicative of optional campaigns

6½ hrs per month

Marketing costs are indicative of optional campaigns



Executive**23 December 2008**

Report of the Director of City Strategy

West of York Household Waste Recycling Centre - Site Options.**Summary**

- 1 Members are asked to confirm that a detailed appraisal should be carried out for a Household Waste Recycling Centre at Harewood Whin, as it has emerged as the preferred option to replace the Beckfield Lane Household Waste Recycling Centre to serve the west of the City.

Background

- 2 As part of the policy prospectus for 07/08, Members, via the group leaders, agreed that options relating to Beckfield Lane HWRC should be considered largely because of the position of the site within a residential area and the traffic congestion associated with the site.
- 3 Members also agreed to further development of the feasibility study to determine the most suitable location for the replacement facility and the detail design and cost for that facility. That work on site selection is complete and shows that Harewood Whin is an option that fulfil Members expectations to replace the Beckfield Lane HWRC, see Annex A.
- 4 The facility would fulfil the objectives of providing an improved service for the west of the City by having longer opening hours and able to operate to modern health and safety standards.

Consultation

- 5 As part of the consultation on the Issues and Options of the Allocations for the Development Plan Document (DPD), two sites at Harewood Whin were included for comment. See Annex C and D for details. During the feasibility study for an alternative for Beckfield Lane HWRC it became evident that the available land area at Option A has been very much restricted by the volume of Landscaping required to screen Harewood Whin Landfill Site. Also the access to this site, from the B1224 Wetherby Road, would not be easy to develop safely, due to its proximity of bends in the road. For these reasons that option has not been considered further.

- 6 The feedback from the DPD consultation has raised some issues and a selection of the types of comments made as part of the Allocations Issues and Options is summarised below:
- There are some comments that preference should be given to Option A as it does not effect the Flood Zone. Whilst it is too early to confirm at the moment, it is felt that the design of the HWRC scheme, Option B, could accommodate mitigation measure with respect to flooding issues.
 - There is an aspiration to link Rufforth to the Outer Ring Road with a cycle track and a study is ongoing to explore this. One of the consultees raised the issue of safety for cyclists as the roadside edge of the field in question could be a potential route for this cycle track. Purchase of the field now would give the Council the potential to fulfil that aspiration because within the design of the proposed HWRC space would be allocated for the route of the cycle track and safe crossing to the access road into the HWRC.
 - A concern was raised about the potential for queues to build up on the B1224 caused by traffic waiting to enter the HWRC. Officers had already recognised this as an issue and it is intended that within the design of the new HWRC a long off highway stacking lane will be provided within the site to accommodate queuing traffic. Whilst on the highway, the B1224 will be widened to accommodate a right-turn lane for vehicles to stand in, allowing Wetherby bound traffic to continue moving.

Options

Option 1 Accept the finding of the study.

- 7 Members accept the findings of the study detailed in Annex A and approve Harewood Whin as the preferred option for detailed appraisal of the West of York HWRC.

Option 2 Require further sites to be investigated

- 8 Members could take the opportunity to ask officers to seek out further sites for investigation as options for the West of York HWRC and report back to Members on their findings.

Analysis

Option 1 - Accept the finding of the study.

- 9 Members will see in Annex A that a number of studies and investigations have been carried out to identify possible sites for a HWRC to serve the west of York, with Harewood Whin emerging as the preferred option.

Option 2 - Require further sites to be investigated.

- 10 Members could suggested the location of other sites or request officers to continue searching for further locations to consider for a HWRC to serve the west of the City.

Corporate Priorities

- 11 Corporate Priority Number 1 is to decrease the tonnage of biodegradable waste and recyclable products going to landfill. A contribution to this priority would be made by improved facilities over and above that of the existing Beckfield Lane HWRC.
- 12 Corporate Priority Number 10 is to improve our focus on the needs of customers and residents in designing and providing services. This would be achieved by providing a more accessible, and easier to use facility.
- 13 Corporate Priority Number 12 is to improve the way the council and its partners work together to deliver better services for the people who live in York. This would be achieved by consulting with contractors on optimisation of facility design, and continuous monitoring of contractor performance.

Implications

Financial

- 14 See confidential Annex E for details.

- **Human Resources (HR)**

- 15 There are no HR implications relating to this decision.

- **Equalities**

- 16 There are no Equality implications relating to this decision.

- **Legal**

- 17 The Authority has power, under s120 of the Local Government Act 1972, to purchase land by agreement, or compulsorily under s121 of the Act. If land is purchased by way of a Compulsory Purchase Order, the process and risks referred to in Annex E would need to be considered.

- **Crime and Disorder**

- 18 There are no Crime and Disorder implications relating to this decision.

- **Information Technology (IT)**

- 19 There are no IT implications relating to this decision.

- **Property**

20 See confidential annex E for details.

Risk Management

21 There are a number of risks which relate to this report:

22 **Planning Permission:** As the feasibility study of the project is not yet complete it is not possible to indicate the likelihood of the scheme receiving planning permission. The proposed site is located within the Green Belt. Policy GB1 in the City of York Draft Local Plan and paragraph 3.4 of PPG2 (Green Belts) outlines a list of purposes which are appropriate development in the Green Belt. This proposal does not specifically correspond with any of these uses, therefore the applicant must be able to justify a 'very special circumstances' argument, as outlined in paragraph 3.2 of PPG2. It must be demonstrated that the harm to the Green Belt is clearly outweighed by the need for the development in that location. An assessment of potential sites must be carried out, including both non-Green Belt and other Green Belt sites. Work has been carried out to view other urban and Green Belt sites, refer to Annex A. Planning consent would only be confirmed following the decision of the planning committee and the actions of Government Office for Yorkshire and The Humber (GOYH).

23 **Financial:** Should Members choose to proceed with the development of a HWRC, to serve the west of York, at Harwood Whin, it could have a net cost in the order of £2.4m. This would be confirmed following a detailed appraisal of the project. See confidential Annex E for other details.

Recommendations

24 Members are recommended to confirm that a detailed appraisal for a Household Waste Recycling Centre to serve the west of the City should be carried out on Harewood Whin, as this has emerged as the preferred option to replace the Beckfield Lane Household Waste Recycling Centre. A report should be brought back to Members giving details of that appraisal.

Reason:

To provide a more suitable location than Beckfield Lane for a Household Waste Recycling Centre.

Contact Details

Author:
Ray Chaplin
Head of
Consultancy
City Strategy
Tel No.1600

Chief Officer Responsible for the report:
Bill Woolley
Engineering Director City Strategy

Report Approved **Date** 15/12/08

Specialist Implications Officer(s)

Legal – Quentin Baker
Financial – Ian Floyd/Patrick Looker
Property – Philip Callow/Paul Fox

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

All

For further information please contact the author of the report

Background Papers:

Report to the Executive on 9 September 2008 “Waste Update”

Annexes:

- Annex A Beckfield Lane, Household Waste Recycling Centre Relocation – Site Selection.
- Annex B Plan of Preferred Option
- Annex C LDF Plan of Harewood Whin showing Option A.
- Annex D LDF Plan of Harewood Whin showing Option B.
- Annex E Confidential Data.

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Annex A

BECKFIELD LANE, HOUSEHOLD WASTE RECYCLING CENTRE RELOCATION – SITE SELECTION UPDATE

Purpose of report

1. To update Members on the site selection options for the relocation of the Beckfield Lane Household Waste Recycling Centre (HWRC).

Background

2. There has been a long standing requirement to find an alternative location for Beckfield Lane HWRC. As part of the policy prospectus for 07/08, Members via the Groups Leaders agreed that options relating to Beckfield Lane HWRC should be considered largely because of the position of the site within a residential area and the traffic congestion associated with the site. There have been a number of reports seeking a suitable site for the relocation of the Beckfield Lane HWRC. All have concluded that there was no option that provided an ideal solution.
3. This report updates the options appraisal (CMT report May 2007, further detailed in draft Exec report Sept 2007), in the light of further work and to reflect the current position.
4. Work has been continuing to quantify the construction and associated costs, (in September 2008 Exec approved £35,000 carry out further feasibility and design work to confirm scheme costs).
5. The need for a replacement HWRC is still valid. A site to the West of the City is required to meet current and future waste targets/legislation, whilst anti-social behaviour at the site is still prevalent. During opening hours traffic congestion both within the site and on Beckfield Lane itself is also a major problem.

