

**Notice of a public meeting of
Executive**

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

Date: Thursday, 11 February 2016

Time: 5.30 pm

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

A G E N D A

Notice to Members – Post Decision Calling In:

Members are reminded that, should they wish to call in any item* on this agenda, notice must be given to Democracy Support Group by **4:00 pm on Monday 15 February 2016.**

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

1. Declarations of Interest

At this point, Members are asked to declare:

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

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

2. Minutes (Pages 1 - 8)

To approve and sign the minutes of the last Executive meeting held on 28 January 2016.

3. Public Participation

At this point in the meeting members of the public who have registered to speak can do so. The deadline for registering is **5.00pm on Wednesday 10 February 2016**. Members of the public can speak on agenda items or matters within the remit of the committee.

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

Filming, Recording or Webcasting Meetings

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

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

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

4. Forward Plan (Pages 9 - 18)

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

5. Additional Primary School Places for Southbank

(Pages 19 - 36)

This report considers the options for providing additional primary school places in the Southbank area of York, following a consistent rise in demand, alongside pressures and trends in the area.

- 6. E-Democracy Scrutiny Review Final Report** (Pages 37 - 98)
This report presents the final report of the E-Democracy Scrutiny Review at Appendix 1 and asks Executive to approve the review recommendations. Cllr Lisle as Task Group Chair will present the final report.

- 7. Developing On-line Access to Council Services** (Pages 99 - 118)

This report set out the proposed vision and principles which will drive the design of the new digital customer platform and the council's future on-line interactions with residents and other customers. It also presents Members with details of the project management delivery arrangements for the expansion of digital services to residents and other service users and provides a response to the E-Democracy Scrutiny Review Task Group recommendations along with resident survey results.

- 8. 2015/16 Finance and Performance Monitor 3** (Pages 119 - 168)

This report presents details of the overall finance and performance position for the period covering 1 April to 31 December 2015, together with an overview of any emerging issues.

- 9. Capital Programme - Monitor 3 2015/16** (Pages 169 - 184)
This report sets out the projected outturn position for 2015/16 including any adjustments and requests to re-profile budgets between years.

- 10. Treasury Management Strategy Statement and Prudential Indicators for 2016/17 to 2020/21** (Pages 185 - 214)

This report seeks the recommendation of Executive to Full Council for the approval of the Treasury Management Strategy and Prudential Indicators for the 2016/17 financial year.

- 11. Financial Strategy 2016/17 to 2020/21** (Pages 215 - 344)
This report presents the financial strategy 2016/17 to 2020/21, including detailed revenue budget proposals for 2016/17, and asks Members to recommend to Council approval of the proposals.

- 12. Capital Strategy 2016/17 to 2020/21** (Pages 345 - 376)
This report set out the Capital Strategy for 2016/17 to 2020/21, and in particular sets out new capital schemes.
- 13. Review Housing Revenue Account Business Plan 2015 to 2045** (Pages 377 - 436)
This report provides an overview of the revised Housing Revenue Account Business Plan for the next 30 years and provides detail of the key priorities for the next five years, including the investment fund to support the delivery of more affordable new homes.
- 14. Housing Revenue Account - Strategic Asset Plan**
(Pages 437 - 500)
This report provides an overview of housing's new Strategic Asset Plan, which has been developed to support the Housing Revenue Account Business Plan.
- 15. Parking Review** (Pages 501 - 528)
This report provides Members with an overview of current car parking provision and operation and seeks approval to develop a City wide Parking Management Plan with a private sector partner.
- 16. Urgent Business**
Any other business which the Chair considers urgent under the Local Government Act 1972.

Democracy Officer:

Name: Jill Pickering

Contact details:

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

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

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

Contact details are set out above.

This information can be provided in your own language.

我們也用您們的語言提供這個信息 (Cantonese)

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

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

Bu bilgiyi kendi dilinizde almanız mümkündür. (Turkish)

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

 **(01904) 551550**

This page is intentionally left blank

City of York Council

Committee Minutes

Meeting	Executive
Date	28 January 2016
Present	Councillors Steward (Chair), Aspden (Vice-Chair), Ayre, Brooks, Carr, Gillies, Runciman and Waller
Other Members participating in the meeting	Councillors D'Agorne and Looker
In attendance	Councillors Craghill, Hayes, Kramm and Warters

97. Declarations of Interest

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

98. Minutes

Resolved: That the minutes of the last meeting of the Executive held on 15 December 2015 be approved and signed by the Chair as a correct record.

99. Public Participation

It was reported that there had been two registrations to speak at the meeting under the Council's Public Participation Scheme, and that four Members of Council had requested to speak on the following items:

Matters Within the Remit of the Committee

Brian Watson spoke to acknowledge that, whilst he was aware that the Community Stadium was a long term project he felt that there was little detailed information available about the future proposals.

Cllr Warters spoke to request a review of the Article 4 Direction by the Council's Local Plan Working Group to consider lowering the threshold for student housing.

Additional Primary School Places for Southbank

Cllr Kramm spoke to thank Members for postponing consideration of the Southbank report to the Committee's February meeting which would allow time for consideration of residents views raised at the recent public meeting.

Cllr Hayes also spoke to thank the Executive for agreeing to defer their decision in relation to the proposed options for additional primary school places for the area. He highlighted the need to build in sufficient time for consultation in future projects.

Children's Services Education and Skills Transport Contract (Taxis and Minibuses)

Cllr Kramm confirmed that he had passed on his comments to the Executive Member regarding the use of low emission vehicles in relation to this contract for her consideration. He stated that the use of such vehicles would be key in tackling air pollution and he put forward amendments to paragraph 21 of the report regarding the service specification for the new contract.

Business Improvement District for York City Centre

Cllr Craghill spoke as a Guildhall Ward Member, to support the general principle of the Business Improvement District (BID). However, with a wide range of stakeholders on the BID Board she raised concern that this did not include a local Ward representative and requested further consideration be given to this at the Board's Annual General Meeting.

Inquiry into the Flooding in York over the Christmas period

Gwen Swinburn spoke to raise her concerns at the addition of this late report, using the urgency provisions.

100. Forward Plan

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

In answer to questions raised, it was confirmed that the Community Stadium Lead Members Group would continue to meet as work progressed and that the March Executive meeting had been brought forward to 17 March to ensure that any recommendations relating to the Stadium could be considered at Council on 24 March 2016.

101. Additional Primary School Places for Southbank

Members considered a report which set out in detail the options for providing additional primary school places in the Southbank area of the city, following a consistent rise in demand and trends in the area.

The Executive Member referred to the recent public meeting called by Ward Members to discuss the options for providing the additional school places. In order to take account of the issues raised at the meeting she moved deferral of the report to the Committee's February meeting and it was

Resolved: That consideration of the options for providing additional primary school place in the Southbank area of York be deferred until the Committee's next meeting on 11 February 2016. ¹.

Reason: To allow for full consideration of residents comments following the recent public meeting .

Action Required

1. Defer to 11 February Executive Meeting.

JP

102. Children's Services Education and Skills Transport Contract (Taxis and Minibuses)

Consideration was given to a report on the current Children's Services Education and Skills (CSES) directorate contract for taxis and minibuses which was due to expire on 31 August 2016.

It was noted that the contract currently provided all taxi and mini-bus customer requirements which included mainstream and Special Education Needs home to school transport, contact visits and other ad hoc children's transport requirements.

In view of the success of the current contract and lessons learnt a four year contract was now proposed with a reduction in the procurement lots to three:

- Lot 1 – Applefields & Hob Moor Oaks
- Lot 2 – Contact Service
- Lot 3 – All other CSES Transport

Consideration was given to a request to amend paragraph 21, in the report, to relate to the use of ultra low emission vehicles (with a tailpipe CO₂ emission of 75g/km or less) together with the option to extend the contract for a further 3 years by which time all vehicles would be required to comply with this requirement.

Officers confirmed that if Members felt that environmental impact was an important criteria that this was a technical issue which should be brought to the attention of the procurement team.

Following further discussion it was

Resolved: That Executive agree to:

- (i) Commence the process to procure a new transport provider(s); ^{1.}
- (ii) Consider a further paper at a later date to consider changes to the Children's Services, Education and Skills transport policy. ^{2.}

Reason: To ensure that contract(s) are in place to provide the required services (as set out in paragraph 2 of the report) from the 1 September 2016.

Action Required

- | | |
|---|----|
| 1. Commence procurement. | ME |
| 2. Add report to consider transport policy changes to Council's Forward Plan. | ME |

103. Business Improvement District for York City Centre

The Executive considered a report which updated Members on the November 2015 vote, by city centre businesses, in favour of a new Business Improvement District (BID) for York city centre.

It was noted that of around 1,150 businesses within the Guildhall, Micklegate and Fishergate Ward, 76% had voted in favour of the BID, which provided a combined rateable value of 80%. As the billing authority, the Council would collect and transfer funds to the BID company and bill the levy payers annually with any administration costs being capped at £25k.

In response to the request for members of city centre wards to have input into the BID the Executive Member confirmed that the two Council Board representatives would arrange to meet ward members prior to future Board meetings.

The Chair confirmed that, in view of the size of the Board membership consideration may be given to possible modifications at the annual general meeting. Other Members raised concerns at the filling of the two CYC posts by the administration Leaders and raised the importance of accountability, transparency and resident engagement.

Resolved: That Executive agree to:

- (i) Note the draft Memorandum of Understanding (MoU) and Operating Agreement, included in Annex A and give the Assistant Director Governance and ICT the authority to negotiate and agree the final terms with the Business Improvement District (BID) board. ¹.
- (ii) The request from the BID board for a cash flow loan of £50,000 that allows the Business Improvement District to become active as soon as possible. This will be reimbursed to the Council from the BID levy by Summer 2016. ².
- (iii) Cllrs Steward and Aspden representing the Council on the BID board, with Officers attending meetings where appropriate.

- (iv) That Officers work with the Business Improvement District to arrange a mechanism to ensure that members from the city centre wards are able to have an input into the BID. ^{3.}

Reason: To support the successful implementation of the Business Improvement District in York.

Action Required

- 1. Negotiate and agree final terms of MoU for the provision of services with the BID Board. AD
- 2. Provide cash flow loan as agreed. PW
- 3. Implement CYC representation on Board and a mechanism for city centre ward members to input into the work of the BID. PW

104. Urgent Item: Inquiry into the Flooding in York over the Christmas period

Consideration was given to a report, which had been added to the agenda as an urgent item in order to allow the full Executive to consider proposals for an inquiry into the flooding in York over the Christmas period 2015.

As it was important that the public received a clear and early statement as to how the Council would take a lead in this matter, Group Leaders had recommended the setting up of an Independent Inquiry. Draft terms of reference and a role description for the appointment of a Chair had been prepared at Annexes A and B of the report.

In answer to earlier questions Executive Members confirmed that the Group Leaders had agreed that the Chairs appointment would be undertaken by the four Group Leaders. A report would be submitted to the Staffing Matters and Urgency Committee setting out details of the process for the selection of the Chair and Panel Members. Also in view of interest in the Inquiry it was suggested that the terms of reference be brought back to the next Executive meeting.

The Chair asked for a record to be made of his appreciation and thanks to all volunteers and staff for their hard work and support during the recent flooding in the city.

Resolved: That the Executive agree to:

- (i) Confirm the decision to hold an inquiry; ¹.
- (ii) The Chief Executive, in consultation with the Inquiry Chair, being delegated the power to make minor amendments to the draft terms of reference subject to the terms being brought back to the Executive on 11 February for final approval. ².

Reason: To allow appropriate lessons to be learned to inform future planning.

Action Required

- 1. Proceed with arrangements for independent inquiry. AD
- 2. Amend draft terms of reference as felt necessary and submit to the next Executive meeting for approval. AD, JP

Cllr C.Steward, Chair

[The meeting started at 5.30 pm and finished at 6.20 pm].

This page is intentionally left blank

Forward Plan: Executive Meeting: 11 February 2016

Table 1: Items scheduled on the Forward Plan for the Executive Meeting on 17 March 2016

Title and Description	Author	Portfolio Holder
<p>Rail North Ltd and Association of Rail North Partner Authorities Purpose of Report: To set out the proposed governance arrangements for Rail North Ltd and the Association of Rail North Partner Authorities.</p> <p>Members are asked to approve the finalised governance details which have been consulted on over the summer of 2015.</p>	Neil Ferris	Executive Member for Transport and Planning
<p>Community Stadium Purpose of Report: Prior to a recommendation to Council in December, this report presents the finalisation of the delivery of the Community Stadium and Leisure facilities contract.</p> <p>Members are asked to;</p> <ol style="list-style-type: none"> 1. Provide authority to award the contract for the design, build, operation and maintenance of the facilities. 2. Agree the financial costs for the delivery of the contract. 3. Any other appropriate decisions relating to the effective delivery of the project. 	Tim Atkins	Executive Member for Culture, Leisure & Tourism
<p>The York Children and Young Persons' Fund Purpose of Report: The report proposes the establishment of a philanthropic fund for the benefit of children and young people in York.</p> <p>Members will be asked to transfer some existing trust funds in order to form the basis of a new fund.</p>	Sally Burns	Executive Member for Economic Development and Community Engagement (Deputy Leader)

Title and Description	Author	Portfolio Holder
<p>One Planet York - Towards a more resource efficient and resilient Council and City</p> <p>Purpose of Report: The report recommends adoption of a proposed 'One Planet York' framework designed to 'put sustainability at the heart of everything we do' and drive delivery towards a more resource efficient and resilient Council and City. The co-designed framework aims to activate a wider set of City Stakeholders towards York's economic, social and environmental goals.</p> <p>The Executive is asked to consider the officer recommendations and agree a way forward.</p>	<p>Jacquie Warren/Paul McCabe</p>	<p>Executive Member for Environment</p>
<p>Proposed Operating Model for Prevention and Early Intervention Services</p> <p>York has well established early help arrangements for children, young people and families. These are based on the early identification of emerging needs/vulnerabilities and addressing these needs in order to achieve better outcomes for families and reduce the need for high cost interventions at a later point.</p> <p>Purpose of Report: This paper is proposing a new operating model for prevention and early intervention which is more effective and efficient than current arrangements. The proposed operating model is based on remodelling existing universal and preventative services for children, young people families into multi-agency hubs. The location and composition of these hubs will be based on areas identified and will work together to provide city wide early help arrangements for families across the authority.</p>	<p>Angela Crossland/Niall McVicar</p>	<p>Executive Member for Education, Children and Young People</p>

Title and Description	Author	Portfolio Holder
<p>As well as delivering a new set of early help arrangements the model will be flexible and sustainable against the changing resource base of the council and partners and assist in achieving efficiencies for the council into 2019/20.</p> <p>Members will be asked to approve a new place-based operating model for prevention and early intervention services which amalgamate current services at a universal and prevention level for those aged pre-birth to 19 years (up to 25). The implementation of this model will achieve the agreed level of savings required from the services within scope.</p>		
<p>Inquiry into the Flooding in York over the Christmas Period At their meeting on 28 January, the Executive considered an urgent Item on an Inquiry Into the Flooding In York Over the Christmas Period. At that meeting Members resolved:</p> <p>(i) to confirm the decision to hold an inquiry; (ii) that the Chief Executive, in consultation with the Inquiry Chair, being delegated the power to make minor amendments to the draft terms of reference subject to the terms being brought back to the Executive on 11 February for final approval. Reason: To allow appropriate lessons to be learned to inform future planning.</p> <p>At the Executive meeting on 11 February, Members will be asked to approve the draft terms of reference for a review of the floods in York over the Christmas period 2015.</p> <p>In view of the timescales for the appointment of a Chair, it will not now be possible to consider the Terms of Reference until the March meeting.</p>	Andy Docherty	Executive Leader, Finance and Performance

Table 2: Items scheduled on the Forward Plan for the Executive Meeting on 28 April 2016

Title and Description	Author	Portfolio Holder
<p>Housing Related Support – The Future</p> <p>Purpose of Report: To present a report that informs the Executive on a new model for delivering Housing Related Support Services in York.</p> <p>Executive are asked to agree to adopting and implementing a new model of delivering Housing Related Support Services to residents of York and ensure continuation of Housing Related Support programme.</p>	<p>Gary Brittain</p>	<p>Executive Member for Adult Social Care and Health</p>

Table 3: Items slipped on the Forward Plan

Title & Description	Author	Portfolio Holder	Original Date	Revised Date	Reason for Slippage
<p>Southbank School Place Planning Purpose of Report: This paper presents the options available for the provision of additional primary school places in the Southbank area of York. Pupil place planning projections show that an additional form of entry (30 places) is required in Reception by September 2017 in the Southbank area. By 2018/19, as the larger cohorts begin to move through primary year groups, around 110 places will be required across Reception to Year 6. It is anticipated that a full 210 additional places will be required by around 22/23.</p> <p>Members will be asked to consider and approve the preferred option for the addition of school places in Southbank.</p>	Maxine Squire/ Claire McCormick	Executive Member for Education, Children and Young People	28 Jan 16	11 Feb 16	In order to allow full consideration of residents' comments following the recent public meeting.

Title & Description	Author	Portfolio Holder	Original Date	Revised Date	Reason for Slippage
<p>Community Stadium Purpose of Report: Prior to a recommendation to Council in December, this report presents the finalisation of the delivery of the Community Stadium and Leisure facilities contract. Members are asked to;</p> <ol style="list-style-type: none"> 1. Provide authority to award the contract for the design, build, operation and maintenance of the facilities. 2. Agree the financial costs for the delivery of the contract. 3. Any other appropriate decisions relating to the effective delivery of the project. 	Tim Atkins	Executive Member for Culture, Leisure & Tourism	26 Nov 15	17 Mar 16	Further preparation/analysis is required before an update is provided to Executive Members.
<p>Rail North Ltd and Association of Rail North Partner Authorities Purpose of Report: To set out the proposed governance arrangements for Rail North Ltd and the Association of Rail North Partner Authorities.</p> <p>Members are asked to approve the finalised governance details which have been consulted on over the summer of 2015</p>	Neil Ferris	Executive Member for Transport and Planning	11 Feb 16	17 Mar 16	There has been a delay in the receipt of the proposed Constitution which will need to be considered by legal before the above report can be considered by Members.

Title & Description	Author	Portfolio Holder	Original Date	Revised Date	Reason for Slippage
<p>Private Sector Housing Strategy</p> <p>Purpose of Report: This strategy sets out how the council and its partners will work to help improve the condition and management of owner occupied and privately rented homes in York.</p> <p>Members are asked to approve the strategy and the supporting action plan.</p>	Ruth Abbott	Executive Member for Housing and Safer Neighbourhoods	31 Mar 16	30 Jun 16 (This item was called in for pre-decision scrutiny and will be considered by CSMC on 7 March)	Due to delays in receiving the refreshed evidence base, this report will now be considered by the Executive on 30 June 2016. This will give time to assimilate the findings, refresh the strategy with help of the steering group, and undertake consultation.
<p>Delivery of Community Facilities at the Burnholme Health & Wellbeing Campus</p> <p>Purpose of Report: To consider the new community facilities at the Burnholme Health and Wellbeing campus following on from examination of the future of this school site by Executive in October 2015.</p> <p>Executive are asked to consider the investment in the new community facilities.</p>	Roy Wallington	Executive Member for Adult Social Care and Health	11 Feb 16	19 May 16	Officers will continue to progress Department of Education approval for change of use of the Burnholme Community College site but until this consent is in train/approved it is

Title & Description	Author	Portfolio Holder	Original Date	Revised Date	Reason for Slippage
					not thought prudent to progress with consent to move forward with the delivery of community facilities at Burnholme.
<p>Treasury Management Annual Report & Review of Prudential Indicators 2015/16 Purpose of Report: To provide the annual treasury management review of activities and the actual prudential and treasury indicators.</p> <p>Members are asked to note the issues and approve any adjustments as required to the prudential indicators or strategy.</p>	Debbie Mitchell	Executive Leader, Finance & Performance	11 Feb 16	14 Jul 16	Due to an administrative inputting error this item should be considered by Executive on 14 July 2016
<p>Inquiry into the Flooding in York over the Christmas Period At their meeting on 28 January, the Executive considered an urgent Item on an Inquiry Into the Flooding In York Over the Christmas Period. At that meeting Members resolved:</p>	Andy Docherty	Executive Leader, Finance and Performance	11 Feb 16	17 Mar 16	In view of the timescales for the appointment of a Chair, it will not now be possible to consider the Terms of Reference until the March meeting.

Title & Description	Author	Portfolio Holder	Original Date	Revised Date	Reason for Slippage
<p>(i) to confirm the decision to hold an inquiry; (ii) that the Chief Executive, in consultation with the Inquiry Chair, being delegated the power to make minor amendments to the draft terms of reference subject to the terms being brought back to the Executive on 11 February for final approval. Reason: To allow appropriate lessons to be learned to inform future planning.</p> <p>At the Executive meeting on 11 February, Members will be asked to approve the draft terms of reference for a review of the floods in York over the Christmas period 2015.</p>					

This page is intentionally left blank



Executive**11 February 2016**

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

Additional Primary School Places for Southbank**Summary**

1. This paper considers the options for providing additional primary school places in the Southbank area of York.
2. A consistent rise in demand, alongside pressures and trends in the Southbank area, has led to the need to create additional primary school places.

Recommendation

3.
 - a. to agree to further public consultation on the options for the provision of school places in the Southbank area lasting four weeks
 - b. for the purposes of that consultation identify option (b) as the council's current preferred option
 - c. to ask the Director of Children's Services, Education and Skills to bring a report to a future meeting of the Executive describing the outcome of that consultation and making a recommendation for a proposal to be subject to statutory consultation

Reason: This will fulfil the LA's legal obligation to ensure there is appropriate consultation that allows for the most effective solution to be identified.

Background

4. A consistent rise in demand, alongside pressures and trends in the Southbank area has led to the need to create additional primary school places.

5. LA projections indicate that an additional 21 reception places are required by September 2017 in the Southbank area. Additional places will be required year-on-year, as larger cohorts begin to move through primary year groups. It is anticipated that between 100 and 160 additional places will be required by 2022/23 academic year. The Office of National Statistics' (ONS) projected births for the city indicate that the reception cohort will continue to grow beyond this point until around 2025.

Consultation

6. The Southbank cluster of schools support this recommended option which has been produced following consultation with the cluster schools and with the Scarcroft governing body. Following these discussions Scarcroft and Millthorpe school governing bodies have also agreed the proposed recommendation in principle. Ward members have been consulted on a range of options over a period of time. The ward members have recently held a well attended ward committee to consult on this issue.

Options

7.
 - (a) provide no additional places in the Southbank area
 - (b) build accommodation for 210 (1 form entry each year) additional places, as an annex to Scarcroft Primary on the Millthorpe School site
 - (c) build a 210 (1 form entry) place primary school on the former Terry's Car Park site at Nun Ings
 - (d) build a 315 (1.5 form entry) place school on land behind The Grove and The Square off Tadcaster Road
 - (e) build a 630 (3 form entry) place school at either Bishopthorpe Infant or Archbishop of York CE Junior school sites

Analysis

(a) Provide no additional places in the Southbank area

8. The area is currently served by Scarcroft and Knavesmire primary schools. The demand for pupil places can no longer be contained within the existing primary schools in the Southbank area for the following reasons:

- an expansion project to provide additional places recently took place at Knavesmire Primary. Following this expansion, it is no longer possible to expand Knavesmire Primary as there is not enough playing space on the site to accommodate additional numbers
 - as a grade 2* listed building, Scarcroft Primary has very limited playing space and no playing field. It would also be very difficult to build enough additional classrooms at this site, which again is compounded by a lack of outdoor playing space
 - if no additional places were to be provided, transport would have to be arranged for pupils living in the Southbank area to the next nearest schools that have spaces. At present there are only a limited number of places in other local schools whilst those schools with any significant capacity are in other parts of the city but some distance away from Southbank
 - transport costs would be significant having to bus pupils to other parts of the city. Any transport costs would have to be met out of the authority's revenue budgets. Estimated costs are expected to be in the range of 100k-150k per year
9. Therefore, in order to resolve the growing issues in this area, to do nothing is not an option.

(b) Build accommodation for 210 (1fe) additional places, as an annex to Scarcroft Primary on the Millthorpe School site

10. This option is the recommended option for the following reasons:
- the position of the new building would be at the Nunthorpe Avenue side of the Millthorpe School site in an area not currently identified as playing field. See Annex A
 - the proposed annex of Scarcroft Primary School would provide 210 additional pupil places, future proofing provision against increasing demand over the next ten years and beyond. Scarcroft Primary currently has an admission number of 45. An additional 30 places will increase Scarcroft's admission number from 45 to 75
 - the current estimate for the capital outlay suggests approximately £5.3m for a traditional contractual building method, rising to £6.2m for a modular build. There would be no capital receipts gained from this option. The projected costs

incorporate an estimate for the completion of the entire project, including fees, surveys, fixed furniture & equipment (ff&e), abnormal, exclusions and contingencies

- it is aimed to provide this new building for 1 September 2018. For the school year beginning 1 September 2017, additional pupil places would be accommodated within Scarcroft Primary in larger mixed year groups on a temporary basis
- there are a number of advantages in developing the annex on the Millthorpe School site. As the favoured option by the school cluster, the location of the new building would immediately be integrated within the existing school community. It is likely that the older age groups would be based at the Millthorpe site, therefore it is anticipated there could be strong parental support for this option as pupils would gain a familiarity and ease with regards to their transition from primary to secondary schools. The building will also create some flexible space to accommodate the anticipated increase in pupil numbers into the future, if required
- with no land purchase costs, this is seen as the best location to meet the demand for additional places in the Southbank area and there would therefore be no catchment changes required. There may be some issues throughout the planning process with regards to the availability of playing field space, highways infrastructure, travel planning, site access during the construction period and impacts on local residents, but it is felt that these problems can be overcome
- at present, Millthorpe School, Scarcroft Primary and Knavesmire Primary are considering converting to academy status and forming a Multi Academy Trust (MAT). If the conversion takes place the Millthorpe site which is currently owned by the council will be leased on a 125 year lease. Under the terms of this lease, the LA would need permission to build on the Millthorpe site. However, as the schools are currently in agreement with the recommended option, and the new building will be providing additional pupil places, it is expected that the schools will continue to agree to the recommendation for the provision of additional pupil places as described

(c) Build a 210 (1fe) place school on the former Terry's Car Park site at Nun Ings

11. This proposal was for a 2 storey 1fe (210 places) primary school plus an 80 place nursery (age ranges as described in option A) and a multi use games area. This option was rejected for the following reasons:

- as a traditional contractual building scheme, the estimate for capital outlay suggested £7.4m would have been required, which included an estimate to purchase land. This estimate rose to £8.3m for a modular build. The cost per pupil place would be very high at £35,238 for a traditional build and £39,523 for a modular build
- currently the land is owned by Henry Boot Ltd, therefore there would be no capital receipts gained from this option
- CYC Asset Property Management contacted Henry Boot Ltd with regards to the LA's interest in purchasing a section of land. On 16 November the agents of Henry Boot Ltd responded as follows:

'The car park site is not an option my clients wish to explore due to proposed overspill car parking spaces for the uses we have agreed terms with on the Chocolate Works. We can look at the 20 acres of greenbelt land located adjacent in Henry Boot's control. However this will be long term in getting any consent and I believe you are under certain time constraints.'

- further correspondence was received on 27 November that intimated that Henry Boot Ltd might be willing to allow greenbelt land to be sold. However, due to the timescales for the provision of additional pupil places, the length of time and complexity involved in land negotiations and following advice received from Asset Property Management, it has been decided not to pursue the option of purchasing land from Henry Boot Ltd any further
- part of this site is within both flood zones 2 and 3 which would have needed careful consideration throughout part of the planning process

(d) Build a 315 (1.5fe) place school on land behind The Grove and The Square off Tadcaster Road

12. This proposal was to build a 2 storey 1.5fe (315 places) primary school together with an 80 place nursery on land directly adjacent to The Grove and The Square off Tadcaster Road and has been rejected for the following reasons:
- the Wilberforce Trust, who own the land, informed the LA that they were not wanting to sell this land at present
 - the location was not suitable as the site is some distance from the Southbank area
 - there would be significant additional cost because the requirement of having to purchase the land

(e) Build a 630 (3fe) place school at either Bishopthorpe Infant or Archbishop of York CE Junior school sites

13. This proposal was for a 2 storey 3fe (630 places) primary school plus an 80 place nursery and a multi use games area. This option has been rejected for the following reasons:
- this was not an ideal option as the location is further from the Southbank area and would have only provided a partial solution for the need for additional primary places
 - there would also have been other complications such as the need to consider changing the catchment area and flooding issues across the Bishopthorpe village area

Council Plan

14. This proposal links to the following key council corporate priorities:
- a prosperous city for all - the LA wants to ensure that there is a good quality of education available for all around the city
 - a focus on a frontline service - this proposal links directly to the CSES objective that all children should be able to go to local schools that are good or outstanding
 - a council that listens to its residents - the LA has listened to the needs of the school cluster by focussing on the needs of the local school and the local residents to provide enough pupil places in a popular area of the city

Implications

Financial

15. The main capital funding for pupil place expansion is the Department for Education Basic Need grant. At present, allocations have been confirmed up to, and including, 2017/18, totalling £37.75m, of which £13.4m has been spent, or is committed to ongoing schemes.
16. Initial high level planning had allocated a further £24.35m for schemes to alleviate place pressures across the city which will include this scheme.
17. As of November 2015, around £400,000 of Section 106 has been ear marked for the scheme. £21,000 of this has been received by the council, the remainder relates to outstanding payments for the Terry's site. Additional Section 106 may come forward for this area.

Equalities

18. A CIA/EIA is included with this report as Annex B.

Property

19. Please refer to the recommended option for comments.

Legal

20. The council has powers under the Education and Inspections Act 2006 to propose such a significant enlargement of a maintained school. In making such proposals the council should have referred to guidance issued by the Secretary of State which includes as strong expectation of consultation with interested parties prior to the publication of a proposal which will be subject to statutory consultation processes. Consultation on a preferred option is a proper approach so long as the Executive maintains a willingness to contemplate other options.

Other Implications

21. There are no specific Human Resources (HR), Crime and Disorder or Information Technology implications arising from this report.

Risk Management

22. As paragraphs 4 and 5 indicate, the need for school places in this area of the city is already significant and will continue to grow. To not add any places would result in pupils not being able to access their local school, additional transport costs will be incurred, reputational risk to the LA and failing in a key statutory duty not to provide sufficient school places.

Contact Details

Author:

Claire McCormick
Planning & Policy Officer
School Services, Children's
Services, Education and Skills
Tel No. 554334

Chief Officer Responsible for the report:

Jon Stonehouse
Director of Children's Services,
Education and Skills

Report **Date** 03.02.16
Approved

Specialist Implications Officer(s)

Financial – Mike Barugh, Principal Accountant, 01904 554573
Legal – Andy Docherty, Assistant Director of Governance and ICT,
01904 551127
Property: Ian Asher, Head of Commissioning and Design, 01904
553379 & Phillip Callow, Head of Asset & Property Management,
01904 553360

Wards Affected: Micklegate Ward

All

For further information please contact the author of the report

Background Papers

None

Annexes

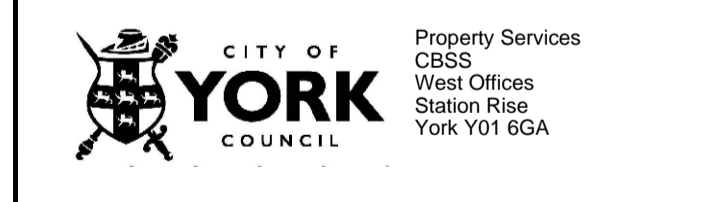
Annex A – Millthorpe Site Plan
Annex B – CIA

All dimensions must be checked on site and not scaled from this drawing
 RESIDUAL DESIGN RISKS- CDM REGS ARE IDENTIFIED WITH THIS SYMBOL
 SEE DESIGN RISK SHEET OR LAYOUT

REVISION NOTES



Rev	Date	Revision	By
A	Dec'15	Building footprint amended, nursery omitted	AT



Contact:
 Tel No:
 FAX No:
 Email:

Job Title
SOUTH BANK PRIMARY
MILLTHORPE SCHOOL SITE
SITE PLAN AS PROPOSED

Drawn AT	Checked	Authorised
Date Dec 2015	Scale@A1 1/500	

Issue Status:
Feasibility

Drawing Number 140169/PA3	Revision A
------------------------------	----------------------

This page is intentionally left blank

SECTION 1: CIA SUMMARY
Community Impact Assessment: Summary
1. Name of service, policy, function or criteria being assessed:

Additional Primary School Places for South Bank.

2. What are the main objectives or aims of the service/policy/function/criteria?

To build a 210 place primary school building as an annex to Scarcroft Primary on the Millthorpe School site. A consistent rise in demand, alongside pressures and trends in the South Bank area has led to the need to create additional primary school places. The additional places will fulfil the Local Authority's legal obligation to ensure there are enough school places in the South Bank area to meet the rise in local demand.

3. Name and Job Title of person completing assessment:

Claire McCormick – Policy and Planning Officer

4. Have any impacts been identified? (Yes/No)

Yes

Community of Identity affected:

Age, Race, Disability, Carers of older and disabled people, Pregnancy and Maternity.

Summary of impact:

Positive: Improved educational and sporting facilities for the community.

5. Date CIA completed: 5th January 2016

6. Signed off by:

Mark A Ellis

7. I am satisfied that this service/policy/function has been successfully impact assessed.

Name:

Position:

Date:

8. Decision-making body:

Executive Meeting

Date:

28 January 2016

Decision Details:

Recommendation to seek approval for the estimated expenditure of £6.2m from the School's Basic Need Capital

		budget for a new 210 place primary school building at Millthorpe School site.
--	--	---

Send the completed signed off document to ciasubmission@york.gov.uk It will be published on the intranet, as well as on the council website.

Actions arising from the Assessments will be logged on Verto and progress updates will be required

Community Impact Assessment (CIA)

Community Impact Assessment Title:
Additional Primary School Places for South Bank

What evidence is available to suggest that the proposed service, policy, function or criteria could have a negative (N), positive (P) or no (None) effect on quality of life outcomes? (Refer to guidance for further details)

Can negative impacts be justified? **For example: improving community cohesion; complying with other legislation or enforcement duties; taking positive action to address imbalances or under-representation; needing to target a particular community or group e.g. older people.** NB. Lack of financial resources alone is NOT justification!

Community of Identity: Age

Evidence	Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)	
Pupils and staff – improved and expanded educational facilities	Education	P	P	
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date
Will increase choice and improve educational outcomes.		Additional places will enable more children from the community to access		

		local high quality education.		
--	--	-------------------------------	--	--

Community of Identity: Carers of Older or Disabled People				
--	--	--	--	--

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
			None	None
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Disability				
--	--	--	--	--

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
New educational facilities will comply with appropriate access legislation.		Access to services	P	P
Details of Impact	<i>Can negative impacts be</i>	Reason/Action	Lead Officer	Completion Date

	<i>justified?</i>			
Improves access for disabled pupils, staff and visitors.				

Community of Identity: Gender				
Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
			None	None
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Gender Reassignment				
Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)

			None	None
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Marriage & Civil Partnership

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
			None	None
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Pregnancy / Maternity

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
-----------------	--	-----------------------------------	---------------------------------------	------------------------------------

Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Race

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
			None	None
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Religion / Spirituality / Belief

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
			None	None
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Sexual Orientation

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
			None	None
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date



Executive**11 February 2016**

Report from the Corporate & Scrutiny Management
Policy & Scrutiny Committee

E-Democracy Scrutiny Review – Cover Report**Summary**

1. This report presents the final report of the E-Democracy Scrutiny Review (see Appendix 1) and asks Executive to approve the review recommendations.

Background

2. At a meeting in July 2015 the Corporate & Scrutiny Management Policy & Scrutiny Committee (CSMC) considered a scrutiny topic proposal on the expansion of local democracy using digital means. CSMC agreed this was a topic worthy of review and appointed a Task Group to carry out this work on their behalf.
3. The Committee subsequently agreed the following aims and objectives:

Review Aim:

‘To identify the potential for improving public engagement and take up of services through digital means and the Councils ability to respond.’

Objectives:

- i. To understand City of York Council’s (CYC) current position in regard to online services, its current digital infrastructure and the resources required to enable it to function
- ii. To examine best practice by other Local Authorities and at parliamentary level
- iii. To establish CYC’s potential for development and the additional resources it would require

iv. Identify the priorities for action in the short and longer term

4. At a Task Group meeting in December 2015 it was suggested that interim recommendations might be made to the Executive to be fed into their discussions around the implementation of the new Customer Relationship Management system at their meeting in February 2016.
5. At a meeting of CSMC on 11 January 2016, Task Group members asked the Committee to consider their interim report to be the final report as they considered the recommendations to be timely and appropriate, ahead of the Executive meeting, and the recommendations would no longer be pertinent once that meeting had taken place. They also believed that additional work would be unlikely to produce further recommendations of sufficient value.
6. At the meeting in January 2016 CSMC agreed and endorsed the recommendations in paragraph 9, below.

Consultation

7. As part of the review the Task Group was aware of the need to gather residents' views on their engagement with the Council and carried out an online survey as well as a survey of residents attending Ward Committees.

Analysis

8. Over a number of meetings the Task Group gathered evidence in support of the review. The final report at Appendix 1 and its associated annexes includes a full analysis of the information gathered and the recommendations endorsed by CSMC.

Review Recommendations

9. Having considered the evidence gathered by the Task Group, CSMC endorsed the following recommendations:
 - i. To make the delivery of online services a priority to enable ease of access for residents and lead to potential efficiency savings within the Council
 - ii. Identify any potential reasons which would lead to the poor take up of My Account by York residents as these could present a risk to the successful rolling out of the new system;

- iii. Carry out market research and public consultation during the My Account design process similar to that carried out for the website redesign;
- iv. Make My Account training sessions available for Members so they fully understand the features and utilisation of the system and are able to pass on this knowledge to residents;
- v. Implement a comprehensive online video tutorial outlining the key functionality of the My Account system;
- vi. Explore the strong integration of My Account so individuals can be “tagged” as a result of issue-based contact with CYC so they can then be signposted to the relevant decision session/committee with which they might have an interest.
- vii. Explore hyperlinking agenda items on CYC’s YouTube channel and the possibility of rolling this out to all webcast uploads for ease of access.