Options

6. Previous reports have identified 10 options. Recent work has identified a further variant option at Harewood Whin, (option 11 below).
7. Option 1, is to maintain the status quo, i.e. continuing the operation at Beckfield Lane, as it stands. The 'do-nothing' option. An absolute base case.
8. Option 2, the Council owns 0.48ha of land at Beckfield Lane. The HWRC itself only occupies 45% of the total area. The remaining space is either derelict or used as a sub-depot for Grounds Maintenance vehicles. An option exists to rationalise the site, evaluate the needs of the grounds maintenance depot and redevelop the remaining space as a modern well-designed HWRC, using the Hazel Court facility as the model. A base case over which other options should be judged.
9. Options 3-8, as identified by the Spawforth Associates work, commissioned by the Council. This report identified 6 potential sites ranked as follows: -

- i. (option 3) Yorwaste Depot, adjacent to Rawcliffe Park & Ride.
 - i. (option 4) Land adjoining A59 (council owned) .
 - i. (option 5) Hessay (Industrial park).
 - iv. (option 6) South of Northminster Business park.
 - iv. (option 7) East of Harewood Whin.
 - vi. (option 8) Land adjacent to Harewood Whin.
10. The draft Land Use Consultants report, April 2006, for the Waste PFI project identified only one site in the West of the City which had 'high potential' for a small scale facility, Harewood Whin, covered by Options 7 and 8 above.
11. Option 9, with the closure of the British Sugar factory which is in the catchment area for the West of the City, a HWRC could be included in the plans for the development of this area.
12. Option 10, an area linked to the roundabout at the Moor Lane/A1237 junction.
13. Option 11, Harewood Whin-field to east of Newgate Bridge, an area between the Harewood Whin landfill site and the B1224 Wetherby Road.

Options Analysis

14. Each of the options outlined above has been considered. In order to make the comparison easier, Annex 1 details each option, together with a list of Pro's and Con's.
15. Option 1 - 'do-nothing', continue operating the facility as it is, i.e. a 'basic' but worthwhile service to the community. The HWRC facility only occupies 0.2 ha of the total 0.48 ha council owned site. During operational hours the site is congested, and traffic queues within the site, spilling onto Beckfield Lane. This appears to be a 'queuing' problem, where the rate at which people arrive at the site is greater than the rate at which they can empty their vehicles, i.e. a 'bottleneck'. This is compounded when the contractor's vehicles remove full skips, as the contractor also has to use the same internal routes as the public. The potential for anti-social behaviour remains. This is not a viable long-term option, hence this option is not recommended to be carried forward.
16. Option 2 - Redevelop Beckfield Lane, double the HWRC effective area to 0.48 ha. Utilising the whole site would provide better access, improved internal traffic flow and segregation of public from contractors skip movements. Permits greater scope for future segregation of waste at source, i.e. increased number of skips/containers. The capital cost is estimated at £1.2M, including relocation costs for the depot. This option does not address the fundamental issue of relocating from a residential area. From a sustainability perspective, however, the site is in the right place, and it is noticeable that pedestrians are frequent users. By improving the design and layout of the facility, i.e. 'de-bottlenecking', a modest increase in capacity could reasonably be expected by increasing the throughput

rate of customers emptying vehicles thus reducing queuing time. But the limiting factor will still be the site's restricted opening hours, which are currently set at less than those for which the Council has a licence. It may be possible to seek revisions to the licence by applications to Planning and to the Environment Agency. Considering the other user of the site, Grounds Maintenance storage, this could be designed into the facility or alternative premises found, (easier than finding a site for an HWRC). Given appropriate funding this option should be deliverable within 2 years, although local opposition could be anticipated. Whilst the potential for anti-social behaviour will still remain, suitable design of the facility should reduce the opportunity and motivation for this type of behaviour. The site however is still adjacent to the residential area. In overall terms this option is not recommended to be carried forward.

17. Option 3 - Yorwaste Depot adjacent to Rawcliffe Park & Ride, the proposed land of 0.3 ha, adjacent to a sewage treatment plant, is Council owned, currently leased to Yorwaste who use it as a vehicle and skip maintenance and storage depot. (Yorwaste have recently been making enquiries about further extending the lease to 2025.) Additional land, 0.3 ha would be required for a best-practice HWRC facility, and this could be met by a reduction of about 20 car-parking spaces from the adjacent over-flow park & ride car park. Reduction of park & ride parking spaces however, is in conflict with the Local Transport Plan which requires more spaces. (There are now plans for a further 3 park & ride schemes within York). Concerns have also been expressed that a HWRC would give a poor visual impact and impression from the main A19 entry road into the city. The existing Yorwaste depot is well screened, and a HWRC would require screening to a similar standard. This site has some sustainability benefits, in that visits to the HWRC can be combined with trips to the Park & Ride. A net estimated capital cost is £1.8M, deliverable within 3 years. It should be noted that operational costs would increase by £150,000 per year, due to increasing the opening hours. This site is considered to be 'on the wrong side of the river' to meet the needs of the population, and would add to the traffic flows on an already saturated stretch of the ring-road. This option is not recommended to be carried forward.
18. Option 4 - Land adjoining the A59. (6.7 ha) Utilisation of this piece of Council owned land has been superseded by the building of the New Manor School. This option has therefore been discounted.
19. Option 5 - Hessay, (1.1 ha), in earlier discussions, 2005, it was stated that the landowners would not consider a HWRC at this location. This is still believed to be the position. The main attraction for this location was the proximity of a Yorwaste 'MRF' plant on the same site. At some 9km from the city centre this option is the least sustainable. This option has therefore been discounted.
20. Option 6 - South of Northminster Business Park, (3.05 ha), adjacent to land earmarked for future expansion of the Business Park. The developers of the Business Park object to the location of a HWRC as a neighbour, as they view an incompatibility between a waste site and their desire for a 'high-tech/quality' business park. From a sustainable transport perspective, this option is a compromise, being about halfway between the customers and the disposal point at Harewood Whin. A net estimated capital cost is £2.6M, deliverable within 5 years.

Operational costs would increase by £150,000 per year, due to increasing the opening hours. This option is not recommended to be carried forward.

21. Option 7 - East of Harewood Whin, (2ha), the site is sustainable, in that it is co-located with the landfill site, however there is greater distance for customers to travel, about 5-6km from the main catchment areas. A review of traffic has identified that a new ring road roundabout will not be needed, but some small modifications will be necessary. (Hence the Harewood Whin options have reduced significantly in cost.) A preliminary schematic layout showed that this site (Harewood Whin Option – A) was just possible, but recent investigations suggest that the site may be too small as a result of the landscaping which has been planted as part of the screen for the land fill site. Additional engineering works in and around the landfill site have been identified as necessary. The site is accessed by a bridleway, about 0.75km from the Wetherby Road, B1224, which is subject to flooding. A road will need to be constructed to enable traffic to enter/exit the facility. The junction with the B1224 will also need careful re-design to meet highways requirements. A net estimated capital cost is £3.1M, deliverable within 4 years. Operational costs would increase by £150,000 per year, due to increasing the opening hours.
22. Option 8 - Land adjacent to Harewood Whin, (11.03 ha), similar issues apply to this site as to option 7, above, except that a new road is not required. The land, to the west of the landfill site is an open field in agricultural use on a long term lease, surrounded by land of a similar nature. It is open to views from Rufforth, which will inevitably cause some opposition. A net estimated capital cost is £2.3M, deliverable within 5 years. Operational costs would increase by £150,000 per year, due to increasing the opening hours.
23. Option 9 - British Sugar, since the Spawforth's report, the closure of the British Sugar Factory has been announced. There appears to be a number of potential sites alongside the railway tracks, and with apparent road linkage. From a traffic perspective there will be a reduction in HGV movements resulting from the decrease of the sugar beet operations, although traffic generation from the site following redevelopment of the area is likely to increase. An Area Action Plan (AAP) is currently being produced for York Northwest which includes the British Sugar site. The timescales and anticipated phasing of the redevelopment are still emerging, but it is estimated that the lead-time to get a HWRC operational would be approximately 5 - 8 years. It is anticipated that residential use will be a significant element of the land use mix outlined in the AAP and there is likely to be incompatibility issues from siting the HWRC within the redeveloped area. A net estimated capital cost is £2.6M. Operations cost would increase by £150,000 per year, due to increasing the opening hours.
24. Option 10 - Moor Lane / A1237 roundabout, this option is where an HWRC could be designed into the new junction/roundabout giving good traffic access to and from the main catchment area. It would meet the proximity principle hence it would be a relatively sustainable solution. This particular area suffers from fly-tipping, possibly an HWRC at this location might encourage people to use the proper facilities. Because of the exposed position of this location it may attract opposition from local residents. A net estimated capital cost is £2.1M, deliverable within 4