Options

10. Having considered the final report at Appendix 1 and its associated annexes, Executive may choose to amend and/or approve, or reject the recommendations arising from the review as set out in paragraph 9 of this report

Council Plan

11. This report is linked to the Focus on Frontline Services, A Council That Listens to Residents and a Prosperous City For All elements of the Council Plan 2015-19.

Recommendations

12. Having considered the final report and its annexes, Executive is recommended to:
 - i. Approve the recommendations shown in paragraphs 9 above.

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

Contact Details

Author:

Steve Entwistle

Scrutiny Officer

Tel: 01904 554279

steven.entwistle@york.gov.uk

Chief Officer Responsible for the report:

Andrew Docherty

Assistant Director Governance and ICT

Tel: 01904 551004

Report Approved **Date** 20/01/2016

Wards Affected:

All

For further information please contact the author of the report

Appendix

Appendix 1 – E-Democracy Scrutiny Review Final Report



Corporate & Scrutiny Management Policy & Scrutiny Committee

11 January 2016

Report of the E-Democracy Scrutiny Review Task Group

E-Democracy Scrutiny Review Task Group – Final Report**Summary**

1. This report presents the findings of the agreed scrutiny review of E-Democracy, being undertaken by a Task Group from this Committee, and asks the Committee to consider making recommendations to the Executive to help their discussions around the implementation of the new Customer Relationship Management (CRM) system.

Background

2. At a meeting in July 2015 the Corporate & Scrutiny Management Policy & Scrutiny Committee (CSMC) considered a scrutiny topic proposed by James Alexander on the expansion of local democracy using digital means, and received detailed information on e-government transformation.
3. Furthermore the Committee were informed of work being undertaken by the Local Government Association (LGA) and the Department for Communities and Local Government (DCLG) to respond to Budget 2015's request for joint proposals from the sector for extending 'Government's digital ambitions to local public services'. The intention being for HM Treasury, DCLG, LGA and the Government Digital Service to collaborate with partners in local government, as the sector develops a set of proposals that will enable more customer-focused, digitally-enabled and efficient local services in time to inform future budget allocations.
4. Feedback from the Head of Democratic Services confirmed there was room for improvement here in York. She suggested there were technological improvements that could be made e.g. the introduction of online registration to speak at meetings and other improvements that would not require technological solutions e.g. the recent introduction of new rules to enable the free flow of questions to Executive Members from the floor during Council meetings, without the prescription of advance notification.

5. With this in mind, and in view of the authority having to find budget reductions, CSMC confirmed their support for the proposed review, suggesting it should include gaining feedback from residents on their experiences. A Task Group was formed to carry out the review on their behalf and they agreed the following review remit:

Review Aim:

‘To identify the potential for improving public engagement and take up of services through digital means and the Councils ability to respond.’

Objectives:

- i. To understand City of York Council’s (CYC) current position in regard to online services, its current digital infrastructure and the resources required to enable it to function
- ii. To examine best practice by other Local Authorities and at parliamentary level
- iii. To establish CYC’s potential for development and the additional resources it would require
- iv. Identify the priorities for action in the short and longer term

Information Gathered

6. Objective (i) - CYC’s current position in regard to online services, its current digital infrastructure and the resources required to enable it to function

At its first meeting in August 2015, the Task Group received a presentation on CYC’s current infrastructure and available resources, and detailed the progress to date with replacing the Children and Adults systems in order to provide better integration between Children, Adults and Health - see Annex A.

7. The Task Group considered performance information on average wait times in the Customer Centre and call handling for benefits and customer services – see Annex B.
8. Issues around the current CYC website were highlighted e.g. it contained lots of outdated information; long pages containing some irrelevant material; messy search results, cluttered with old downloads; minimal compatibility with different devices and had an old fashioned look and feel.

9. The Task Group received a presentation on the work being undertaken to improve the contents and search facility. They were also advised that the Council was in the process of procuring a new Customer Relationship Management system (CRM), and received a web demonstration from the supplier – see Annex C & D respectively. The Task Group questioned the system's security, and it was confirmed that Service Cloud which would be hosting the site, was highly secure and well tested and used by other Local Authorities, which would offer a service platform across Council functions and result in a joined up customer experience.
10. Information was also provided on the formation of an interim Digital Customer Board, made up of officers from the office of the Chief Executive, ICT and Customer Services, set up to focus on the CRM implementation, rather than the wider programme of digital transformation that would be taken forward through the delivery of the IT strategy. The interim Board had been tasked with ensuring that all associated work was properly scoped with initial plans and timescales, ready for when a formal Programme Board was established to deliver the digital agenda.
11. Objective (ii) – Best Practice by other Local Authorities
As part of the presentation (shown at Annex A) a number of examples Local Authorities exhibiting best practice were provided. These included:
 - Brighton & Hove City Council
 - Bristol City Council
 - Manchester City Council
 - Edinburgh City Council
 - London Borough of Camden Council
 - Oldham Metropolitan Borough Council
12. As Edinburgh Council uses the same CRM system, the Task Group looked at Edinburgh's website, in particular at what their customers can do electronically e.g. set up a Direct Debit (something as yet not possible in York) and set up a 'My Account' function which allows its customers to securely access a range of council services including:
 - Access and manage their account wherever they are, whenever they need to
 - Use their online services to contact the authority quickly and simply - no need to visit or call
 - View Council Tax details, set up a direct debit, make payments, apply for discounts and amend address details online
 - Make a Housing Benefit or free school meals application and complete a change of circumstances online

- Tenants can view rent statements and make payments
 - Report problems such as graffiti, fly tipping, rubbish and litter and pollution etc, and receive notification as soon as they are fixed
 - Book appointments to register a birth, death, marriage, civil partnership and book weddings and other ceremonies.
13. Additional information was provided on the security measures required to ensure personal data remained secure i.e. the different levels of verification required for different packages of services.

Analysis

14. In regard to the performance data provided (see paragraph 7 above and Annex B) the Task Group were surprised that contact services handled only 33% of the calls in to CYC, and agreed that this needed addressing. They were pleased to note that the introduction of more flexible technology would encourage a move towards a more flexible workforce and improved access for residents.
15. Having considered the information on CYC's new CRM system, the Task Group were pleased to note it would:
- Provide improved self service with more transactional options;
 - Allow customers to track their transactions;
 - Provide a reporting tool for neighbourhood problems such as graffiti, dog fouling, potholes and street lighting faults;
 - Signpost services.
16. They queried how best to:
- Promote the forthcoming improvements across the city;
 - Encourage Councillors to use it.
 - Encourage the uptake of 'My Account' by residents
 - Use demand management to meet resident's expectations.
17. In regard to best practice, the Task Group noted that the LA's listed above in paragraph 11 were generating 50% of their requests for street based services via self service, providing improved signposting to partner organisations, and optimising the engagement of minority client groups. The Task Group were therefore keen to explore the opportunities for improving customer interaction in York.

18. They also questioned the possibility of introducing a Geographic Information System (GIS)/Local View maps including details of traffic restrictions etc to inform residents of issues in their locality.
19. The Task Group noted that whilst the implementation of the new CRM system and further/wider digitalisation would provide a means of easier, efficient and effective interaction with the council in an open way, it would not guarantee/improve resident participation in Council decision making.
20. In considering how best to make the city's democratic processes more open and transparent, the Task Group considered the introduction of webinars, interactive Q & A sessions, and public participation via Skype etc. They were pleased to note the new CRM system would enable web chats and provide 'Quick step' templates together with service related text to assist operators.
21. The Task Group suggested it would be helpful to gather residents' views on their engagement with the Council, accessing CYC services online and the new CYC website, to inform the ongoing implementation process for the new CRM system. In order for those views to feed into the process and aware of the limited time available, the Task Group agreed to initiate an online survey and to survey residents attending a round of Ward Committee meetings throughout October 2015. The initial response to the survey was poor and inconclusive so it was agreed to keep both the online and paper surveys open until 20 January 2016.
22. The Task Group also queried whether changes to the website had encouraged greater usage of the Council website. They therefore requested figures for before the launch of the new website to provide a baseline of information, and figures for following the launch.
23. Finally, the Task Group expressed concern at the apparent low number of residents viewing Council webcasts. There was confusion over the number of people who had watched webcasts of Council meetings in the past five months, so it was agreed that webcast statistics be provided.

Additional Information Gathered

24. Survey Results

To increase take-up of the survey a paper based survey was made available in the CYC customer centre and contact was made with residents who had registered with the Council's online billing service. These combined efforts resulted in 572 people taking part in the survey and details of the findings are at Annex E. The survey indicated that

people do interact with the council online and by a variety of methods such as PCs, tablets and mobile phones. Online services were most used to look for information and advice (87.7%) followed by paying for services (59.3%). A total of 507 respondents (99.6%) said it was important to continue to be able to access services online and 496 respondents (90.3%) said it would be helpful to be able to track requests, reports and payments via the website.

25. Website Usage

In gathering the website usage data it became apparent that it would be difficult to compare figures for 'January to December 2014' with 'January to December 2015', as neither of the sites were live for the entirety of those periods.

26. Therefore in order to gain a comparison, figures were provided for May 27 to September 30 in both years, showing spring and autumn fluctuations (although usage seemed to hover between 8 and 10 thousand sessions per weekday and 4 and 5 thousand sessions per weekend day, throughout the sample. The exception being a spike in July 2014, when 'sessions' on Saturday 5 reached 18.5 thousand) – see Annex F.

27 The figures provided were only for content held in CMS 'Jadu', which were all tagged with a code that makes Google Analytics work. Usage reports were not available for other parts of the site which were outside of Jadu, such as the Council's committee management system 'Modgov'. The Task Group also learnt that the 'site search' on the main website did not automatically cover the documents held in the Council's committee management system.

	Old Site	New site
	27 May to 30 Sept 2014	27 May to 30 Sept 2015
Sessions	1,048,964	645,166
Unique visitors	608,881	369,197
Page views	3,050,946	1,960,069
Pages / Session	2.91	3.04
Avg. Session Duration	00:02:17	00:02:04
Bounce Rate	50.22%	51.25%
% New Sessions	49.64%	54.54%

- The pages viewed figure represents the total number of pages requested from the website. If a visitor visits a page more than once during the same session or in the relevant period, it is re-counted.

- The unique visitor figure represents the number of unique visitors during the relevant period. This means that any visitor who has already been to the site during this period is not counted again.
- The less page views and shorter session duration may be accredited to users getting what they need to know on their first visit, faster, from more concise content which is displayed across fewer pages, following the content review.
- Bounce rate is a metric that indicates the percentage of people who land on a webpage and then leave without clicking to anywhere else on the website, i.e. single-page visitors
- A higher bounce rate could be that (with the exception of the home page) users visited the website, got what they wanted and left, again because since the content review, they didn't need to click any further.

28. The Task Group were made aware that City of York Council also provides month-by-month and day-by-day comparisons of website statistics at: <https://www.york.gov.uk/statistics>. A monthly comparison for 2015 showed:

Month	Pages viewed	Unique visitors
June	1,749,492	80,611
July	1,550,074	85,061
August	1,455,793	93,044
September	1,266,280	90,734
October	1,320,936	91,080

29. Similarly the daily report provided a day-by-day log of the CYC website pages viewed. For example:

Day	Pages viewed
1st Nov 2015	31,531
2nd Nov 2015	41,547
3rd Nov 2015	41,774
4th Nov 2015	68,591
5th Nov 2015	48,821

30. Also that the new CYC website had:

- Fewer, shorter pages, with focused content

- Improved search results and 'keyMatches' in place
- navigation based on top tasks and common-case user journeys, centred around completing tasks (channel shift)
- a new contemporary design (and modern homepage)
- tech-compatibility that is 'responsive' to many different devices and is also more accessible

31. It was confirmed that work had been undertaken to ensure common terms were available in the results list when customers search, with over 550 'KeyMatches' across the Council site that create prompted results which appear in a grey box at the top of the results list, pointing viewers in the right direction - see example below:

The screenshot shows the City of York Council website's search results page. At the top, the City of York Council logo is on the left, and navigation links (YOUR COUNCIL, NEWS CENTRE, WORK WITH US, CONTACT US, ACCESSIBILITY) and an accessibility icon are on the right. Below the navigation is a search bar with the text 'Search here e.g. council tax' and a magnifying glass icon. The search results section is titled 'Search results'. The search query is 'calendar', which is highlighted in a red box and labeled 'customer keyword'. Below the search bar, it says 'Results 1 - 10 of about 32. Search took 0.027785 seconds.' A red box highlights the first result, 'Calendar of council meetings', which is labeled 'promoted link (keymatch)'. The title of the keymatch is also highlighted in a red box and labeled 'title of keymatch'. Below the title, the URL 'http://democracy.york.gov.uk/mgCalendarMonthView.aspx?GL=1&bcr=1' is highlighted in a red box and labeled 'destination of keymatch'. Below the search results, there is a sorting option 'Sort by date or relevance'. The first result is titled 'Electronic Data Calendar | City of York Council' and includes a description: 'City of York Council download - Electronic Data Calendar | Schools and education | School workforce portal | Management Information Service (MIS ...' and a URL: 'https://www.york.gov.uk/downloads/download/424/electronic_data_calendar - 7k'. The second result is titled 'Single number and calendar makes using Children's Centres ...' and includes a description: 'How can we help you today? Search this site Search this site. Single number and calendar makes using Children's'.

32. To compare York with other local authorities the Task Group felt it would be useful to consider the website usage figures of other Councils and the Task Group Chair suggested Members visit the social media site "Better Connected" <https://betterconnected.socitm.net/councils> which rates Councils on how good their Websites are. City of York Council is a SOCITM Insight member.

33. From results based on reviews done by Better Connected from October 2014 to February 2015 it is possible to compare York to the local authorities mentioned in paragraph 11 as exhibiting best practice and to neighbouring North Yorkshire:

	North Yorks	Manchester City	Leeds	Oldham	Camden	Brighton & Hove	Bristol	York
Population	508,376	503,127	751,485	224,897	220,338	273,369	428,234	198,051
Households	256,594	204,127	320,596	89,703	97,534	121,540	182,747	83,552
Website visits (Dec 2014)	211,303	552,782	499,745	95,897	183,714	266,612	277,324	196,367
Web visits per household	0.82	2.70	1.56	1.07	1.88	2.19	1.52	2.35
Responsive Website	No	Yes	Yes	Yes	No	Yes	No	No
Mobile friendly	Yes	Yes	Yes	Yes	No	Yes	No	No
Schools applications % online	95.4	82.5	78.2	99.6	96.6	93.8	93	90.2
Twitter followers	16.4K	51.5K	36.8K	12.8K	15.1K	28.5K	40.1K	17.9K

34. Edinburgh, which uses the same CRM system, was given a maximum four-star rating (the same rating it achieved in 2011, 2012, 2013 and 2014), was judged to have passed both mobile standard and accessibility. The City of Edinburgh Council website had 450,909 visits in December 2014, an average of 1.98 visits per household, and had a twitter following of 46.8K.

35 Free WiFi

As a priority of the Task Group was to encourage public engagement in online services, it was important for them to understand the infrastructure which had been put in place by City of York Council to ensure residents and visitors have easy access to online resources.

36. They learnt that an important part of the Council's digital strategy is the availability of free WiFi zones in the city. As well as 14 City Connects zones covering the city centre, free WiFi is available in 13 libraries; 11 corporate buildings; 23 community buildings; seven older people's homes. Information on where free WiFi is available is shown in Annex G.

37. Webcast stats

The Task Group received example statistics for October 2015. The figures did not include October views for meetings that were held before October. For example, Area Planning Sub Committee, 11 June 2015 and Health and Adult Social Care Policy and Scrutiny Committee, 21 July 2015 both received 40 views in October.

Live and on Demand views for Meetings Held in October 2015

- Health and Adult Social Care Policy and Scrutiny Committee, 20 October 2015, 5.30pm – **449 views**
- Council Meeting, 8th October 2015, 6.30 pm – **283 views**
- Executive Thursday, 29th October, 2015 5.30 pm – **199 views**
- Area Planning Sub-Committee, 15 October 2015, 4.30pm – **169 views**
- Health and Wellbeing Board, 21 October 2015, 4.30pm – **97 views**
- Make it York Shareholders Group, 5 October 2015, 5.30 pm – **93 views**
- Corporate & Scrutiny Management Policy & Scrutiny Committee (Calling In), 12 October 2015, 5.00pm – **89 views**
- Local Plan Working Group, 19 October 2015, 5.30pm – **71 views**
- Planning Committee, 22 October 2015, 4.30pm – **70 views**
- Decision Session - Leader (incorporating Finance and Performance), 20 October 2015 – **74 views**
- Learning & Culture Policy and Scrutiny Committee, 20 October 2015, 5.30pm – **44 views**
- Decision Session - Executive Member for Housing and Safer Neighbourhoods, 12 October 2015, 11.30am – **48 views**
- Staffing Matters & Urgency Committee 26 October – **36 views**
- Decision Session - Executive Member for Culture, Leisure & Tourism, 23 Oct 2015 – **21 views**

38. Information was also provided on the webcasting highlights for 2015:

- Local and Parliamentary Elections in 2015
- Local election:

- **1,746 views, 1,366 live views and 380 on demand.** Overall watch time was **30,312 minutes**
- Parliamentary election:
- **1,672 views, 1,006 live views and 666 on demand.** Overall watch time was **13,741 minutes**
- These live webcasts were embedded on the websites of ITV calendar, York Press, Minster FM and York Mix (simply put, the meeting was put on the above websites as the meeting was happening).
- Planning Committee in Friday 27th March 2015 (Community Stadium was on the agenda)
- Attracted **1,850 views, 736 live views and 1,114 on demand**
- The total watch time **35,192 minutes**
- Footage was later used in Look North and ITV calendar news broadcasts that evening.
- Health and Adult Social Care Policy and Scrutiny Committee, 20 October 2015 (Bootham closure was in the agenda)
- Attracted **449 views, 64 live and 385 on demand**
- The total watch time was **6,682 minutes.**

39. The Task Group also compared detailed monthly figures for a full year (Annex H), the headline comparisons being:

Month	Watch Time (minutes)	Views
November 2014	14,837	3,893
December 2014	16,180	3,269
January 2015	20,187	3,573
February 2015	18,504	3,546
March 2015	52,021	5,292
April 2015	11,510	6,241
May 2015	52,787	7,327
June 2015	14,036	3,107
July 2015	21,551	3,968
August 2015	8,752	2,377
September 2015	14,220	3,240
October 2015	25,833	4,352

40. Social Media

The Task Group was pleased to note that the Local Government Association has published a series of tasks and tools to show how

Members can use social media to help the work of councillors (Annex I). A guide and case studies for using social media tools for E-Democracy and engagement is at: http://www.local.gov.uk/digital-councils/go-further/-/journal_content/56/10180/6959999/ARTICLE

41. Additional Local Government Association information on transforming public services using digital tools is at: http://www.local.gov.uk/digital-councils/go-further/-/journal_content/56/10180/6357119/ARTICLE
42. To further public engagement, the Task Group questioned the use of Twitter and Skype at committee meetings and it was confirmed that both are technically possible.
43. Skype could be used during public participation and the image could be fed into a television set in the meeting room but there would need to be better audio output. Such a Skype offer would need support of ICT. There would also be the challenge of integrating Skype into the webcast of the meeting. Currently the webcasting technology does not support this.
44. The Police and Crime Commissioner already takes Twitter questions during live sessions. Twitter contributions are invited during the course of the meeting and then there is a short break to evaluate the submissions after which the questions are answered. This would be relatively easy to implement from a technical point of view.
45. Members also asked whether it is possible to integrate presentations and slides into webcasts. While this is possible there is resource and practical implications and it should be noted that presentations and slides for formal public meetings are available on the CYC ModGov website.
46. At a meeting on 10 December 2015 the Task Group was given a presentation of the new CRM system, what it will look like and examples of how it would work (Annex J). The CYC vision “is to be a customer focused organisation placing residents and visitors at the heart of everything we do, supporting customers to do more themselves by providing high quality and responsive digital services to ensure CYC services are always open and available and easy for everyone to use.”
47. The presentation was based on an operational My Account system already used by another local authority and took Task Group members through the Oracle Citizen Experience, an integrated local authority platform. The system can offer personalised services once residents sign up for My Account, with the customer portal showing the knowledgebase, intelligent search, personalised notifications and contact options.