years. Operational costs would increase by £150,000 per year, due to increasing the opening hours.

25. Option 11 - Harewood Whin, field to east of Newgate Bridge, is a new option, which has evolved from recent discussions with Yorwaste. There are good sustainability arguments for this site (in common with the other Harewood Whin options) due to the co-location with the landfill site. A preliminary schematic layout shows that this site (Harewood Whin Option – B) gives an excellent layout with space for stacking traffic queues off the main highway, and with good access on to the main highway. Of the 3 Harewood Whin options this appears to be the best in terms of design, accessibility, time to deliver (3yrs) and cost (£2.4M).
26. It should be noted that the Spawforth's analysis was unable to locate sites in the York area that complied with PPS10 (Planning for Sustainable Waste Management), which (amongst other criteria) requires dealing with waste where it arises, and co-location of facilities. Consequently the search was spread further afield, i.e. encompassing areas in the green belt. The selected site will have to comply with Policy GB1 in the City of York Draft Local Plan and paragraph 3.4 of PPG2 (Green Belts). These policies outline a list of purposes which are appropriate development in the Green Belt. This proposal does not specifically correspond with any of these uses and therefore further work will have to be carried out to justify a 'very special circumstances' argument, as outlined in paragraph 3.2 of PPG2. It must be demonstrated that the harm to the Green Belt is clearly outweighed by the need for the development in that location.
27. Consequently the search was spread further afield, i.e. encompassing areas in the green belt. Whilst it is the aim to keep this land open, it is possible to develop within these areas under exceptional circumstances. All the relocation options (with the exceptions of Hessay and British Sugar) fall into this category.
28. A key consideration for any option is deliverability. For the purposes of this report it is considered that the main criteria are cost and time to deliver. The net capital costs have been estimated; see Annex 2, which shows a matrix of the options together with a 'shopping list' of major items of expenditure. A value of £0.6M has been included for the proceeds of the sale of the Beckfield Lane site, which is lower than previously anticipated. (It may be that with affordable housing taken into account, the receipt may be even lower.) The totals quoted in this report are the net capital costs. Note that the costs presented in this report are indicative of the order of magnitude of the anticipated costs, they are based on 'best estimates' from recent projects/tenders. Further detailed analysis will be required to finalise the capital costs of the selected option.
29. The information contained in this report is brought together into the 'bubble-chart', Annex 3, which aims to show the relationship in terms of net capital cost and an estimate of the time-scale to deliver the recommended options. A third dimension, is also shown, the diameter of the 'bubble' representing capacity or anticipated performance of each option.

Implications

Financial

30. There are no current plans for capital expenditure at the levels indicated in this report. The capital costs shown in Annex 2 are preliminary estimates to describe the order of magnitude of the anticipated expenditures, further work is required to confirm more accurate figures. It is believed that no source of funding is currently available, e.g. Defra grants. Hazel Court was part funded, £338,000 by the National Waste Minimisation and Recycling fund, which has now come to the end of its life and no further rounds of funding are planned. This has been replaced by the Waste Performance and Efficiency Grant, which the Council is using on other waste and recycling projects. There is no opportunity to prudentially borrow against potential savings.
31. Beckfield Lane HWRC is only open about 20-25% of the hours of the other sites. Any option that envisages increasing opening hours to the 'standard hours' (that is all of them except the 'do-nothing', and 'redevelop' Beckfield Lane options), will attract an increase in operating costs of approx £150,000 pa. It is expected that there will not be an increase in collected/recycled/composted tonnage for the City as a result of this investment. The benefits (in addition to the relocation from a residential area) would lead to improvements in customer care, a safer operational environment and more space to deal with the increasing requirement of segregating more waste types.

Property

32. There is currently an outline planning application for residential development pending for the Beckfield Lane site, and the site is HRA owned.

Way Forward / Recommendation

33. Earlier reports were unable to identify a clear way forward to find an acceptable replacement site for Beckfield Lane HWRC. The recent work shows that potentially a site at Harewood Whin can be turned into a viable HWRC at significantly less cost and delivered earlier than the other sites. This is dependent upon sufficient funding being made available.

Roger Enzor
Interim Waste Project Advisor

Background Papers:

Executive Report: Household Waste Sites – Relocation and Site Development, 1st June 2004.

Planning Feasibility Report, Assessment of Short listed Sites for Beckfield Lane HWS, Spawforth Associates, September 2005

CMT Report: Beckfield Lane Household Waste Recycling Centre relocation, May 2007

Executive Report: Draft - Beckfield Lane Household Waste Recycling Centre relocation, September 2007, (not received by committee)

Executive Report: Waste Update, 9 September 2008

Further Annexes

Annex 1 – Beckfield Lane – Resiting options Pros & Cons.

Annex 2 – Beckfield Lane, Relocation Options, Estimate of Net Expenditure.

Annex 3 – Bubble chart of options

Beckfield Lane – Resiting Option

Annex 1

Pro's & Con's

SPAWFORTH RANKING	OPTION & LOCATION	PRO'S	CON'S
Not Applicable	1 'Do – nothing' Beckfield Lane (The "Base" case)	Close to customer base, serves need of local population, particularly pedestrian. Well used during opening hours. Nil capital cost. Low operating cost.	Doesn't meet prime requisite to relocate. Usage has changed from 'tip' to HWRC. Limited opening hours. Traffic congestion within the site and on public highway. H&S: mixed traffic, customers and contractors. HWRC area, 0.2 ha is under-sized. Remainder of site looks derelict. Environmental effect on local residents, noise, odour etc remains. Potential for anti-social behaviour remains.
Not Applicable	2 Redevelop Beckfield Lane (An improved "base" case)	Close to customer base, serves need of local population, particularly pedestrian. Well used during opening hours. Design can improve facility as HWRC, and partially alleviate internal traffic congestion. Separation of customer/contractor traffic. Environmental effect on local residents, noise, odour etc improved by redesign. Gained small incremental capacity. Achievable within 2 years. 'Low' capital cost, £1.2M. Low operating cost, as existing.	Doesn't meet prime requisite to relocate. Limited opening hours. Capacity still limited. Merge with Grounds Maintenance depot. Risk of upsetting local residents/neighbours who are expecting site to move. Potential for Traffic congestion on public highway still exists. Potential for anti-social behaviour remains.