48. The knowledgebase shows the best results based on an algorithm that considers factors including search terms used, answers used and feedback ratings. It helps people by suggesting more commonly used search terms, providing the ability to categorise answers and showing important answers recommended by the council. It attempts to provide people with the answer immediately, preventing avoidable contact and increasing customer satisfaction.
49. A facility for reporting problems, such as refuse collections and fly tipping, is integrated with CRM and becomes an entry in a resident's customer records. Updates can be applied and sent directly to the resident, completing a full end-to-end transaction over digital channels. People will be kept informed about the progress of their report via their preferred communication channel, such as email or SMS text message.
50. The Task Group noted that one of the main tools for increasing public engagement in the democratic process is the live webcasting of Council meetings.
51. Webcasting in York began on 4 June 2013 when a meeting of the Cabinet was screened to be viewed live as part of a two-month trial. The aim was to give the public the opportunity to see the Council's decision-making process in action and to promote openness and accountability as well as supporting greater participation in local democracy.
52. Public feedback and statistics from the trial were monitored and reviewed and webcasting has since been rolled out to cover a wide range of local authority meetings including Council, Executive, planning committees, scrutiny committees (including some task group meetings), Executive decision sessions, Local Plan Working Group, Health and Wellbeing Board, Make it York Shareholder Group and local and national elections.
53. In addition to the live screenings CYC offers an online archive where recordings of meetings which have already taken place can be viewed. The webcasts can be viewed on:
https://www.york.gov.uk/info/20241/webcasts/1560/meeting_webcasts
54. Currently webcasting costs are around £60k per annum. This includes CYC staff and external support through Pilot Theatre, who currently lead on all Executive and Full Council meetings.
55. However, the CYC webcasting service is transferring to City of York Trading (CYT) in the New Year. CYC only has one person leading on all webcasting as the webcasting assistant has left the organisation.

Recruitment for this role will be looked at going forward, but this will happen once the service has been transferred.

56. The Task Group noted that there were no current arrangements for Skype to be used for public participation at council meetings, but before requesting a cost analysis of such a facility they agreed to ask Democratic Services if there had been any requests for an online option.
57. Democratic Services are not aware of any such requests from members of the public and on occasions when registered public participation speakers have not been able to attend they have been able to email their questions and comments to the committee. The MP for York Central asked to participate in an October 2015 Executive meeting via Skype but her request was made after the deadline for registration for public participation.

Further Analysis

58. In regard to website usage the Task Group noted that the change in popular browsers (see pie charts in Annex F) was attributed to more mobile phone users visiting the site as Safari is the iPhone's default browser.
59. When considering the webcast statistics the Task Group noted that the inclusion of topics of public interest often leads to higher viewing figures (see paragraphs 37-39 above).
 - Meetings in October 2015 attracted an average of **156 views** (excluding the short meetings which are videoed and made available to view on demand (see below))
 - Shorter meetings (which are videoed and made available to view on demand e.g. Decision Sessions and Staffing Matters & Urgency Committee) typically attract fewer views. Average for these types of meetings in October 2015 was **45 views**.
 - Meetings that include the participation of other organisations often attract larger viewing figures, i.e. Health and Adult Social Care Policy and Scrutiny Committee and Health and Wellbeing Board. See highlights in paragraph 38 above.
60. They also queried how webcasts were being accessed and learnt that:
 - 39% accessed our webcasts directly via YouTube

- 60% accessed through embedded websites and apps (example www.york.gov.uk)
 - 1% other.
61. At a meeting in early November 2015 the Task Group, having considered all the information gathered, agreed that Objectives (i) and (ii) had been achieved but that more information was required before Members were in a position to make recommendations. They agreed that the focus should be public engagement with the new CRM and My Account system along with promotion and engagement with live webcasting of committee meetings.
62. The Task Group noted that whilst the 'interactive' parts of the site like 'do it online' have been 're-skinned' as part of the website re-launch, their functionality has not yet been enhanced. The improved functionality will come with the introduction of the new CRM system.
63. The new CRM system will be a 24/7 service which will be easier to do business with while making the best use of Council resources and will lead to savings. It will put citizens first and improve service delivery.
64. The system will offer omni-channel access across a variety of platforms including web, mobile, social, email and telephone. Once a user has registered to a secure portal the system will create a personal image and brand and capture complex information to make an individual profile specific to the person requiring information.
65. With regard to the review aim: 'To identify the potential for improving public engagement and take up of services through digital means and the Councils ability to respond,' the Task Group accepted there was a need to promote the My Account system and that as ward councillors they have a responsibility to get residents to sign up for the service so everyone can benefit from it. They were pleased to note that the Local Government Association had identified how social media can help the work of councillors (Annex I).
66. The Task Group recognised that for the new system to work efficiently and effectively there would need to be a high level of public engagements and actions were needed to encourage people to take up My Accounts.
67. It is expected that once the system is rolled out, 70% of the population will use the My Account service and steps will need to be taken to prevent the digital exclusion of the remaining 30%. The projected take-up of My Account is based on data from other authorities which have implemented the system and on statistics in York in respect of online banking and the

percentage of residents who currently pay their Council Tax by direct debit.

68. To help encourage this public engagement in the new CRM system the Task Group suggested that training in My Account is made available to all CYC Councillors to enable them to work with and assist constituents as well as an online training tutorial outlining the key functions of the system.
69. The Task Group were pleased to note that the new CRM system could include a facility by which members of the public could be notified electronically about issues in which they had previously expressed an interest as a My Account customer, planning applications or recycling for example, to alert them that the topic was to be discussed by a particular committee.
70. The Council has already introduced webcasting of public meetings (so that residents can watch Councillors scrutinising or making decisions) in their own time or without having to attend meetings themselves.
71. The Task Group was disappointed that there was no search facility or use of hyperlink on the current CYC YouTube channel which resulted in the need to scroll through broadcasts to find a particular point of interest.
72. The Task Group stressed the need to concentrate on getting take-up of services that improve the efficiency of the Council but were mindful of the need to ensure residents were not digitally excluded. Statistically, those people most likely to be digitally excluded are older people, those on low wages, those living in social housing and those without qualifications and it is important these groups are a priority in the engagement process. CYC has already taken steps to ensure that free WiFi (paragraph 35, 36 and Annex G) is available to people who may have no other access to the internet.

Review Recommendation

73. The Task Group is keen to feed its findings into the Executive's considerations of the implementation of the new Customer Relationship Management system and is asking CSMC to make the following recommendations to the Executive:
 - i. To make the delivery of online services a priority to enable ease of access for residents and lead to potential efficiency savings within the Council;

- ii. Identify any potential reasons which would lead to the poor take up of My Account by York residents as these could present a risk to the successful rolling out of the new system;
- iii. Carry out market research and public consultation during the My Account design process similar to that carried out for the website redesign;
- iv. Make My Account training sessions available for Members so they fully understand the features and utilisation of the system and are able to pass on this knowledge to residents;
- v. Implement a comprehensive online video tutorial outlining the key functionality of the My Account system;
- vi. Explore the strong integration of My Account so individuals can be “tagged” as a result of issue-based contact with CYC so they can then be signposted to the relevant decision session/committee with which they might have an interest;
- vii. Explore hyperlinking agenda items on CYC’s YouTube channel and the possibility of rolling this out to all webcast uploads for ease of access.

Council Plan

74. This report is linked to the Focus on Frontline Services, A Council That Listens to residents and a Prosperous City for All elements of the Council Plan 2015-19.

Implications and Risks

75. A response to the recommendations in this final report is included in the full report on Developing Online Access to Council Services, the next item on this agenda. Implications and risks associated with the overall strategy are addressed in that report. However, CSMC is mindful that if the final report recommendations are adopted there could be financial and HR implications relating to My Account training for members and the implementation of an online video tutorial. Also there are potential risks of poor uptake and understanding of the new CRM system which need to be taken into account when the My Account system is being designed.

Contact Details

Authors:

Steve Entwistle
Scrutiny Officer
01904 554279
steven.entwistle@york.gov.uk

Chief Officer Responsible for the report:

Andrew Docherty
Assistant Director, Governance & ICT
Tel: 01904 551004

Melanie Carr
Scrutiny Officer
Tel No. 01904 552054
melanie.carr@york.gov.uk

Report Approved



22/12/2015

Wards Affected:

All



For further information please contact the authors of the report

Background Papers: N/A

Annexes:

Annex A – Copy of Presentation on CYC’s current position in regard to online services, its current digital infrastructure and the resources required to enable it to function (**Published online only**)

Annex B – Customer Centre Performance Information from April 2015 to September 2015 (**Online**)

Annex C – Presentation on the Council’s website content (**Online**)

Annex D – Web Demonstration on new CRM System (**Online**)

Annex E 1 – Survey Findings

Annex E 2 – Survey Comments (**Online**)

Annex F – CYC Website Usage - Comparison Data

Annex G – Free WiFi Availability

Annex H – Webcasting Analytics 2015

Annex I – Councillors Guide to Social Media (**Online**)

Annex J – CRM Presentation (**Online**)

Report Abbreviations:

CRM – Customer Relationship Management system

CSMC – Corporate & Scrutiny Management Policy & Scrutiny Committee

CYC – City of York Council

DCLG – Department for Communities & Local Government

GIS – Geographic Information System

ICT – Information & Communications Technology

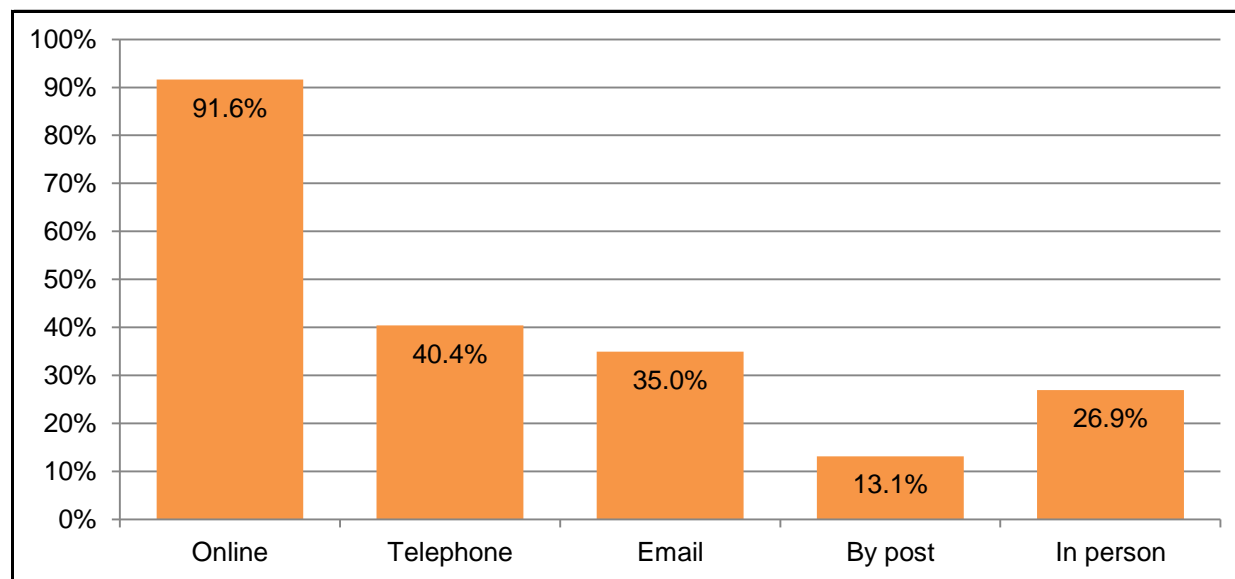
LGA – Local Government Association

This page is intentionally left blank

IMPROVING PUBLIC ENGAGEMENT - RESPONSE DETAIL

Q1: How do you access council services? [Multiple Choice]

		All	Online	Paper
Online	%	91.6%	95.9%	57.8%
	Number	524	487	37
Telephone	%	40.4%	40.0%	43.8%
	Number	231	203	28
Email	%	35.0%	34.8%	35.9%
	Number	200	177	23
By post	%	13.1%	12.4%	18.8%
	Number	75	63	12
In person	%	26.9%	24.2%	48.4%
	Number	154	123	31
Respondents		572	508	64

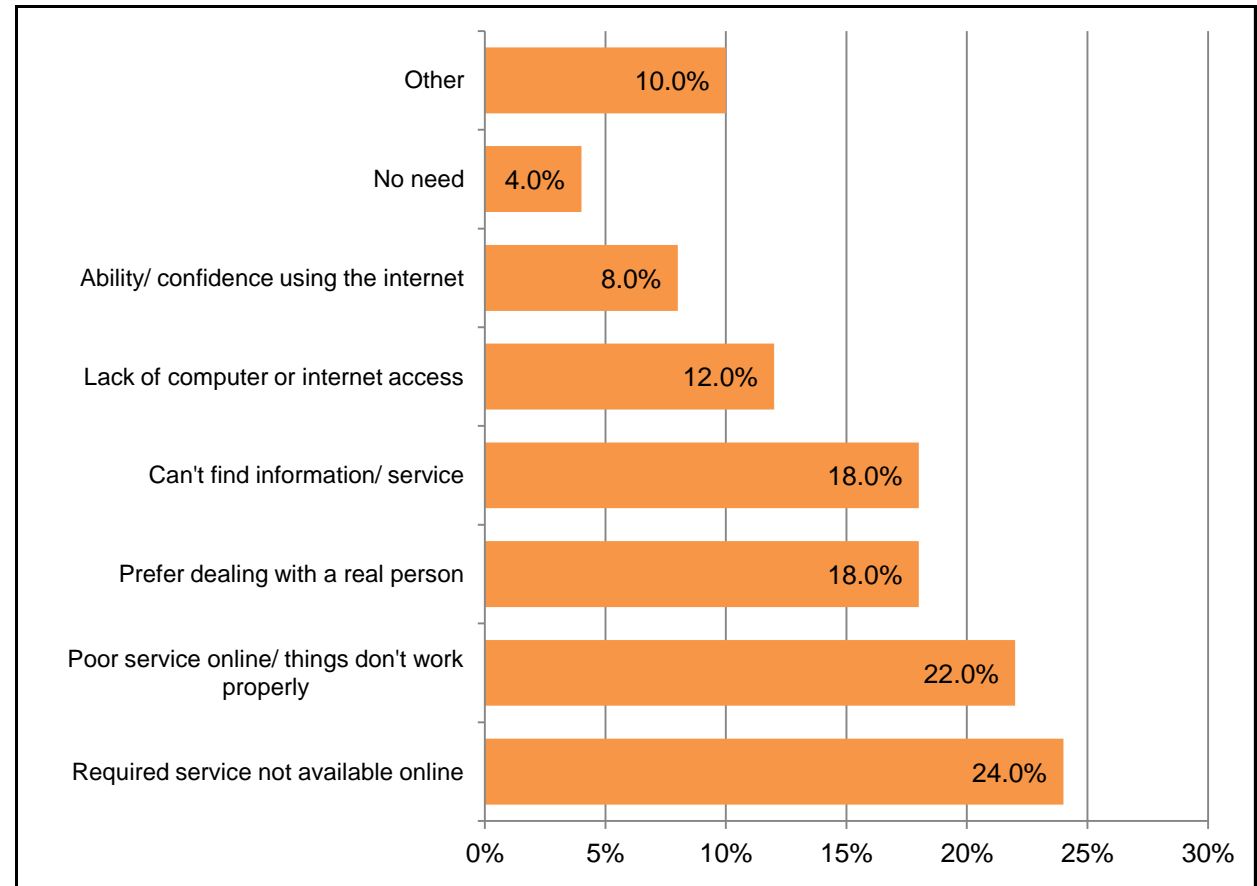


		Gender			Age						Ethnic Origin			
		All	Male	Female	16 to 24	25 to 39	40 to 55	56 to 59	60 to 64	65+	White British	BME	Disabled	Carer
Online	%	91.6%	97.0%	93.1%	87.5%	98.6%	95.9%	89.7%	89.3%	96.9%	94.9%	97.6%	81.3%	88.2%
	Number	524	230	162	7	141	116	26	50	62	355	41	13	30
Telephone	%	40.4%	34.2%	51.1%	12.5%	36.4%	46.3%	51.7%	39.3%	43.8%	42.8%	21.4%	43.8%	47.1%
	Number	231	81	89	1	52	56	15	22	28	160	9	7	16
Email	%	35.0%	35.0%	35.1%	12.5%	30.8%	38.8%	51.7%	33.9%	35.9%	36.1%	28.6%	50.0%	50.0%
	Number	200	83	61	1	44	47	15	19	23	135	12	8	17
By post	%	13.1%	11.0%	14.4%	12.5%	15.4%	10.7%	13.8%	8.9%	10.9%	12.6%	9.5%	18.8%	5.9%
	Number	75	26	25	1	22	13	4	5	7	47	4	3	2
In person	%	26.9%	21.9%	29.9%	25.0%	24.5%	22.3%	37.9%	37.5%	25.0%	27.3%	16.7%	43.8%	26.5%
	Number	154	52	52	2	35	27	11	21	16	102	7	7	9
Respondents		572	237	174	8	143	121	29	56	64	374	42	16	34

IMPROVING PUBLIC ENGAGEMENT - RESPONSE DETAIL

Q2: If you do not access council services online, what stops you from doing this? [Free Text]

		All	Online	Paper
Required service not available online	%	24.0%	34.3%	0.0%
	Number	12	12	0
Poor service online/ things don't work properly	%	22.0%	28.6%	6.7%
	Number	11	10	1
Prefer dealing with a real person	%	18.0%	17.1%	20.0%
	Number	9	6	3
Can't find information/ service	%	18.0%	20.0%	13.3%
	Number	9	7	2
Lack of computer or internet access	%	12.0%	2.9%	33.3%
	Number	6	1	5
Ability/ confidence using the internet	%	8.0%	2.9%	20.0%
	Number	4	1	3
No need	%	4.0%	2.9%	6.7%
	Number	2	1	1
Other	%	10.0%	8.6%	13.3%
	Number	5	3	2
Respondents		50	35	15



IMPROVING PUBLIC ENGAGEMENT - RESPONSE DETAIL

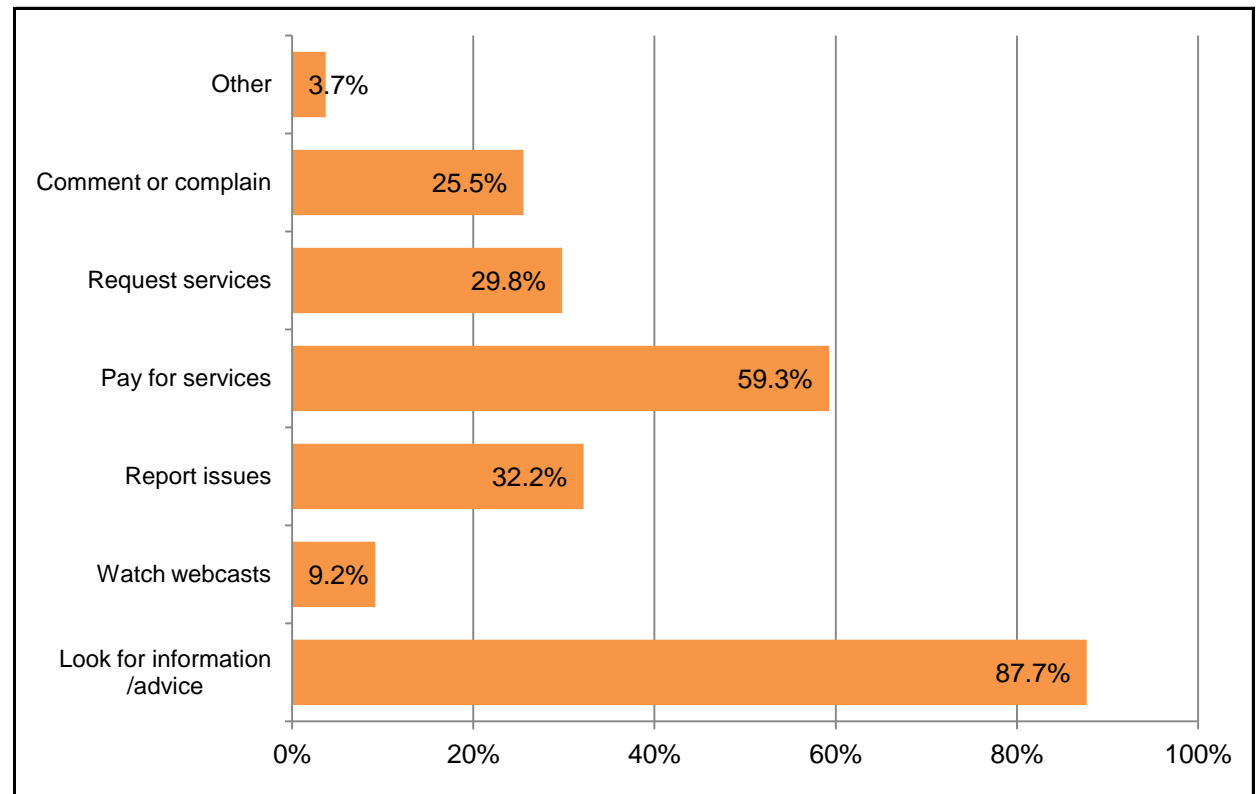
Q2: If you do not access council services online, what stops you from doing this? [Free Text] (Cont.)