1	3 Rawcliffe Park & Ride, and Yorwaste Transport Depot	<p>Good vehicular access from ring road. Would be a redevelopment of 'brownfield' area, in-line with national policy. Site owned/leased by CYC. Sustainable, combined trip HWRC & parking. Space freed up from recycling bins. Close to similar facility, sewerage plant. Achievable within 3 years. 'Low' net capital cost, £1.8M.</p>	<p>Site is too small, (0.3ha), would need to extend into Park & Ride overflow car park by additional 0.3 ha, (~20 parking spaces lost). Park & Ride also have designs on depot site, for increased parking spaces. Site is at risk of flooding. Anticipate planning objections, land is Green Belt and HWRC are not appropriate uses within the Green Belt unless the applicant can justify a 'very special circumstances' argument. It must be demonstrated that the harm to the Green Belt is clearly outweighed by the need for the development in that location. Need for visual screening from A19. Increased traffic flow on ring road, additional congestion. Just outside maximum travelling distance, from main catchment area. Yorwaste require additional lease to 2025. Operating cost, existing + £150k pa.</p>
1	4 Land adjoining A59		<p>Site used by new Manor School. Option no longer possible.</p>
1	5 Hessay (Land owner against a waste facility, this option discounted)	<p>Close to major highway. Within an existing industrial site, so brownfield development. Does not adjoin residential development.</p>	<p>Development of site requires third party land, owners not prepared to lease for use as HWRC. Furthest site away from catchment area, however just within acceptable driving time. Time delay if CPO needed. Could have been achievable within 4 years. Operating cost, existing + £150k pa. 'High' net capital cost, £2.6M.</p>

4	6 South of Northminster Business Park (Land owner against a waste facility, this option discounted)	Close to catchment area. Reasonable existing access to site. Could fit well with proposed A59 Park & Ride scheme. Located away from main residential area. Well screened from nearby dwellings. 3.05ha area of land, only need 0.6ha.	Development of site requires third party land, owners not prepared to release for use as HWRC. Development of Greenfield land in Green Belt, for a HWRC is not appropriate uses within the Green Belt unless the applicant can justify a 'very special circumstances' argument. It must be demonstrated that the harm to the Green Belt is clearly outweighed by the need for the development in that location. Planning consent may be difficult as a stand-alone facility, combine with other plans. Achievable within 5 years. 'High' net capital cost, £2.6M, (assumes new roundabout required). Operating cost, existing + £150k pa.
4	7 Land to East of Harewood Whin	Very sustainable, close proximity to landfill site. Just within max. customer driving distance, from catchment area. Co-location of waste facilities. Exact site area unknown – appears to be adequate for HWRC.	Site access is an area subject to flooding. Requires upgrading of existing bridleway access, i.e. building 0.75km new road, legal & planning issues anticipated. Third party land acquisition required. Green Belt land and HWRC are not appropriate uses within the Green Belt unless the applicant can justify a 'very special circumstances' argument. It must be demonstrated that the harm to the Green Belt is clearly outweighed by the need for the development in that location Site will need screening. 'High' net capital cost, £3.1M. Achievable within 4 years. Operating cost, existing + £150k pa.
6	8	Very sustainable, close proximity to landfill	Site has poor access, & congested with HGV's,

	Land adjacent to Harewood Whin	<p>site. Just within max. customer driving distance, from catchment area. Co-location of waste facilities. Main area identified is 11.03ha.</p>	<p>will need improvement. Green Belt land and HWRC are not appropriate uses within the Green Belt unless the applicant can justify a 'very special circumstances' argument. It must be demonstrated that the harm to the Green Belt is clearly outweighed by the need for the development in that location. Site will need screening. 'High' net capital cost, £2.3M. Operating cost, existing + £150k pa. Achievable within 5 years.</p>
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Not Applicable	9 British Sugar	Sustainable, close proximity to existing and future customer base. Development of 'brownfield' site. Facility could be included in York North West Area Action Plan. A number of potential locations within overall site, close to rail boundary and with road access.	This option has the longest lead time to completion, approx 5-8 years. Operating cost, existing + £150k pa. 'High' net capital cost, £2.6M.
Not Applicable	10 Moor Lane Roundabout	Sustainable, close proximity to existing customer base. Area currently experiences high levels of fly tipping. Could be designed into new roundabout scheme.	May attract waste from outside City. Green belt land and HWRC are not appropriate uses within the Green Belt unless the applicant can justify a 'very special circumstances' argument. It must be demonstrated that the harm to the Green Belt is clearly outweighed by the need for the development in that location. Site will need screening. Operating cost, existing + £150k pa. 'High' net capital cost, £2.1M. Achievable within 4 years.
Not Applicable	11 Harewood Whin Field to east of Newgate Bridge	Very sustainable, close proximity to landfill site. Just within max. customer driving distance, from catchment area. Good access to road network. Co-location of waste facilities. Main area identified is 2ha. Achievable within 3 years.	Green belt land and HWRC are not appropriate uses within the Green Belt unless the applicant can justify a 'very special circumstances' argument. It must be demonstrated that the harm to the Green Belt is clearly outweighed by the need for the development in that location. Site will need screening. 'High' net capital cost, £2.4M. Operating cost, existing + £150k pa.

Beckfield Lane, Relocation Options, Estimate of Net Expenditure

	Land Purchase £ M's	Construction Costs £ M's	Roundabout mods £ M's	Access/ Infrastructure £ M's	Other £ M's	Capital Receipts ⁶ £ M's	NET TOTAL £ M's
(1) Beckfield Lane (do nothing)	CYC own	0				0	0
(2) Beckfield Lane (redevelop)	CYC own	1.2 ¹				0	1.2
(3) Rawcliffe (Park & Ride)	CYC own	2.2 ¹		0.2 ²		-0.6	1.8
(4) Land adjacent to A59	CYC own	2.2 ¹		0.3 ³		-0.6	1.9
(5) Hessay	0.5 +	2.2 ¹		0.5		-0.6	2.6
(6) South of Northminster Business Park	0.5 +	2.2 ¹		0.5 ⁴		-0.6	2.6
(7) East of Harewood Whin	CYC own	2.2 ¹	0.3	0.2 ⁷	1.0 ⁵	-0.6	3.1
(8) Adjacent Harewood Whin	CYC own	2.2 ¹	0.3	0.4		-0.6	2.3
(9) British Sugar	0.5	2.2 ¹		0.5		-0.6	2.6
(10) Moor Lane/A1237	0.2	2.2 ¹		0.3 ³		-0.6	2.1
(11) Harewood Whin, field to east of Newgate Bridge	0.2	2.2 ¹	0.3	0.3		-0.6	2.4

Notes

Enquiries indicate that there are no longer grants available for construction/improvement of HWRC's.

¹ includes a sum allocated for relocation/rebuild grounds maintenance depot, £0.2M.

² additional high quality screening.

³ more substantial screening, to 'hide' facility.