		Gender		Age						Ethnic Origin				
All		Male	Female	16 to 24	25 to 39	40 to 55	56 to 59	60 to 64	65+	White British	BME	Disabled	Carer	
Required service not available online	%	24.0%	45.5%	13.0%	0.0%	28.6%	50.0%	0.0%	0.0%	25.0%	26.5%	0.0%	25.0%	0.0%
	Number	12	5	3	0	4	4	0	0	1	9	0	1	0
Poor service online/ things don't work properly	%	22.0%	36.4%	17.4%	0.0%	28.6%	37.5%	0.0%	0.0%	25.0%	23.5%	0.0%	0.0%	0.0%
	Number	11	4	4	0	4	3	0	0	1	8	0	0	0
Prefer dealing with a real person	%	18.0%	9.1%	21.7%	0.0%	21.4%	12.5%	50.0%	16.7%	0.0%	17.6%	0.0%	25.0%	0.0%
	Number	9	1	5	0	3	1	1	1	0	6	0	1	0
Can't find information/ service	%	18.0%	36.4%	21.7%	0.0%	28.6%	25.0%	0.0%	33.3%	25.0%	26.5%	0.0%	50.0%	0.0%
	Number	9	4	5	0	4	2	0	2	1	9	0	2	0
Lack of computer or internet access	%	12.0%	0.0%	13.0%	100.0%	0.0%	0.0%	0.0%	16.7%	25.0%	8.8%	0.0%	0.0%	100.0%
	Number	6	0	3	1	0	0	0	1	1	3	0	0	1
Ability/ confidence using the internet	%	8.0%	0.0%	13.0%	0.0%	0.0%	0.0%	50.0%	33.3%	0.0%	8.8%	0.0%	25.0%	0.0%
	Number	4	0	3	0	0	0	1	2	0	3	0	1	0
No need	%	4.0%	9.1%	0.0%	0.0%	7.1%	0.0%	0.0%	0.0%	0.0%	0.0%	100.0%	0.0%	0.0%
	Number	2	1	0	0	1	0	0	0	0	0	1	0	0
Other	%	10.0%	0.0%	13.0%	0.0%	7.1%	25.0%	0.0%	0.0%	0.0%	8.8%	0.0%	25.0%	0.0%
	Number	5	0	3	0	1	2	0	0	0	3	0	1	0
Respondents		50	11	23	1	14	8	2	6	4	34	1	4	1

IMPROVING PUBLIC ENGAGEMENT - RESPONSE DETAIL

Q3: If you access services online – what do you do? [Multiple Choice]

		All	Online	Paper
Look for information /advice	%	87.7%	86.3%	68.8%
	Number	450	417	33
Watch webcasts	%	9.2%	8.7%	10.4%
	Number	47	42	5
Report issues	%	32.2%	32.5%	16.7%
	Number	165	157	8
Pay for services	%	59.3%	61.5%	14.6%
	Number	304	297	7
Request services	%	29.8%	30.0%	16.7%
	Number	153	145	8
Comment or complain	%	25.5%	25.1%	20.8%
	Number	131	121	10
Other	%	3.7%	2.7%	12.5%
	Number	19	13	6
Respondents		513	483	48



IMPROVING PUBLIC ENGAGEMENT - RESPONSE DETAIL

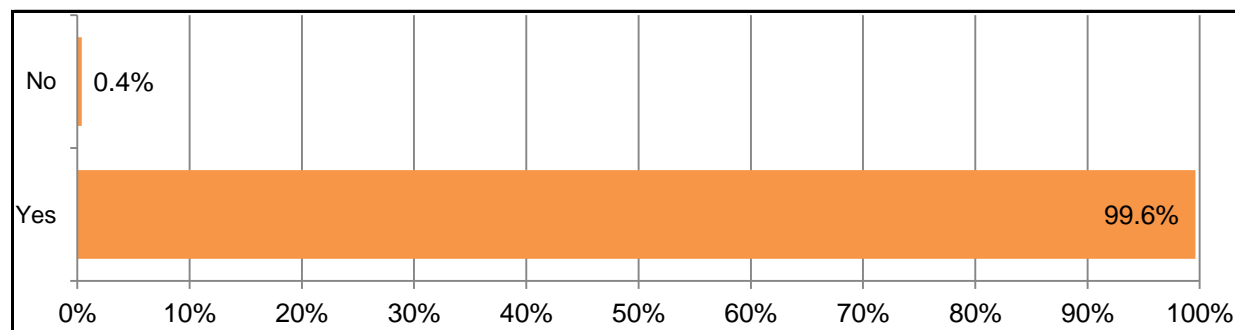
Q3: If you access services online – what do you do? [Multiple Choice] (Cont.)

		Gender			Age						Ethnic Origin			
		All	Male	Female	16 to 24	25 to 39	40 to 55	56 to 59	60 to 64	65+	White British	BME	Disabled	Carer
Look for information /advice	%	87.7%	87.3%	88.8%	42.9%	87.0%	91.4%	80.0%	94.0%	90.3%	89.2%	77.5%	92.3%	90.0%
	Number	450	199	142	3	120	106	20	47	56	314	31	12	27
Watch webcasts	%	9.2%	7.5%	8.8%	0.0%	3.6%	13.8%	4.0%	6.0%	11.3%	7.4%	10.0%	15.4%	10.0%
	Number	47	17	14	0	5	16	1	3	7	26	4	2	3
Report issues	%	32.2%	36.0%	27.5%	28.6%	25.4%	44.0%	28.0%	26.0%	37.1%	32.4%	35.0%	23.1%	40.0%
	Number	165	82	44	2	35	51	7	13	23	114	14	3	12
Pay for services	%	59.3%	67.1%	61.9%	100.0%	76.1%	60.3%	44.0%	66.0%	46.8%	63.1%	75.0%	61.5%	70.0%
	Number	304	153	99	7	105	70	11	33	29	222	30	8	21
Request services	%	29.8%	33.3%	31.3%	0.0%	33.3%	38.8%	24.0%	30.0%	32.3%	33.8%	27.5%	23.1%	26.7%
	Number	153	76	50	0	46	45	6	15	20	119	11	3	8
Comment or complain	%	25.5%	28.5%	21.3%	14.3%	21.0%	26.7%	24.0%	26.0%	40.3%	26.4%	25.0%	30.8%	26.7%
	Number	131	65	34	1	29	31	6	13	25	93	10	4	8
Other	%	3.7%	3.5%	3.1%	0.0%	2.9%	3.4%	0.0%	4.0%	4.8%	3.4%	2.5%	0.0%	0.0%
	Number	19	8	5	0	4	4	0	2	3	12	1	0	0
Respondents		513	228	160	7	138	116	25	50	62	352	40	13	30

IMPROVING PUBLIC ENGAGEMENT - RESPONSE DETAIL

Q4: If you access services online – Is it important to you to continue to be able to do this?

		All	Online	Paper
Yes	%	99.6%	99.6%	100.0%
	Number	505	472	33
No	%	0.4%	0.4%	0.0%
	Number	2	2	0
Respondents		507	474	33

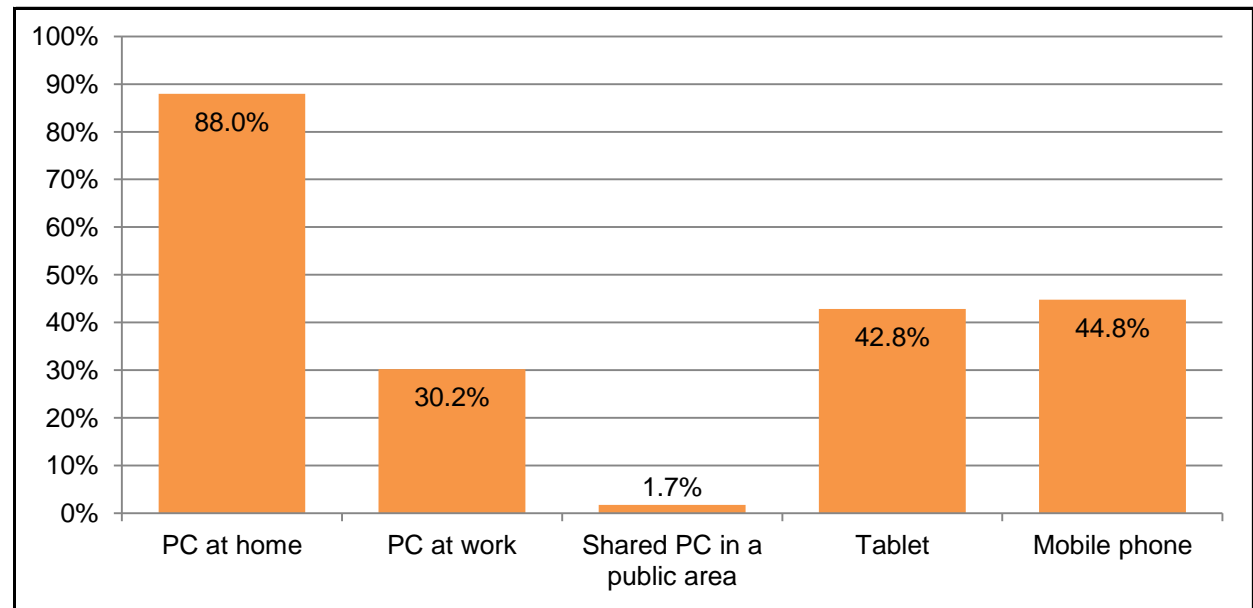


		Gender			Age						Ethnic Origin			
		All	Male	Female	16 to 24	25 to 39	40 to 55	56 to 59	60 to 64	65+	White British	BME	Disabled	Carer
Yes	%	99.6%	99.1%	100.0%	100.0%	100.0%	100.0%	95.8%	98.0%	100.0%	99.4%	100.0%	92.3%	100.0%
	Number	505	225	159	7	138	115	23	49	62	349	39	12	30
No	%	0.4%	0.9%	0.0%	0.0%	0.0%	0.0%	4.2%	2.0%	0.0%	0.6%	0.0%	7.7%	0.0%
	Number	2	2	0	0	0	0	1	1	0	2	0	1	0
Respondents		507	227	159	7	138	115	24	50	62	351	39	13	30

IMPROVING PUBLIC ENGAGEMENT - RESPONSE DETAIL

Q5: If you access services online – What do you use to access online services? [Multiple Choice]

		All	Online	Paper
PC at home	%	88.0%	87.7%	91.9%
	Number	454	420	34
PC at work	%	30.2%	30.7%	24.3%
	Number	156	147	9
Shared PC in a public area	%	1.7%	1.5%	5.4%
	Number	9	7	2
Tablet	%	42.8%	43.4%	35.1%
	Number	221	208	13
Mobile phone	%	44.8%	45.9%	29.7%
	Number	231	220	11
Respondents		516	479	37

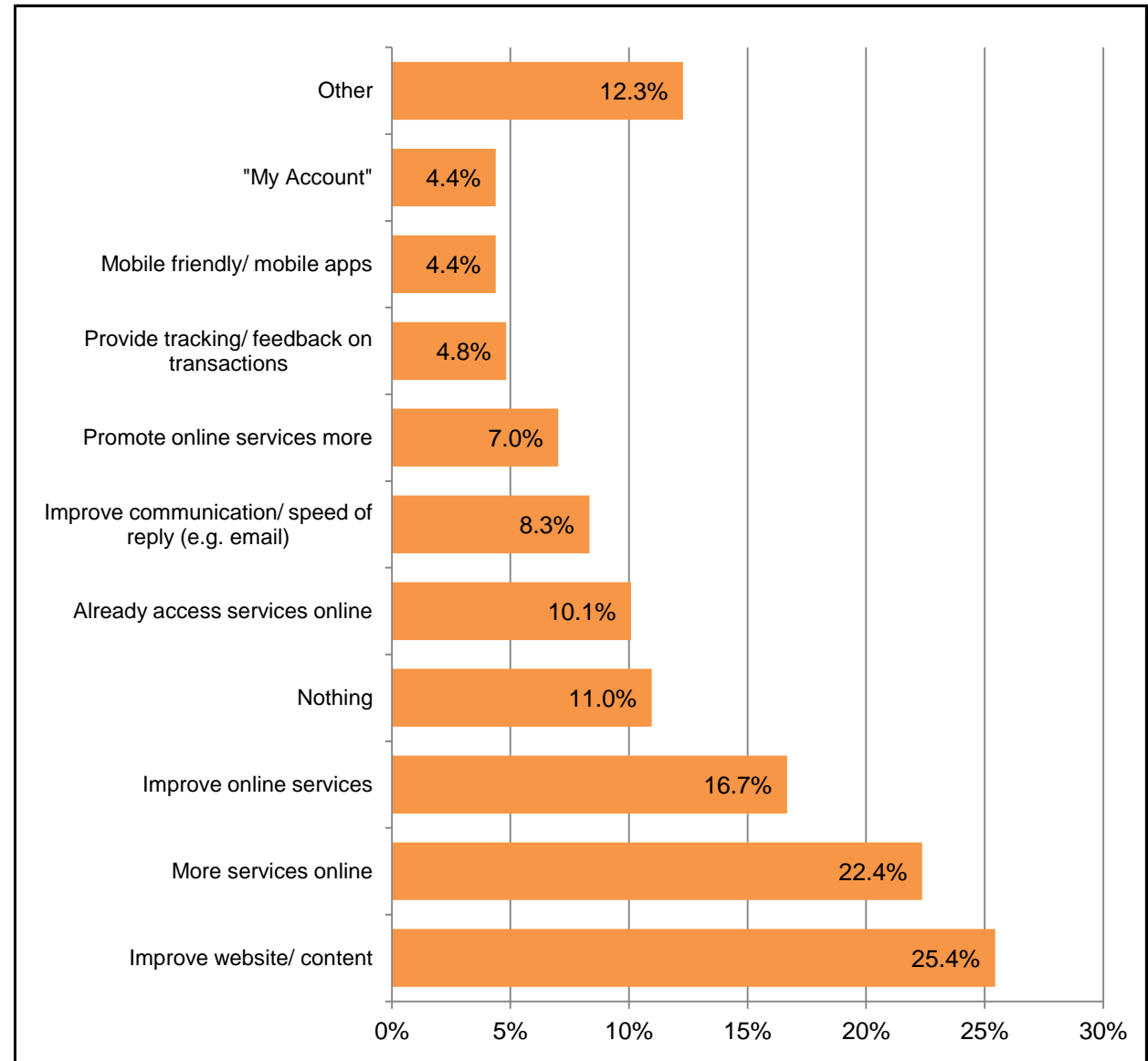


		Gender		Age						Ethnic Origin				
		All	Male	Female	16 to 24	25 to 39	40 to 55	56 to 59	60 to 64	65+	White British	BME	Disabled	Carer
PC at home	%	88.0%	92.1%	85.1%	85.7%	87.1%	87.9%	92.0%	94.0%	95.2%	89.0%	92.5%	100.0%	76.7%
	Number	454	210	137	6	121	102	23	47	59	314	37	13	23
PC at work	%	30.2%	31.1%	32.3%	14.3%	47.5%	42.2%	12.0%	16.0%	3.2%	29.7%	50.0%	23.1%	20.0%
	Number	156	71	52	1	66	49	3	8	2	105	20	3	6
Shared PC in a public area	%	1.7%	0.9%	0.0%	14.3%	0.7%	0.0%	0.0%	0.0%	1.6%	0.6%	0.0%	0.0%	0.0%
	Number	9	2	0	1	1	0	0	0	1	2	0	0	0
Tablet	%	42.8%	45.6%	41.6%	14.3%	44.6%	47.4%	36.0%	48.0%	37.1%	45.0%	32.5%	30.8%	50.0%
	Number	221	104	67	1	62	55	9	24	23	159	13	4	15
Mobile phone	%	44.8%	44.3%	50.3%	42.9%	56.1%	48.3%	44.0%	34.0%	32.3%	47.0%	40.0%	46.2%	53.3%
	Number	231	101	81	3	78	56	11	17	20	166	16	6	16
Respondents		516	232	168	8	141	119	28	54	60	365	41	15	34

IMPROVING PUBLIC ENGAGEMENT - RESPONSE DETAIL

Q6: What could we do that would encourage you to access more council services online? [Free Text]

		All	Online	Paper
Improve website/ content	%	25.4%	24.8%	33.3%
	Number	58	52	6
More services online	%	22.4%	23.8%	5.6%
	Number	51	50	1
Improve online services	%	16.7%	17.1%	11.1%
	Number	38	36	2
Nothing	%	11.0%	10.0%	22.2%
	Number	25	21	4
Already access services	%	10.1%	11.0%	0.0%
	Number	23	23	0
Improve communication/ speed of reply (e.g. email)	%	8.3%	8.1%	11.1%
	Number	19	17	2
Promote online services	%	7.0%	7.6%	0.0%
	Number	16	16	0
Provide tracking/ feedback on	%	4.8%	5.2%	0.0%
	Number	11	11	0
Mobile friendly/ mobile apps	%	4.4%	4.8%	0.0%
	Number	10	10	0
"My Account"	%	4.4%	4.8%	0.0%
	Number	10	10	0
Other	%	12.3%	11.0%	27.8%
	Number	28	23	5
Respondents		228	210	18



IMPROVING PUBLIC ENGAGEMENT - RESPONSE DETAIL

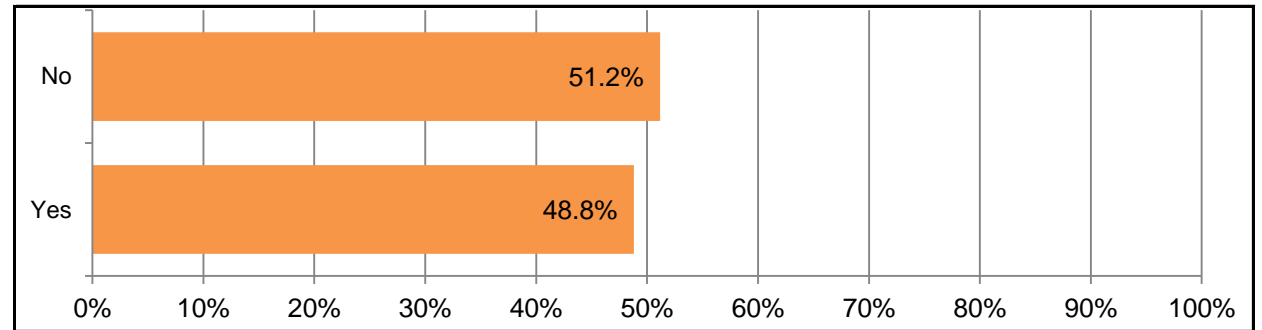
Q6: What could we do that would encourage you to access more council services online? [Free Text] (Cont.)