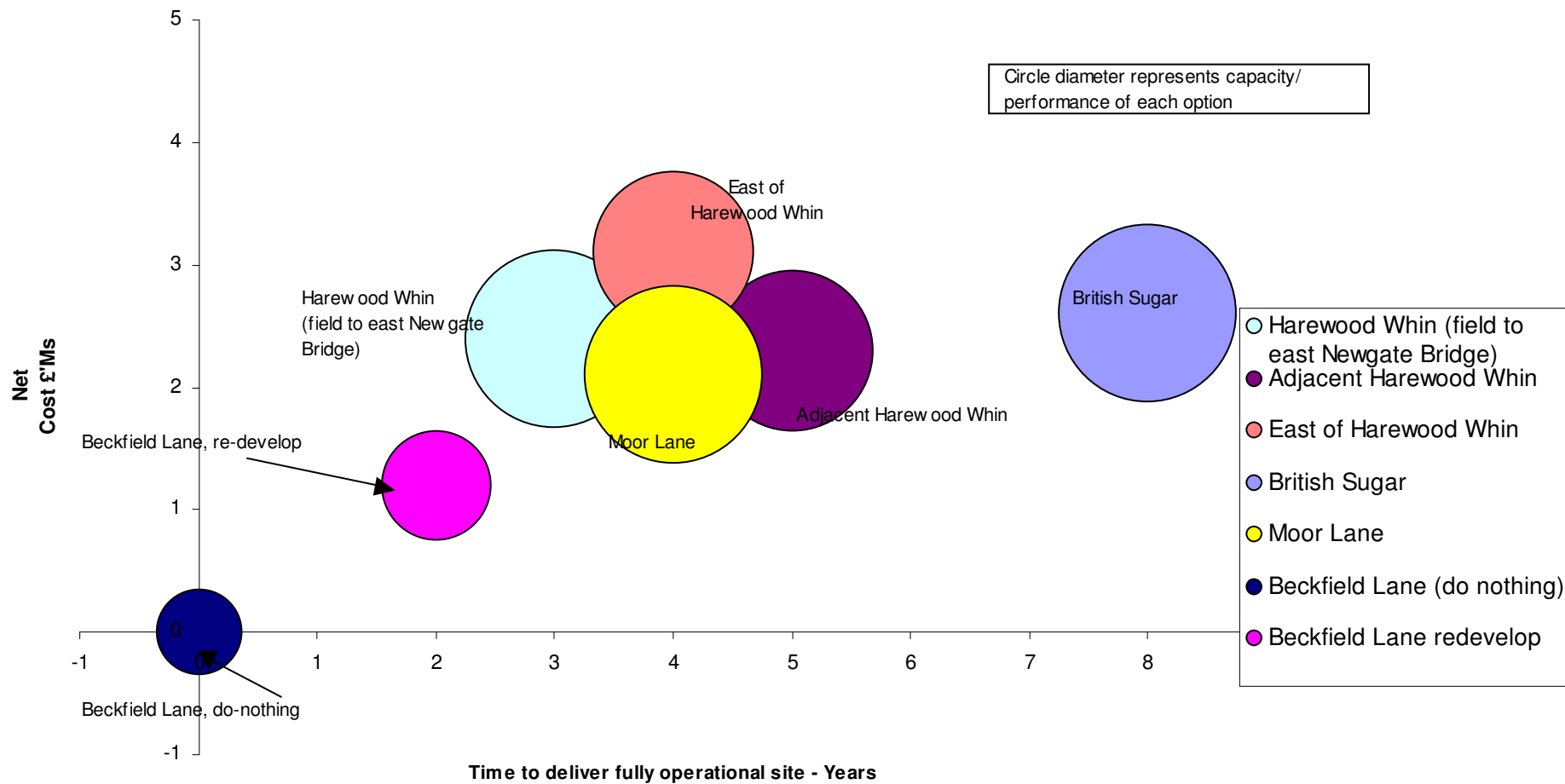
⁴ expect additional costs for infrastructure shared with developer.

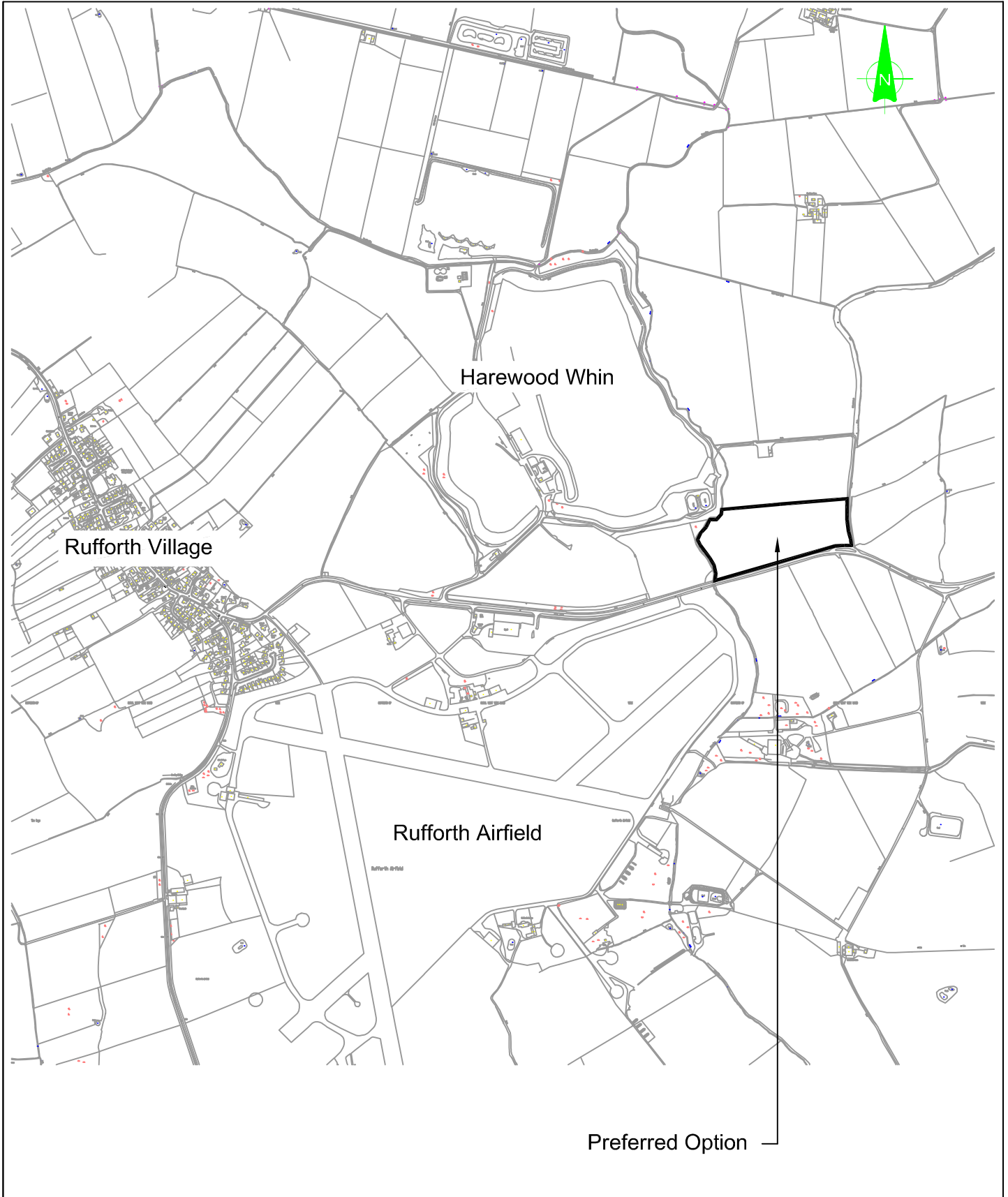
⁵ requirements for new 0.75km road and junction to B1224.

⁶ estimate of capital receipt from sale of Beckfield Lane site, (max expected receipt, could be as low as £350-400,000).

⁷ additional engineering works to landfill site, bunding etc.

Beckfield Lane Relocation Options

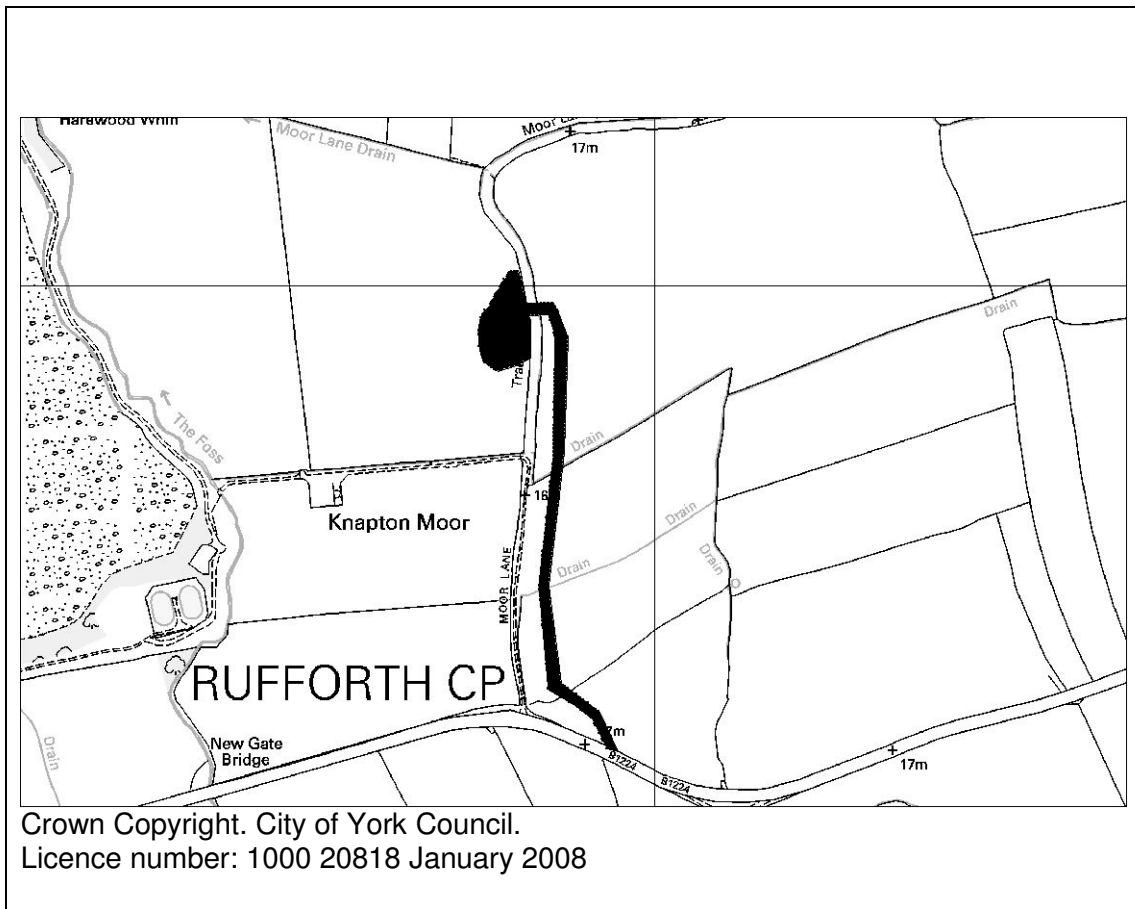




	<p>York Consultancy Consultants of first choice</p>		<p>West of York Household Recycling Site Land Option</p>														
<p><small>BASED UPON THE ORDINANCE SURVEY MAPPING WITH THE PERMISSION OF THE CONTROLLER OF HER MAJESTY'S STATIONERY OFFICE © CROWN COPYRIGHT. UNAUTHORISED REPRODUCTION INFRINGES CROWN COPYRIGHT AND MAY LEAD TO PROSECUTION OR CIVIL PROCEEDINGS. City of York Council, Licence No. 1000 20818</small></p>	<table border="1"> <thead> <tr> <th>REV</th> <th>AMENDMENTS</th> <th>DATE</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	REV	AMENDMENTS	DATE				<table border="1"> <tr> <td>DEC 07010188</td> <td>SCALE</td> <td>NTS</td> <td>A4</td> </tr> <tr> <td>Drawn PH</td> <td>Checked RC</td> <td>DATE</td> <td>3/12/08</td> </tr> </table>	DEC 07010188	SCALE	NTS	A4	Drawn PH	Checked RC	DATE	3/12/08	
REV	AMENDMENTS	DATE															
DEC 07010188	SCALE	NTS	A4														
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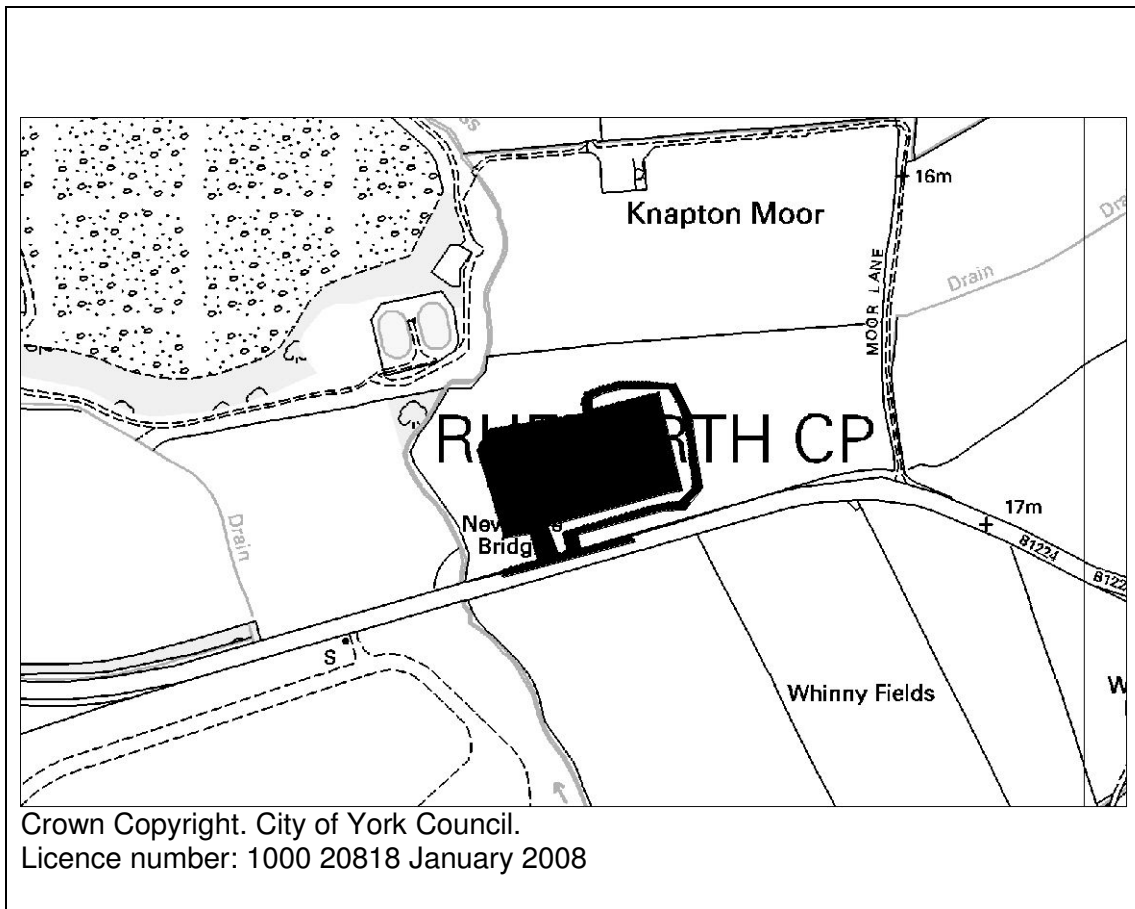
Site: Harewood Whin- Option A
Site Reference: WM/001
Potential Use: Household Waste Recycling Centre



Site address:	Harewood Whin Landfill Site, Rufforth, York.
Site size (ha):	2ha
Land Owner (if known):	City of York Council – leased to Yorwaste
Site availability:	
Existing use:	Majority of site is an active landfill site. Other uses on site include composting, wood shredder, construction & demolition waste recycling, and landfill gas and liquid waste
Potential use:	Household Waste Recycling Centre
How site identified:	Internal technical work

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Site: Harewood Whin- Option B
Site Reference: WM/002
Potential Use: Household Waste Recycling Centre



Site address:	Harewood Whin Landfill Site, Rufforth, York.
Site size (ha):	2ha
Land Owner (if known):	
Site availability:	
Existing use:	Agricultural land
Potential use:	Household Waste Recycling Centre
How site identified:	Internal technical work

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By virtue of paragraph(s) 3 of Part 1 of Schedule 12A
of the Local Government Act 1972.

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Executive

23 December 2008

Report of the Director of Resources

Granting a loan to an outside body – York Credit Union

Summary

1. This Report outlines to members the potential for granting a loan to the York Credit Union. Direction is sought on how Members would like to proceed.
2. Urgent nature of the report – In order to allow members to have early consideration of this priority matter prior to Council on 22 January 2008.