		Gender			Age						Ethnic Origin			
All		Male	Female	16 to 24	25 to 39	40 to 55	56 to 59	60 to 64	65+	White British	BME	Disabled	Carer	
Improve website/content	%	25.4%	26.1%	26.3%	16.7%	27.3%	27.5%	11.1%	22.2%	27.6%	24.6%	31.8%	16.7%	42.9%
	Number	58	30	21	1	21	14	2	4	8	43	7	2	6
More services online	%	22.4%	23.5%	21.3%	16.7%	36.4%	13.7%	22.2%	16.7%	6.9%	24.6%	9.1%	25.0%	7.1%
	Number	51	27	17	1	28	7	4	3	2	43	2	3	1
Improve online services	%	16.7%	17.4%	13.8%	16.7%	23.4%	13.7%	5.6%	16.7%	3.4%	14.3%	22.7%	8.3%	0.0%
	Number	38	20	11	1	18	7	1	3	1	25	5	1	0
Nothing	%	11.0%	12.2%	11.3%	16.7%	5.2%	9.8%	16.7%	22.2%	17.2%	11.4%	13.6%	25.0%	21.4%
	Number	25	14	9	1	4	5	3	4	5	20	3	3	3
Already access services	%	10.1%	9.6%	8.8%	0.0%	9.1%	13.7%	5.6%	16.7%	13.8%	9.7%	13.6%	0.0%	0.0%
	Number	23	11	7	0	7	7	1	3	4	17	3	0	0
Improve communication/speed of reply (e.g. email)	%	8.3%	6.1%	10.0%	0.0%	3.9%	7.8%	16.7%	11.1%	13.8%	7.4%	4.5%	25.0%	7.1%
	Number	19	7	8	0	3	4	3	2	4	13	1	3	1
Promote online services	%	7.0%	6.1%	11.3%	0.0%	7.8%	7.8%	11.1%	5.6%	10.3%	7.4%	13.6%	0.0%	7.1%
	Number	16	7	9	0	6	4	2	1	3	13	3	0	1
Provide tracking/feedback on	%	4.8%	7.8%	2.5%	16.7%	6.5%	3.9%	0.0%	0.0%	10.3%	4.6%	9.1%	8.3%	0.0%
	Number	11	9	2	1	5	2	0	0	3	8	2	1	0
Mobile friendly/mobile apps	%	4.4%	4.3%	5.0%	16.7%	6.5%	5.9%	0.0%	0.0%	0.0%	4.6%	4.5%	0.0%	0.0%
	Number	10	5	4	1	5	3	0	0	0	8	1	0	0
"My Account"	%	4.4%	7.0%	2.5%	16.7%	10.4%	2.0%	0.0%	0.0%	0.0%	4.0%	13.6%	0.0%	0.0%
	Number	10	8	2	1	8	1	0	0	0	7	3	0	0
Other	%	12.3%	11.3%	8.8%	0.0%	6.5%	17.6%	11.1%	5.6%	17.2%	12.0%	0.0%	25.0%	14.3%
	Number	28	13	7	0	5	9	2	1	5	21	0	3	2
Respondents		228	115	80	6	77	51	18	18	29	175	22	12	14

IMPROVING PUBLIC ENGAGEMENT - RESPONSE DETAIL

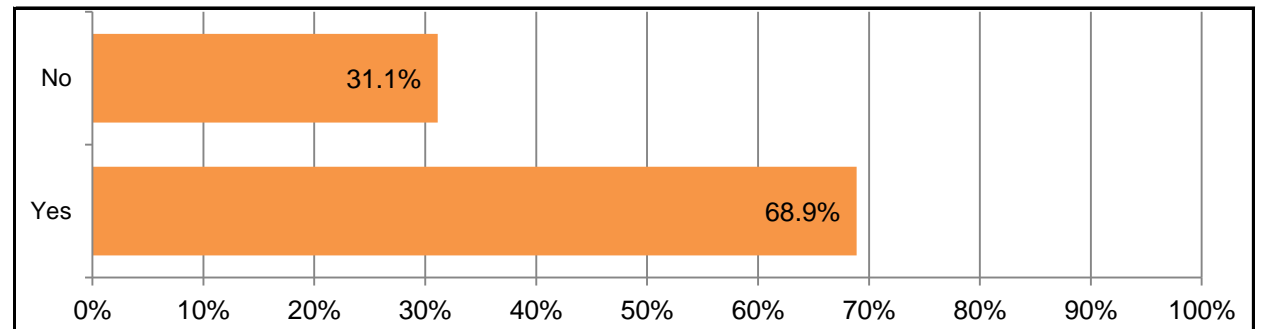
Q7: Did you know our website was re-launched in May this year?

		All	Online	Paper
Yes	%	48.8%	48.7%	50.0%
	Number	249	221	28
No	%	51.2%	51.3%	50.0%
	Number	261	233	28
Respondents		510	454	56



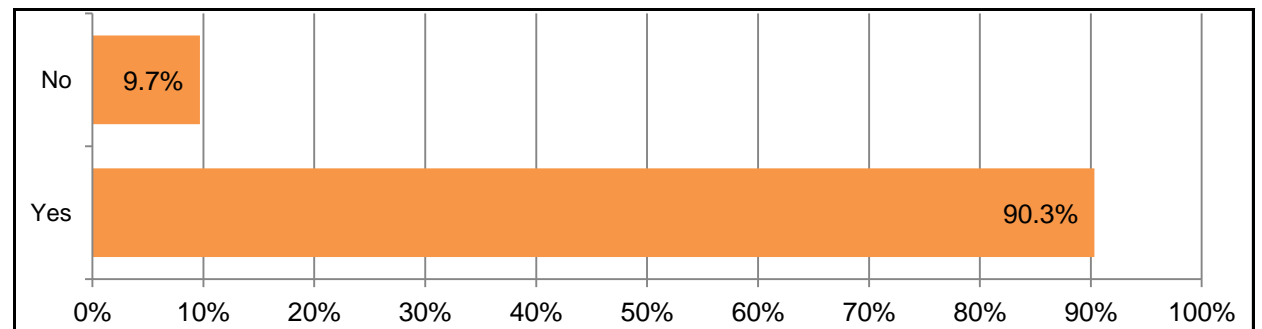
Q8: Do you like the new version of the website?

		All	Online	Paper
Yes	%	68.9%	69.7%	60.0%
	Number	270	249	21
No	%	31.1%	30.3%	40.0%
	Number	122	108	14
Respondents		392	357	35



Q10: Would it help you to be able to track your requests, reports and payments via our website?

		All	Online	Paper
Yes	%	90.3%	91.7%	78.0%
	Number	448	409	39
No	%	9.7%	8.3%	22.0%
	Number	48	37	11
Respondents		496	446	50



IMPROVING PUBLIC ENGAGEMENT - RESPONSE DETAIL

Q7: Did you know our website was re-launched in May this year? (Cont.)

		Gender		Age						Ethnic Origin				
		All	Male	Female	16 to 24	25 to 39	40 to 55	56 to 59	60 to 64	65+	White British	BME	Disabled	Carer
Yes	%	48.8%	48.3%	47.1%	75.0%	47.9%	51.7%	31.0%	41.1%	50.0%	47.7%	47.6%	62.5%	54.5%
	Number	249	114	81	6	68	62	9	23	32	177	20	10	18
No	%	51.2%	51.7%	52.9%	25.0%	52.1%	48.3%	69.0%	58.9%	50.0%	52.3%	52.4%	37.5%	45.5%
	Number	261	122	91	2	74	58	20	33	32	194	22	6	15
Respondents		510	236	172	8	142	120	29	56	64	371	42	16	33

Q8: Do you like the new version of the website? (Cont.)

		Gender		Age						Ethnic Origin				
		All	Male	Female	16 to 24	25 to 39	40 to 55	56 to 59	60 to 64	65+	White British	BME	Disabled	Carer
Yes	%	68.9%	73.7%	64.0%	71.4%	68.0%	72.4%	81.0%	63.6%	71.1%	69.1%	77.8%	53.3%	55.6%
	Number	270	137	87	5	83	71	17	21	32	199	28	8	15
No	%	31.1%	26.3%	36.0%	28.6%	32.0%	27.6%	19.0%	36.4%	28.9%	30.9%	22.2%	46.7%	44.4%
	Number	122	49	49	2	39	27	4	12	13	89	8	7	12
Respondents		392	186	136	7	122	98	21	33	45	288	36	15	27

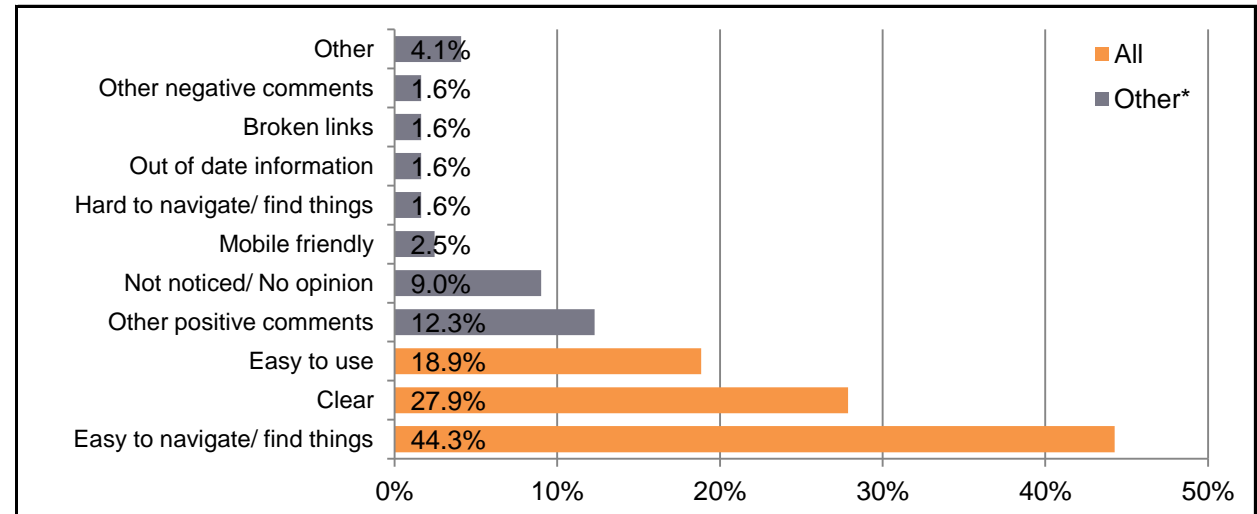
Q10: Would it help you to be able to track your requests, reports and payments via our website? (Cont.)

		Gender		Age						Ethnic Origin				
		All	Male	Female	16 to 24	25 to 39	40 to 55	56 to 59	60 to 64	65+	White British	BME	Disabled	Carer
Yes	%	90.3%	93.1%	91.1%	100.0%	95.0%	89.9%	92.9%	87.0%	91.7%	92.6%	87.8%	86.7%	97.1%
	Number	448	216	153	8	134	107	26	47	55	338	36	13	33
No	%	9.7%	6.9%	8.9%	0.0%	5.0%	10.1%	7.1%	13.0%	8.3%	7.4%	12.2%	13.3%	2.9%
	Number	48	16	15	0	7	12	2	7	5	27	5	2	1
Respondents		496	232	168	8	141	119	28	54	60	365	41	15	34

IMPROVING PUBLIC ENGAGEMENT - RESPONSE DETAIL

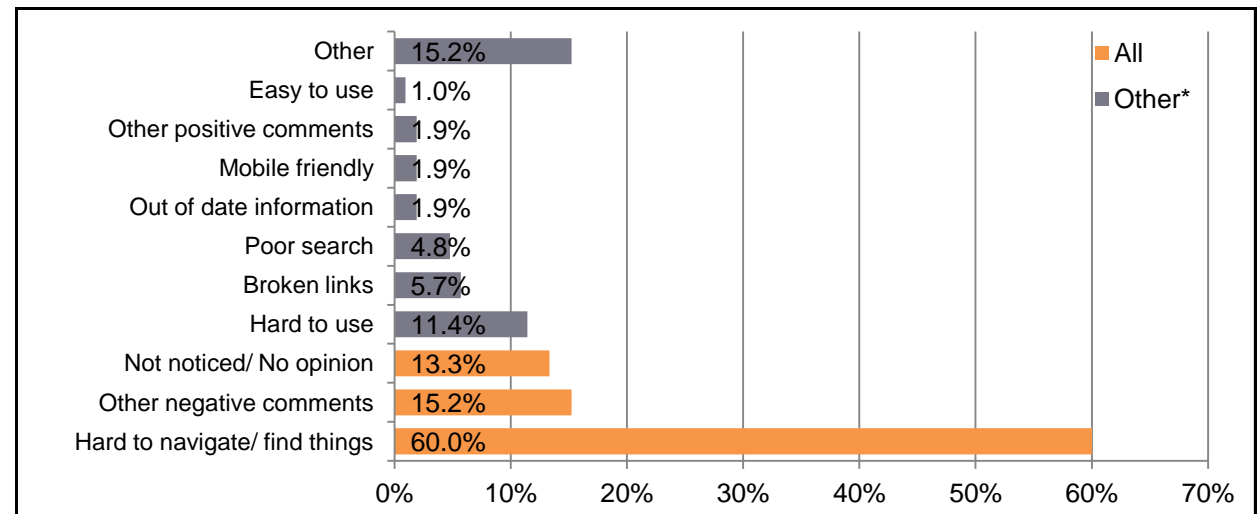
Q8: Do you like the new version of the website? (Comments from those who answered Yes) [Free Text]

		All	Online	Paper
Easy to navigate/ find things	%	44.3%	45.5%	30.0%
	Number	54	51	3
Clear	%	27.9%	25.9%	50.0%
	Number	34	29	5
Easy to use	%	18.9%	17.9%	30.0%
	Number	23	20	3
Other*	%	34.4%	34.8%	30.0%
	Number	42	39	3
Respondents		122	112	10



Q8: Do you like the new version of the website? (Comments from those who answered No) [Free Text]

		All	Online	Paper
Hard to navigate/ find things	%	60.0%	59.0%	80.0%
	Number	63	59	4
Other negative comments	%	15.2%	16.0%	0.0%
	Number	16	16	0
Not noticed/ No opinion	%	13.3%	14.0%	0.0%
	Number	14	14	0
Other*	%	43.8%	44.0%	40.0%
	Number	46	44	2
Respondents		105	100	5



IMPROVING PUBLIC ENGAGEMENT - RESPONSE DETAIL

Q8: Do you like the new version of the website? (Yes: Comments) [Free Text] (Cont.)

		Gender		Age						Ethnic Origin				
All		Male	Female	16 to 24	25 to 39	40 to 55	56 to 59	60 to 64	65+	White British	BME	Disabled	Carer	
Easy to navigate/ find things	%	44.3%	39.1%	53.8%	50.0%	38.7%	48.4%	40.0%	62.5%	43.5%	48.5%	12.5%	50.0%	37.5%
	Number	54	25	21	1	12	15	4	5	10	47	1	2	3
Clear	%	27.9%	25.0%	25.6%	0.0%	32.3%	29.0%	10.0%	12.5%	21.7%	24.7%	12.5%	0.0%	25.0%
	Number	34	16	10	0	10	9	1	1	5	24	1	0	2
Easy to use	%	18.9%	10.9%	23.1%	0.0%	9.7%	16.1%	20.0%	25.0%	26.1%	15.5%	12.5%	25.0%	50.0%
	Number	23	7	9	0	3	5	2	2	6	15	1	1	4
Other*	%	34.4%	43.8%	23.1%	50.0%	48.4%	25.8%	40.0%	12.5%	30.4%	30.9%	75.0%	25.0%	0.0%
	Number	42	28	9	1	15	8	4	1	7	30	6	1	0
Respondents		122	64	39	2	31	31	10	8	23	97	8	4	8

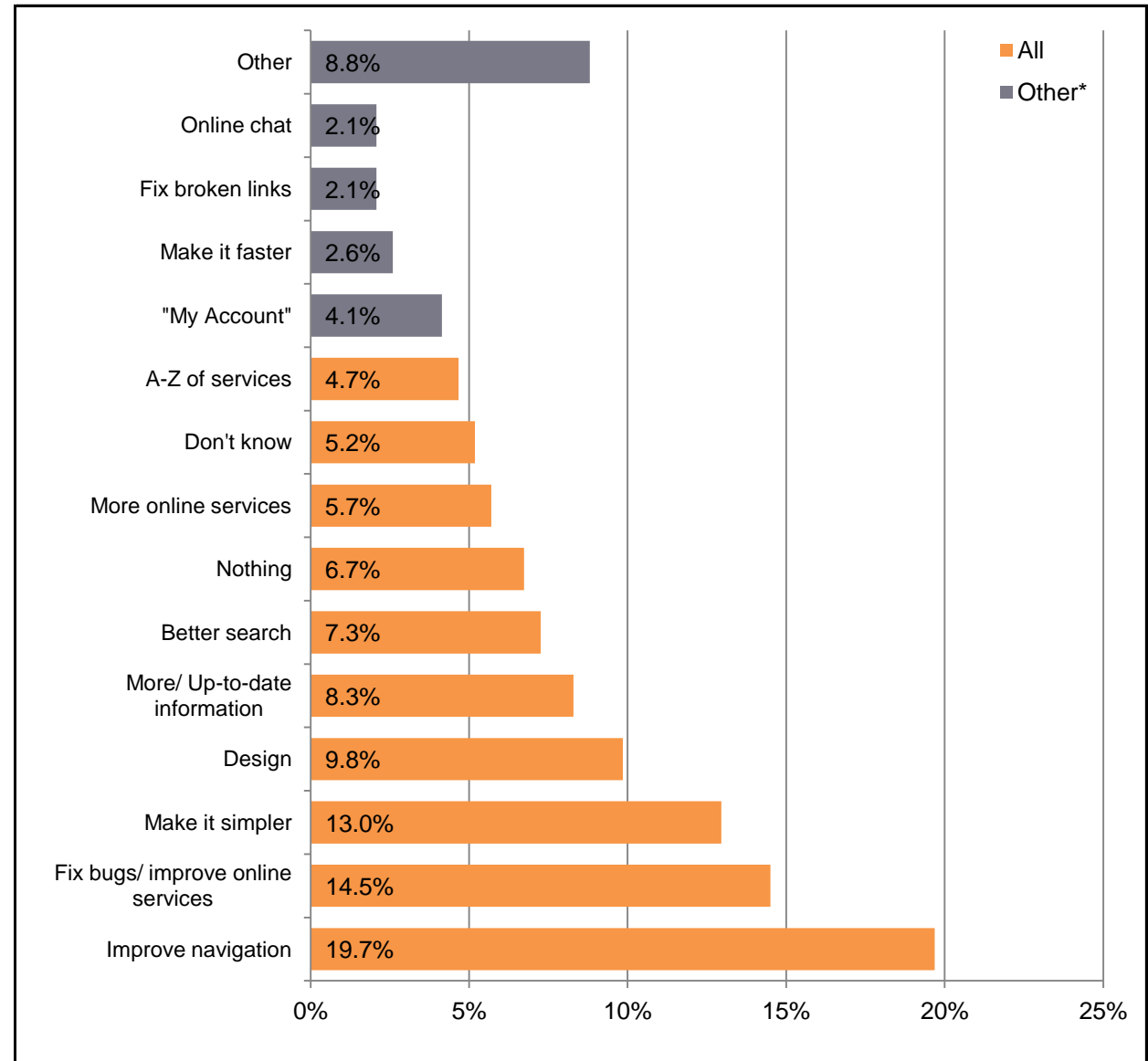
Q8: Do you like the new version of the website? (No: Comments) [Free Text] (Cont.)