Background

3. York Credit Union (YCU) was set up in May 2006 as a mutual financial co-operative organisation for the benefit of the people of York. Members of YCU invest their funds with the YCU organisation, which in turn then offers loans to other members. YCU is not credit rated but is regulated by the FSA. They report to the FSA on income and expenditure, capital levels and ratios on a quarterly and annual basis.
4. York Credit Union Ltd is a financial institution limited under the Credit Unions Act 1979. It is not registered as a company under the Companies Act, nor is it a company limited by guarantee. As such there is no requirement to report to Companies House, and YCU has not done so at any time during its operation. Some credit unions have, in the past, filed their returns with Companies House under the impression that this was indeed a requirement, but there is no legal or legislative requirement to do so.
5. The documentation used in forming an opinion on YCU are YCU's FSA annual return for 2007 and quarterly returns for 2008. YCU's audited accounts 2006 and 2007 and their unaudited accounts for 2008.
6. Recently, YCU has found that there is more demand for loans to be granted than there is sufficient savings to approve these loans. YCU has loans approved and pending approval totalling almost £100,000. The current position at 18 December 2008 is that the loan:share ratio (the percentage of YCU members' savings currently on loan) stands at

91.5% and the loans book equals £360k. Further loans cannot be made by YCU until current loans are repaid, which has created a “loans queue” of up to 7 months. This includes an estimation of requests for future loans over the next three months.

7. If a subordinate loan is approved to YCU this will enable YCU to meet their loan demand required by their members and City of York Council (CYC) will be seen to be supporting the community.
8. Under the Local Government Act 2000, CYC can grant a loan to YCU. It would be included in CYC balance sheet as a long-term investment. Whilst decisions on “investments” are delegated down to officers, this is in accordance with decisions being made within the treasury management policy statement approved by Council every year. Therefore the decision to grant a loan to an outside body – YCU – is a variation to both budgetary and policy framework and therefore requires Council approval.
9. YCU are requesting a loan from CYC in the sum of £150k as this would enable YCU to bring its approved and pending loans up to date as well as provide for the expected growth in loan requests over the coming months. This would allow YCU to assist the people of York in the current difficult economic climate and also allow the YCU to develop its services to new customers; thereby growing their organisation.
10. YCU have confirmed with the FSA that the regulations that they are bound by, allow YCU to borrow for their capital purpose from a corporate body. However they can only borrow £150k if CYC provide the funds in the form of a subordinate loan that meet the conditions of Credit Unions Source Book (CRED).
11. Subordinate loans are loans made to a company, which are repayable only after debts with a higher-ranking claim have been satisfied. A subordinate loan for Credit Unions have to be over a minimum of 5 years and one day to be shown in their books as capital, and then on a reducing scale as maturity approaches.
12. The FSA guidelines state for any other loan type, “a credit union may not borrow more than 20% of the total shareholding of the credit union”. This loan could be borrowed from a bank or a corporate body. For YCU this would equate to £52k.
13. A subordinate loan means it cannot be secured. The subordinated creditor (CYC) must rank behind all non-unsubordinated loans (YCU has no non-unsubordinated loans at present) and members’ share balances. The only event of default would be non-payment of interest and CYC’s only recourse would be to request the winding up of the company before it could attempt to redeem any monies. Even then CYC would be at the back of the queue for redeeming any funds left. This is an extremely high-risk type of loan.

Financial Analysis

14. YCU operate as a Credit Union, a business limited under the Credit Unions Act. YCU are limited by the assets of the company in respect of outstanding debts were they to hit financial difficulties, or the company was wound up. The fixed assets of YCU year ending September 2007 total £4,656. Therefore, there are no assets by which to secure the loan against over and above £4,656. If YCU were to get into financial difficulties and default on the loan this would result in a significant loss to CYC.
15. From a lending perspective Credit Unions could be perceived as high-risk organisations as some of the loans they offer are to people who may have been turned down by banks or building societies. More than 50% of YCU loans made are used to pay off high interest loans previously established by unscrupulous 'doorstep' and 'pay day' lenders operating within the city.
16. The majority of loans offered by Credit Unions are smaller loans at competitive rates, where other financial services would (a) not be prepared to offer a loan for the amount required, (b) charge high interest rates for loans at this level, or (c) charge an 'arrangement fee', usually in the range of £50+, which is not included in the %APR shown in the loan agreement (but which, under the terms of the Financial Services and Markets Act, should be).
17. Many members of YCU also have 'traditional' bank and/or building society accounts but choose to borrow from the CU as they would be required to apply for a loan of several thousand pounds from their bank/building society, even if they only wanted to borrow a few hundred. The CU also offers a competitive alternative to borrowing from credit cards for many members. This is supported by the fact that more than 50% of borrowers make loan repayments directly from their own bank/building society accounts by Standing Order. Additionally several borrowers make their loan repayments via their own payroll (inc. CYC).
18. Loans (excluding DWP Growth Fund Loans) are made from the combined savings balances of the Credit Union's members. The maximum interest rate chargeable for a Credit Union loan is 26.4%APR). The majority of YCU loans are made at 19.6% APR (1.5% per month). These interest rates are fixed for the duration of the loan, and include the cost of the loan set-up. The interest rate charged does not result in a 'significant return' for members. Credit Unions pay a dividend to their savers (i.e. any profits made are distributed to savers based on their savings balances throughout the year. This rate is not indicative of the "high risk associated with such loans" but is set at a level to allow Credit Unions to become sustainable community based financial institutions.

19. The total level of unsecured loans in YCU is 95%. When a member borrows from the Credit Union their savings are used as security against the loan, in most cases this is a small percentage. Therefore, there are limited assets which loans can be secured against. This means that if a borrower does not repay their loan then the YCU needs to find a way to recoup these funds.
20. YCU pursues bad debt and a strict Credit Control procedure is used, followed by referral to solicitors. Solicitors pursue the debtor through the courts, if necessary resulting in 'attachment of earnings', use of the DWP's 'Eligible Loans Deduction Scheme' or the use of court bailiffs to secure repayment. Even when a loan has been written off, the debt is still pursued, the primary responsibility of the YCU manager being to protect the YCU members' savings. Only when a member is declared bankrupt or an IVA is agreed does the Credit Union cease pursuing the loan. Any outstanding debt remains the liability of the borrower, and the YCU is required to provision for bad and doubtful debt. The liability is only transferred to the members' savings under the circumstances of bankruptcy, IVA, or if the Credit Union makes a decision to cease pursuing the debt.
21. In the current economic climate more people are finding it hard to manage their money. It is possible that this has led to an increased number of people wishing to utilise YCU services, however it is not possible to substantiate this. Although loan applications to YCU have increased continuously since YCU launched the loans service in September 2006, there is not a pre-crisis record long enough to be able to identify any changes as a result.
22. The trend in the FSA quarterly returns for 2008 show that bad debts written off as a percentage of net loans for the four quarters is as follows: Q1 = 0%; Q2 = 0.11%; Q3 = 2.02%; Q4 = 3.38%. While these figures show an increase this is also in line with the developing credit union model.
23. Provisions for bad debts are also on the increase as would be expected in a developing Credit Union with a rapidly increasing loan book. Provisions for doubtful debts are categorised in two ways. General provision for doubtful debts, as required by the FSA, represents 2% of loans outstanding that are in arrears by no more than 3 months. Specific provision for doubtful debts, as required by the FSA, represents 35% (£11,808) of loans outstanding (£33,737) that are in arrears between 3 and 12 months. This represents 11% of total loans (£309k) outstanding at Q4 2008.
24. Provision for bad and doubtful debt, which represents 35% of loans outstanding, as a percentage of the total loan book of YCU can be seen when expressed as a percentage across the period is as follows. Year ended Sept 07 = 1.66%; Q1 = 2.43%; Q2 = 3.45%; Q3 = 4.59%; Q4 = 4.6%. It should be noted that provisions for bad debts are not a

representation of actual bad debts, all credit unions, banks and building societies are required to make provision for bad debts, although they may not materialise.