		Gender		Age						Ethnic Origin				
All		Male	Female	16 to 24	25 to 39	40 to 55	56 to 59	60 to 64	65+	White British	BME	Disabled	Carer	
Hard to navigate/ find things	%	60.0%	62.2%	56.5%	0.0%	69.4%	64.0%	50.0%	33.3%	50.0%	59.0%	71.4%	66.7%	72.7%
	Number	63	28	26	0	25	16	2	4	6	49	5	4	8
Other negative comments	%	15.2%	15.6%	13.0%	0.0%	13.9%	12.0%	0.0%	25.0%	25.0%	14.5%	14.3%	0.0%	0.0%
	Number	16	7	6	0	5	3	0	3	3	12	1	0	0
Not noticed/ No opinion	%	13.3%	8.9%	15.2%	50.0%	5.6%	8.0%	50.0%	16.7%	16.7%	12.0%	14.3%	16.7%	9.1%
	Number	14	4	7	1	2	2	2	2	2	10	1	1	1
Other*	%	43.8%	42.2%	43.5%	50.0%	44.4%	56.0%	25.0%	58.3%	16.7%	41.0%	57.1%	33.3%	45.5%
	Number	46	19	20	1	16	14	1	7	2	34	4	2	5
Respondents		105	45	46	2	36	25	4	12	12	83	7	6	11

IMPROVING PUBLIC ENGAGEMENT - RESPONSE DETAIL

Q9: If you could improve one thing about our website, what would it be? [Free Text]

		All	Online	Paper
Improve navigation	%	19.7%	18.8%	29.4%
	Number	38	33	5
Fix bugs/ improve online services	%	14.5%	15.3%	5.9%
	Number	28	27	1
Make it simpler	%	13.0%	13.6%	5.9%
	Number	25	24	1
Design	%	9.8%	9.1%	17.6%
	Number	19	16	3
More/ Up-to-date information	%	8.3%	8.5%	5.9%
	Number	16	15	1
Better search	%	7.3%	6.8%	11.8%
	Number	14	12	2
Nothing	%	6.7%	7.4%	0.0%
	Number	13	13	0
More online services	%	5.7%	6.3%	0.0%
	Number	11	11	0
Don't know	%	5.2%	5.1%	5.9%
	Number	10	9	1
A-Z of services	%	4.7%	4.5%	5.9%
	Number	9	8	1
Other*	%	19.7%	19.3%	23.5%
	Number	38	34	4
Respondents		193	176	17



IMPROVING PUBLIC ENGAGEMENT - RESPONSE DETAIL

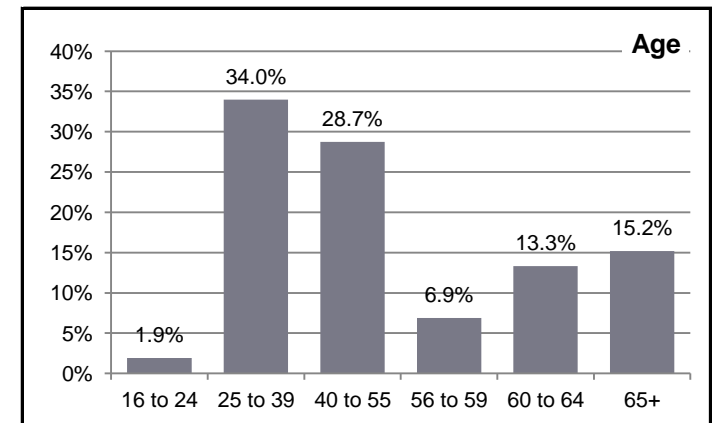
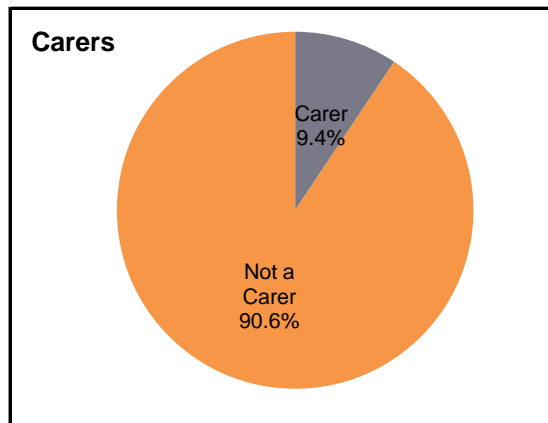
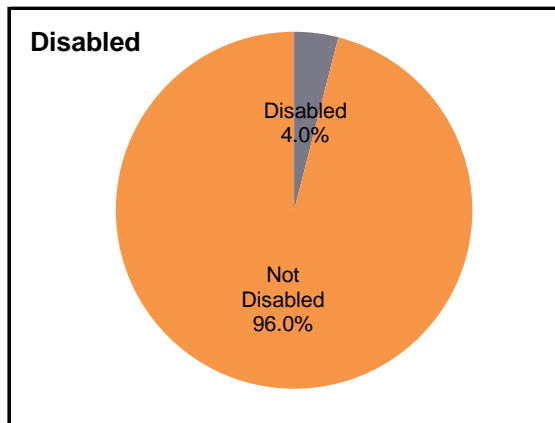
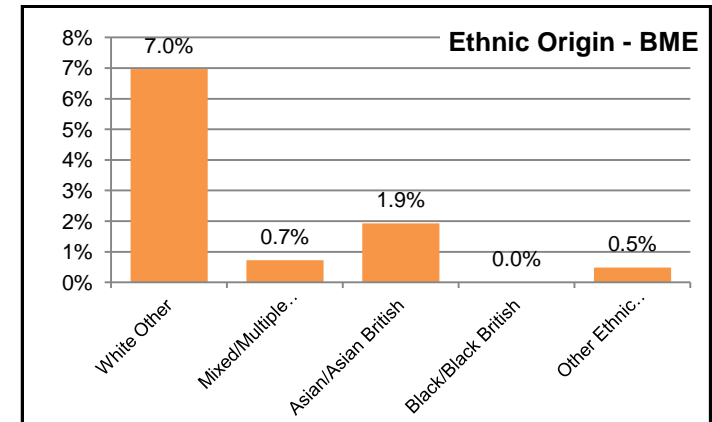
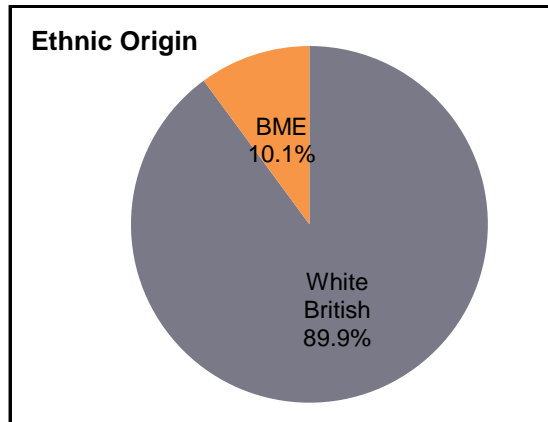
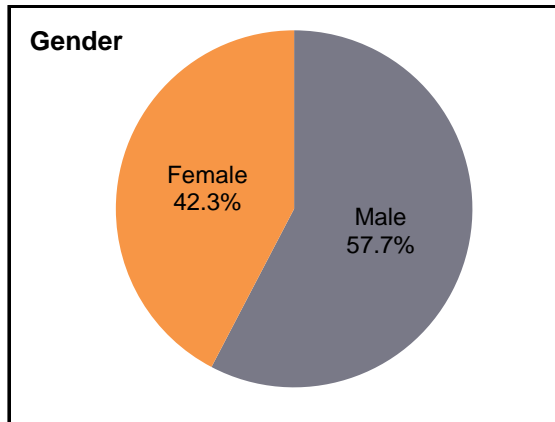
Q9: If you could improve one thing about our website, what would it be? [Free Text] (Cont.)

		Gender		Age						Ethnic Origin				
All		Male	Female	16 to 24	25 to 39	40 to 55	56 to 59	60 to 64	65+	White British	BME	Disabled	Carer	
Improve navigation	%	19.7%	25.0%	15.1%	0.0%	27.7%	21.3%	9.1%	7.1%	12.5%	19.7%	25.0%	25.0%	15.4%
	Number	38	22	11	0	18	10	1	1	3	28	5	2	2
Fix bugs/ improve online services	%	14.5%	15.9%	13.7%	0.0%	18.5%	19.1%	0.0%	14.3%	4.2%	14.1%	10.0%	12.5%	7.7%
	Number	28	14	10	0	12	9	0	2	1	20	2	1	1
Make it simpler	%	13.0%	13.6%	11.0%	0.0%	15.4%	10.6%	9.1%	7.1%	12.5%	13.4%	5.0%	12.5%	7.7%
	Number	25	12	8	0	10	5	1	1	3	19	1	1	1
Design	%	9.8%	6.8%	11.0%	0.0%	12.3%	8.5%	18.2%	14.3%	4.2%	9.2%	15.0%	12.5%	15.4%
	Number	19	6	8	0	8	4	2	2	1	13	3	1	2
More/ Up-to-date information	%	8.3%	5.7%	12.3%	0.0%	4.6%	10.6%	0.0%	7.1%	12.5%	7.7%	10.0%	0.0%	15.4%
	Number	16	5	9	0	3	5	0	1	3	11	2	0	2
Better search	%	7.3%	6.8%	8.2%	0.0%	1.5%	12.8%	9.1%	14.3%	12.5%	7.7%	10.0%	0.0%	15.4%
	Number	14	6	6	0	1	6	1	2	3	11	2	0	2
Nothing	%	6.7%	10.2%	5.5%	0.0%	0.0%	6.4%	9.1%	14.3%	29.2%	9.2%	0.0%	0.0%	7.7%
	Number	13	9	4	0	0	3	1	2	7	13	0	0	1
More online services	%	5.7%	1.1%	9.6%	50.0%	4.6%	6.4%	9.1%	0.0%	0.0%	4.9%	5.0%	0.0%	0.0%
	Number	11	1	7	1	3	3	1	0	0	7	1	0	0
Don't know	%	5.2%	5.7%	5.5%	0.0%	3.1%	4.3%	18.2%	7.1%	8.3%	5.6%	5.0%	0.0%	0.0%
	Number	10	5	4	0	2	2	2	1	2	8	1	0	0
A-Z of services	%	4.7%	2.3%	5.5%	0.0%	0.0%	2.1%	0.0%	28.6%	4.2%	3.5%	0.0%	0.0%	7.7%
	Number	9	2	4	0	0	1	0	4	1	5	0	0	1
Other*	%	19.7%	19.3%	19.2%	50.0%	27.7%	10.6%	27.3%	14.3%	8.3%	18.3%	30.0%	37.5%	15.4%
	Number	38	17	14	1	18	5	3	2	2	26	6	3	2
Respondents		193	88	73	2	65	47	11	14	24	142	20	8	13

IMPROVING PUBLIC ENGAGEMENT - RESPONSE DETAIL

Respondent Demographics

		Gender		Age						Ethnic Origin			
All		Male	Female	16 to 24	25 to 39	40 to 55	56 to 59	60 to 64	65+	White British	BME	Disabled	Carer
%	-	57.7%	42.3%	1.9%	34.0%	28.7%	6.9%	13.3%	15.2%	89.9%	10.1%	4.0%	9.4%
Respondents	572	237	174	8	143	121	29	56	64	374	42	16	34



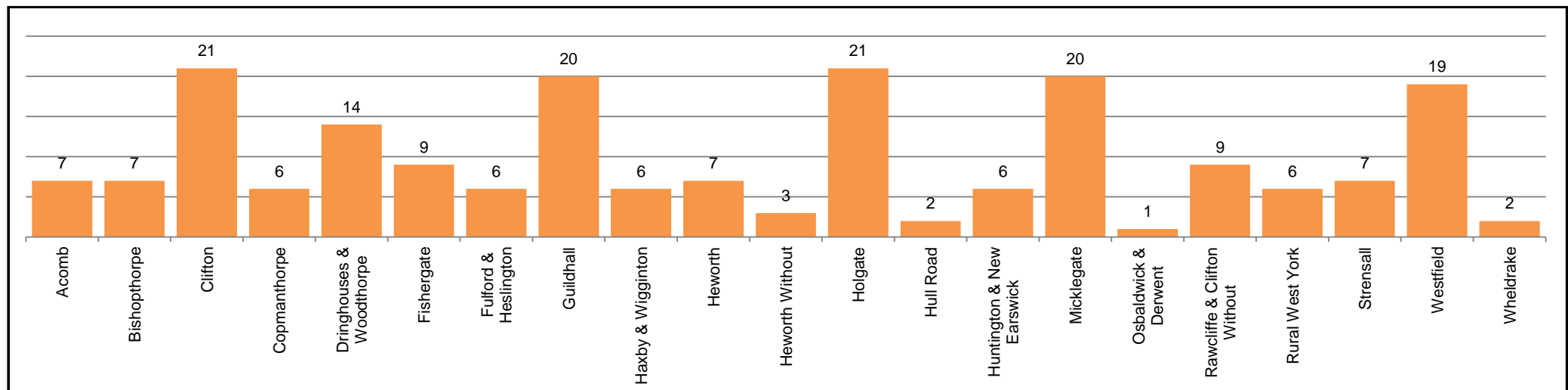
IMPROVING PUBLIC ENGAGEMENT - RESPONSE DETAIL

Respondent Demographics (Cont.)

	Ward							
	All	Acomb	Bishopthorpe	Clifton	Copmanthorpe	Dringhouses & Woodthorpe	Fishergate	Fulford & Heslington
%	-	3.5%	3.5%	10.4%	3.0%	7.0%	4.5%	3.0%
Respondents	572	7	7	21	6	14	9	6

	Guildhall	Haxby & Wigginton	Heworth	Heworth Without	Holgate	Hull Road	Huntington & New Earswick	Micklegate
%	10.0%	3.0%	3.5%	1.5%	10.4%	1.0%	3.0%	10.0%
Respondents	20	6	7	3	21	2	6	20

	Osballdwick & Derwent	Rawcliffe & Clifton Without	Rural West York	Strensall	Westfield	Wheldrake	Unknown Ward
%	0.5%	4.5%	3.0%	3.5%	9.5%	1.0%	1.0%
Respondents	1	9	6	7	19	2	2



This page is intentionally left blank

eDemocracy Scrutiny Review

Comparison of usage figures for CYC website

	Old Site 27 May - 30 Sept 2014	New site 27 May - 30 Sept 2015
Sessions	1,048,964	645,166
Users	608,881	369,197
Page views	3,050,946	1,960,069
Pages / Session	2.91	3.04
Avg. Session Duration	00:02:17	00:02:04
Bounce Rate	50.22%	51.25%
% New Sessions	49.64%	54.54%

Points to note are:

- the change in popular browsers (see pie charts below) can be attributed to more mobile users (safari is the iphone's default browser)
- an increased percentage of new visitors (perhaps more people willing to try the site for the first time?)
- less page views and shorter session duration may be accredited to users are getting what they need to know on their first visit, faster, from more concise content which is displayed across fewer pages, following the content review.
- A higher bounce rate could be that (with the exception of the home page) they came, got what they wanted and left, again because since the content review, they didn't need to click any further. Please see table below for 2015 'landing pages' (eg. where users enter our site) – this can be hard to interpret as we can't tell exactly why users leave...