25. One of the tools used by CYC to assess a company before considering the making of a loan is the liquidity ratio. The liquidity ratio demonstrates the company's ability to meet current liabilities from its current assets. Using the liquidity ratio as prescribed by the FSA the YCU's liquidity ratio is 0.501. This means that YCU's liabilities are currently twice as high as their assets. A company with a liquidity ratio below 1.00 is generally considered to be a poor investment, see annex A.
26. However, the liquidity ratio of a credit union, and any financial service is based on "realisable assets in a given period". The FSA's sourcebook for Credit Unions (CRED) states that "A credit union must at all times hold liquid assets of a value equal to at least 5% of its total relevant liabilities", and that "a version 1 credit union must further hold enough liquid assets to ensure that on no two consecutive quarter ends is the level of the credit union's liquid assets below 10% of its total relevant liabilities".
27. The liquidity ratios for YCU, taken directly from our FSA quarterly returns for the years ended September 07 and September 08, in all cases, show that YCU has met the FSA requirements for liquidity. The figures demonstrate the need for further investment to maintain the necessary liquidity and satisfy the need for additional loans requests; YCU requires additional capitalisation. This is a position often reached by new and developing Credit Unions and is a reflection of the need for the services we provide.
28. The rationale behind using the liquidity ratio as prescribed by the FSA rather than using the figures directly from YCU's balance sheet is the fact that the Financial Accounts of Credit Unions can be deceptive. On the face of YCU's balance sheet, the Credit Union looks to be in a good position. Current assets on the balance sheet are higher than current liabilities. Therefore, it appears that YCU has the ability to pay off debts should they come calling with the level of current assets that they have.
29. Included within YCU's current assets from the latest audited accounts on 30 September 2007, are debtors totalling £101k. The debtor figure actually represents loans outstanding to members. This is not money that YCU can readily turn into cash (the definition of current); they are loans that will have a set repayment period (usually for 1 year or more) that cannot be breached by YCU. The FSA do not allow for the inclusion of these loans within current assets. The FSA also dictate that within current liabilities credit unions must disclose savings held by members not attached to loans. The liability being that the

members can draw on their savings at any time. The differences between the accounts and FSA return are highlighted in annex A.

30. As an authorised and regulated financial institution YCU is required to abide by the regulations set by the FSA. As an authorised deposit taker and lender the credit union manages its members' savings and makes loans from these savings. The FSA does indeed stipulate that mid and longer-term loans cannot be included in current "liquid" assets. However this is the business of a Credit Union (and any lending financial institution). To expect such an institution to have liquid assets in excess of 100% available at any given time would be to assume that no loans were being made at all. YCU loans are its assets, but it is accepted that not all of its assets are liquid – this is true for any financial institution, including banks and building societies.
31. The interest rate payable by YCU to CYC would be based on an overall risk assessment and is recommended to be equivalent to a fixed rate loan obtainable commercially on the high street. A fixed rate loan currently being offered by a high street bank is base rate +8%, currently this is 10%, but Members may choose to consider an alternative interest rate. If Members wish to approve a loan to YCU, they could delegate the final decision of the loan rate to the Director of Resources. Interest would be payable to CYC on a monthly basis commencing at the start of the loan, principal being repaid at the end of the agreed time period of 5 years.
32. The YCU are funded by grants, which are used to pay Salaries, donations from the public and also membership fees (£1 to join). Since its start in May 2006 the YCU have made a loss in each year, this can be seen in annex B on the operating loss line. Therefore, there are no resources to draw on to meet the repayments of the loan from CYC if members were to default.
33. A growing Credit Union requires grant funding to develop its services, as it begins from a position of having zero development and operational capital. However an increasing, and ultimately the core, source of funding is the income earned from interest on loans. Eventually this will be virtually the only source of income the credit union has, again demonstrating the need to maximise the loan portfolio, and supporting the need for this investment.

Consultation

34. Consultation is not relevant for the contents of this report

Options

35. There are 4 options available as detailed below:

36. Option 1: City of York Council do not lend York Credit Union any funds.
37. Option 2: City of York Council lend York Credit Union £52k, which under the FSA guidelines is 20% of their member's shares and the maximum amount that can be lent if the loan is not a subordinate loan.
38. Option 3: City of York Council lend York Credit Union a subordinate loan, which is unsecured of £100k. This is the amount of loans currently approved and pending approval by YCU.
39. Option 4: City of York Council lend York Credit Union a subordinate loan, unsecured, of £150k as they have requested. This will bring the approved and pending loans up to date as well as providing for the expected growth in loan requests over the coming months.

Corporate Priorities

40. Corporate priority 7: Improve the economic prosperity of the people of York with a focus on minimising income differentials

Implications

41. **Financial** – The implications are set out in the body of the report.
42. There are no implications with regards to **Human Resources, Equalities, Crime and Disorder** or **Information Technology**
43. **Legal** – Under s2(4)(b) of the Local Government Act 2000 local authorities have the power to give financial assistance with the aim of promoting well-being. This can be provided by any means authorities consider appropriate and includes the making of grants and loans.

Risk Management

44. The risks involved are that
 - There are no fixed assets on which the Loan to YCU can be secured against.
 - A subordinated loan dictates that if YCU were to hit financial difficulties CYC would be the last in line to recover their debt.
 - In this current economic climate all loans are high risk.
 - If the YCU were unable to repay the loan or they default on monthly options, CYC would either have to write off the loan or request the winding up of the company. Both options would be detrimental to public opinion in the community at large.
45. There is a political risk that we are seen to be supporting a non-council operations; however in the current economic climate this risk is

reduced, as City of York Council will be seen to be supporting the community at large.

Recommendations

- 46. That Members consider whether to make a loan, bearing in mind the risks outlined in this report, and if they wish to make the loan - to consider the value and the relevant rate of interest.
- 47. That Executive make recommendation to Council as to their decision.

Contact Details

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Report Approved **Date** 22/12/08

Specialist Implications Officer(s)	<i>List information for all</i>
<i>Implication ie Financial</i>	<i>Implication ie Legal</i>
<i>Name</i>	<i>Name</i>
<i>Title</i>	<i>Title</i>
<i>Tel No.</i>	<i>Tel No.</i>

Wards Affected:

All

For further information please contact the author of the report

Background Papers:

Annex A

Liquidity ratio analysis - Balance Sheet 2007 and FSA Return 2007

Description	Balance Sheet 2007		FSA computation 2007	
Fixed Assets		4,656		
Current Assets				
Debtors	101,004		0	
Cash at bank, in hand	54,699		54,699	
	155,703		54,699	
Current Liabilities	23,129		109,075	
Net Current Assets		132,574		
Total Assets less Current Liabilities		137,230		
Liquidity Ratio (1.00+ to pass)	PASS	6.732	FAIL	0.501

The Liquidity ratio demonstrates the organisations ability to meet current liabilities from its current assets. If everyone they owed money too were to suddenly call in their debts, YCU may struggle to make these repayments.

The formula for the calculation of Liquidity ratio is current assets divided by Current liabilities. The results are displayed at the bottom of the table above.

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Annex B

Profit and Loss figures – Extracted from audited accounts 2006 and 2007 and unaudited accounts 2008.

Description	P & L Yr End	P & L Yr End	P & L May
	Sept 08	Sept 07	06 - Sept 06
	Un Audited	Audited	Audited
Operating Income			
General Grants	71,495	56,521	26,995
Donations	1,506	25	115
Joining fees	645	287	187
Loan Interest	31,541	6,024	11
Other	231	248	277
	105,418	63,105	27,585
Administration expenses			
Staff	70,458	52,495	25,323
Rent	10,215	4,642	1,996
Marketing	8,424	4,067	3,104
Audit and accounting	3,529	3,000	1,645
Bad Debts	3,348	2,109	0
Provision Bad debts	12,093	0	0
Website charges	0	1,424	0
Bank charges	877	64	0
Depreciation	2,287	2,495	2,073
Cost of servicing loans	0	4,134	1,304
Other	5,639	7,914	4,284
	116,870	82,344	39,729
Operating Loss	-11,452	-19,239	-12,144

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