Top 50 Page Titles (by page views)

	27 May - 30 Sept 2014	27 May - 30 Sept 2015
1	CYC Homepage	CYC Homepage
2	Search Results	Search results
3	Car parks directory	Car parks directory
4	Tour de France	Parking and travel

5	Job vacancies	Council tax
6	Park and Ride	Planning and building
7	Parking	ICT Portal
8	ICT Portal	Sports facilities
9	Council services beginning with City of York Council	Contact us
10	Planning and building control	Energise timetables
11	Traffic and travel information for when the Tour de France comes to York	Waste and Recycling
12	Customer services	Yearsley Pool timetable
13	Council tax	Your council
14	Local Plan	Hazel Court Household Waste Recycling Centre (HWRC)
15	Energise	Jobs, training and volunteering
16	Timetable	Search planning applications
17	Tour de France York Route Map - Tour de France York Route Map - Downloads	Job vacancies
18	Recycling, rubbish and waste	Paying your bill
19	Lendal Bridge	Housing
20	Tour de France in York - Le Grand D'Ã©part	School term dates
21	Libraries and archives	Park and Ride
22	Swimming timetable	Schools and education
23	The Route	Council tax discount and exemptions for students
24	Tour de France in York - Q&As	Swimming at Energise
25	Jobs and training	Coppergate fine repayments
26	School Term Dates 2014/2015	Sports and leisure
27	Yearsley Pool	Our customer centre
28	Swimming at Energise	Towthorpe/Strensall Household Waste Recycling Centre (HWRC)
29	Hazel Court	Benefits
30	Visiting York	Car parks directory - Castle car park - YO1 9SA
31	Paying Your Bill	Adult education courses
32	Castle car park	Park and pay by phone
33	Energise timetables	Car parks directory search
34	Planning applications	Energise
35	Keeping safe and protecting vulnerable adults from harm & abuse	Properties exempt from council tax

36	Parking permits and discounts	News centre
37	Search planning applications	School Term Dates 2015/2016
38	Household waste recycling sites	A to Z of services
39	Prices and discounts	Council tax banding enquiries
40	Housing	Car parks directory - Marygate car park - YO30 7DT
41	YorkCards	Moving to another property
42	York residents' Minster badges	On street parking
43	Council tax discounts and exemptions	Swimming admissions policy
44	Adult education courses	Council tax charges 2015 to 2016
45	Living in York	Applying for a council property
46	Household waste	Household and additional vehicle parking permits
47	What's on Events	Apply for a school place
48	Union Terrace car park	Household waste
49	York Register Office	The City Walls
50	York Explore Library	Yearsley Pool facilities and admissions

50 Most Popular Search Terms (since the new site launched)

('search term' data not available for same period in 2014)

	Total Unique Searches
council tax	1,255
planning	626
jobs	592
coppergate	584
ict portal	447
parking	238
council tax discount	229
councillors	211
planning applications	205
Jobs	199
local view	199
DoltOnline MyAccount	194
Planning	186
Council tax	160
york card	150
bus pass	149
meetings	147

vacancies	142
planning application	134
planning and building control	132
car parks	130
council tax exemption	130
schools term holiday and other closure dates	119
hazel court	118
lental bridge	117
council meetings	112
housing	106
school holidays	105
blue badge	104
park and ride	104
Jobvacancies	101
local plan	100
recycling	100
portal	98
lental Request Refund	97
yfas	96
job vacancies	91
do it online	90
highways	90
waste	88
licensing	87
repairs	87
school admissions	87
Coppergate	84
minster badge	80
student exemption	80
Energise	79
library	77
pest control	77
housing benefit	76

Most Popular 'landing pages' (since launch of new site)

Page Title	Sessions
City of York Council website home page	179,960
Energise timetables Energise timetables	17,437
Sports facilities	16,889
Yearsley Pool timetable Yearsley Pool	16,465

timetable	
ICT Portal ICT Portal	16,408
Parking and travel	14,932
Car parks directory	13,875
Council tax	12,487
School term dates School term dates	9,246
ICT Portal ICT Portal	8,881
Hazel Court Household Waste Recycling Centre (HWRC) Hazel Court Household Waste Recycling Centre (HWRC)	8,649
Planning and building	7,674
Waste and Recycling	6,816
Park and Ride Park and Ride	6,462
Council tax discount and exemptions for students Council tax discount and exemptions for students	6,097
Coppergate fine repayments Coppergate fine repayments	5,035
Towthorpe/Strensall Household Waste Recycling Centre (HWRC) Towthorpe/Strensall Household Waste Recycling Centre (HWRC)	4,929
Adult education courses Adult education courses	4,441
Contact us	3,856
Paying your bill Paying your bill	3,805
The City Walls The City Walls	3,551
Swimming admissions policy Swimming admissions policy	3,546
Properties exempt from council tax Properties exempt from council tax	3,396
Contact us	3,050
A to Z of services	2,892
City of York Council website home page	2,404
Council tax charges 2015 to 2016 Council tax charges 2015 to 2016	2,316
Parking and travel	2,241
Housing	2,138
York Crematorium York Crematorium	2,008
York residents' Minster badge York residents' Minster badge	1,988
Benefits	1,920
Coppergate fine repayments Coppergate fine	1,874

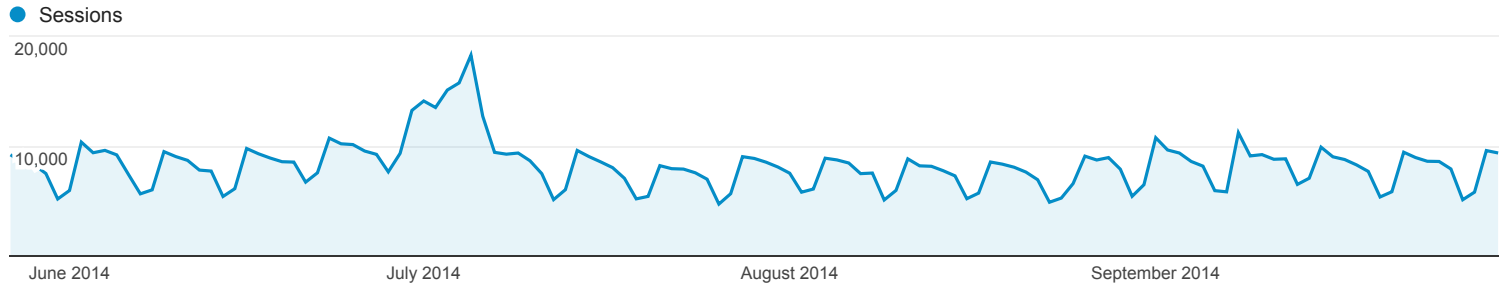
repayments	
Parking and travel	1,804
Our customer centre Our customer centre	1,796
Births, deaths and marriages	1,618
Apply for a school place Apply for a school place	1,569
Page not found	1,538
Council tax	1,535
Car parks directory - Castle car park - YO1 9SA	1,525
Staff warning register Staff warning register	1,522
Council tax	1,494
Your Details - Entitledto	1,463
Household waste Household waste	1,422
Car parks directory - Marygate car park - YO30 7DT	1,416
Household and additional vehicle parking permits Household and additional vehicle parking permits	1,370
Parking and travel	1,362
Page not found	1,331
Building control Building control	1,303
School data reporting School data reporting	1,251

May 27, 2014 - Sep 30, 2014

Audience Overview

All Sessions
100.00%

Overview



Sessions
1,048,964

Users
608,881

Pageviews
3,050,946

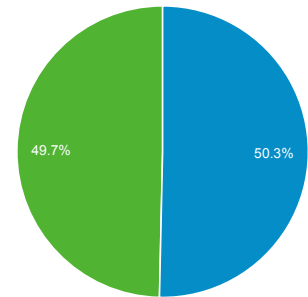
Pages / Session
2.91

Avg. Session Duration
00:02:17

Bounce Rate
50.22%

% New Sessions
49.64%

■ Returning Visitor ■ New Visitor



Browser	Sessions	% Sessions
1. Internet Explorer	300,091	28.61%
2. Safari	296,852	28.30%
3. Chrome	255,835	24.39%
4. Firefox	77,595	7.40%
5. Android Browser	56,249	5.36%
6. SiteCon Browser	38,165	3.64%
7. Safari (in-app)	8,865	0.85%
8. Amazon Silk	7,045	0.67%
9. BlackBerry	2,563	0.24%
10. Opera	2,155	0.21%

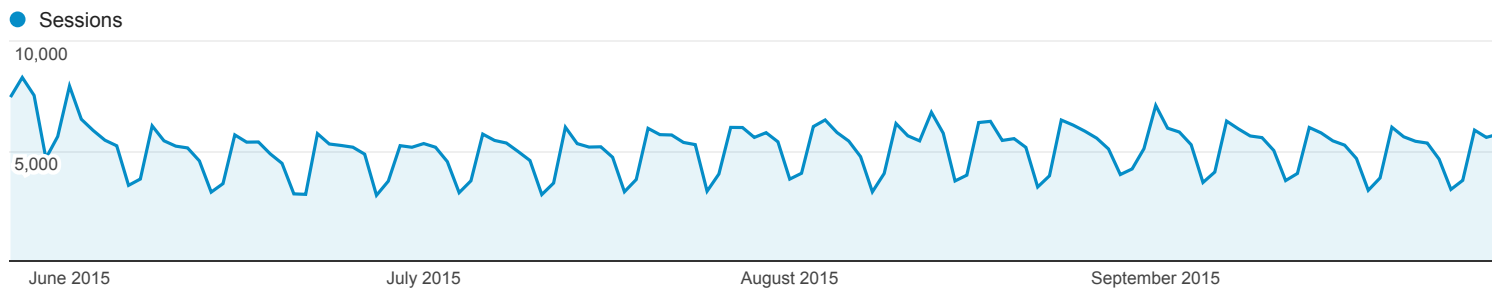
This page is intentionally left blank

May 27, 2015 - Sep 30, 2015

Audience Overview

All Sessions
100.00%

Overview



Sessions
645,166

Users
369,197

Pageviews
1,960,069

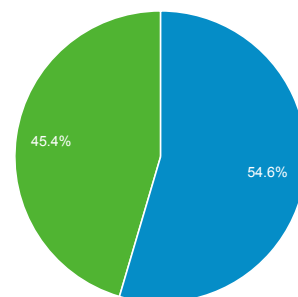
Pages / Session
3.04

Avg. Session Duration
00:02:04

Bounce Rate
51.25%

% New Sessions
54.54%

■ New Visitor ■ Returning Visitor



Browser	Sessions	% Sessions
1. Safari	184,601	28.61%
2. Chrome	182,703	28.32%
3. Internet Explorer	154,422	23.94%
4. Firefox	52,952	8.21%
5. SiteCon Browser	39,934	6.19%
6. Android Browser	15,470	2.40%
7. Safari (in-app)	4,988	0.77%
8. Amazon Silk	4,237	0.66%
9. Edge	2,675	0.41%
10. Opera	1,062	0.16%

This page is intentionally left blank

WiFi Availability

Free WiFi is available in:

13 Libraries:

- York Explore
- Dringhouses Library
- Dunnington Library
- Compmanthorpe Library
- Clifton Library
- Haxby Library
- Huntington Library
- Poppleton Library
- New Earswick Library
- Rowntrees Park Cafe
- Strensall Library
- Tang Hall Library
- Acomb Library

11 Corporate Buildings:

- West Offices
- Sycamore House
- Hazel Court
- Energise
- Yorkcraft
- Rougier House
- Guildhall
- Kings Court
- Registrars
- Cells
- Nursery Drive

23 Community Buildings where it is hoped the installation will help provide a one-stop option for council services.

- Ordance Lane
- Marjorie Waite Court
- Castlegate

- Burtonstone Community Centre
- Moorlane youth Centre
- Tang Hall Community Centre
- Barstow House
- Clementhorpe Community Centre
- Clements Hall Community Centre
- Melbourne Centre
- Foxwood Community Centre
- Oaken Grove community Centre
- Priors Street
- Sanderson Court
- Poppleton Memorial Hall
- Alex Lyon House
- City Mills
- Honeysuckle House
- Delwood
- Lovell House
- Lincoln Court
- The Glebe
-

6 Park & Ride Sites All Park & Ride buses are equipped with free WiFi:

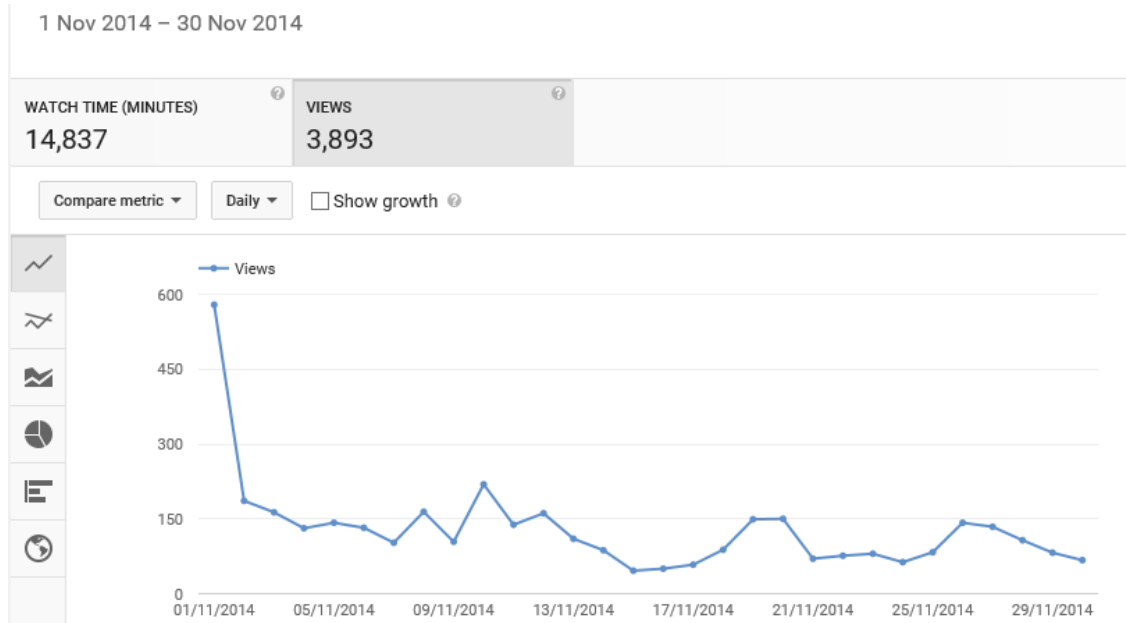
- Monks Cross Park and Ride
- Grimston Bar park and Ride
- Designer Outlet Park and ride
- Askham Bar Park and Ride
- Poppleton Bar Park and Ride
- Rawcliffe Bar Park and Ride

7 Older People's Homes where residents and visitors can access online services in communal areas.

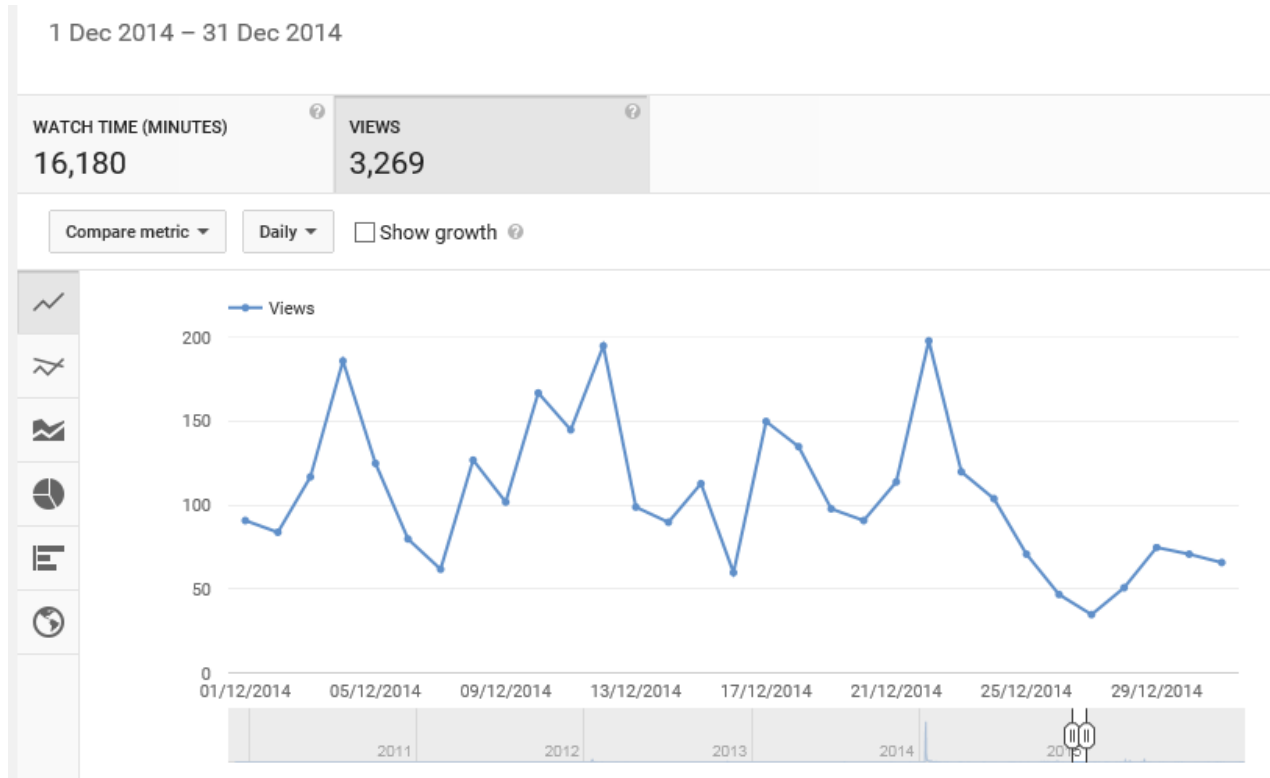
- Morrell house
- Grove House
- Windsor House
- Willow House
- Woolnough House
- Haxby Hall
- Oakhaven

Webcasting analytics: ANNEX H

November 2014

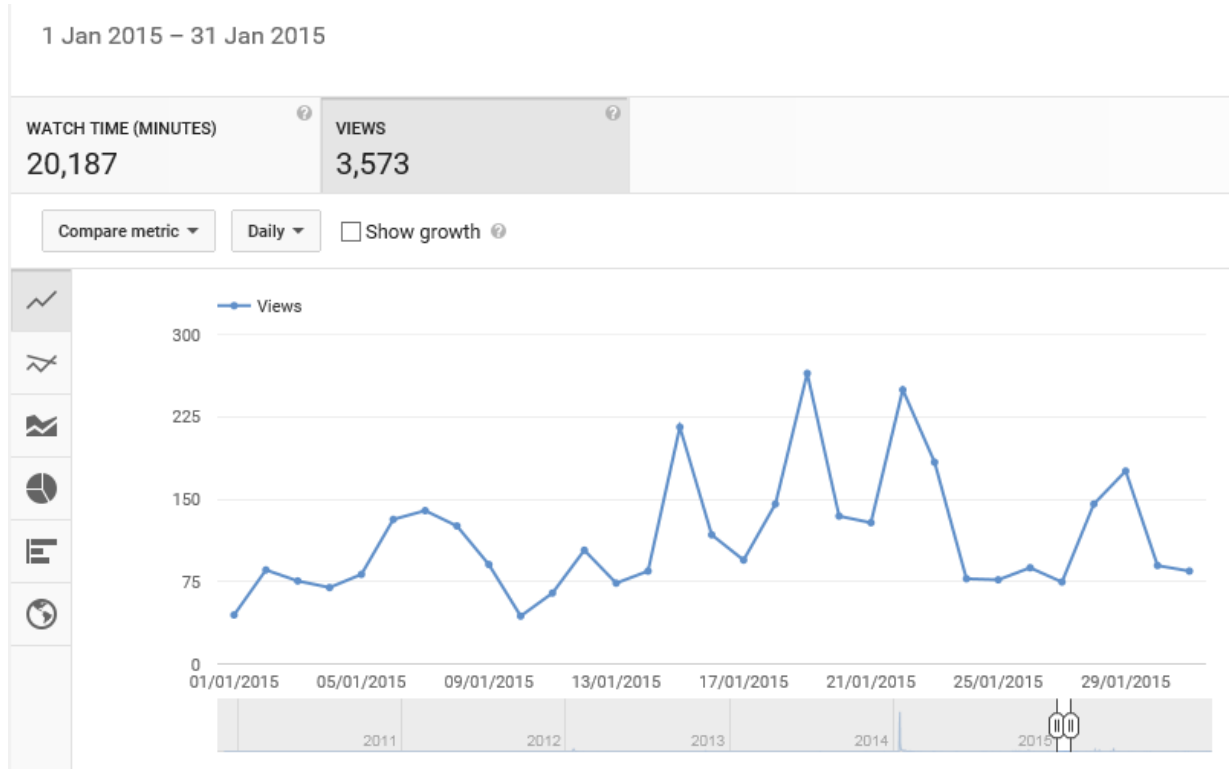


December 2014

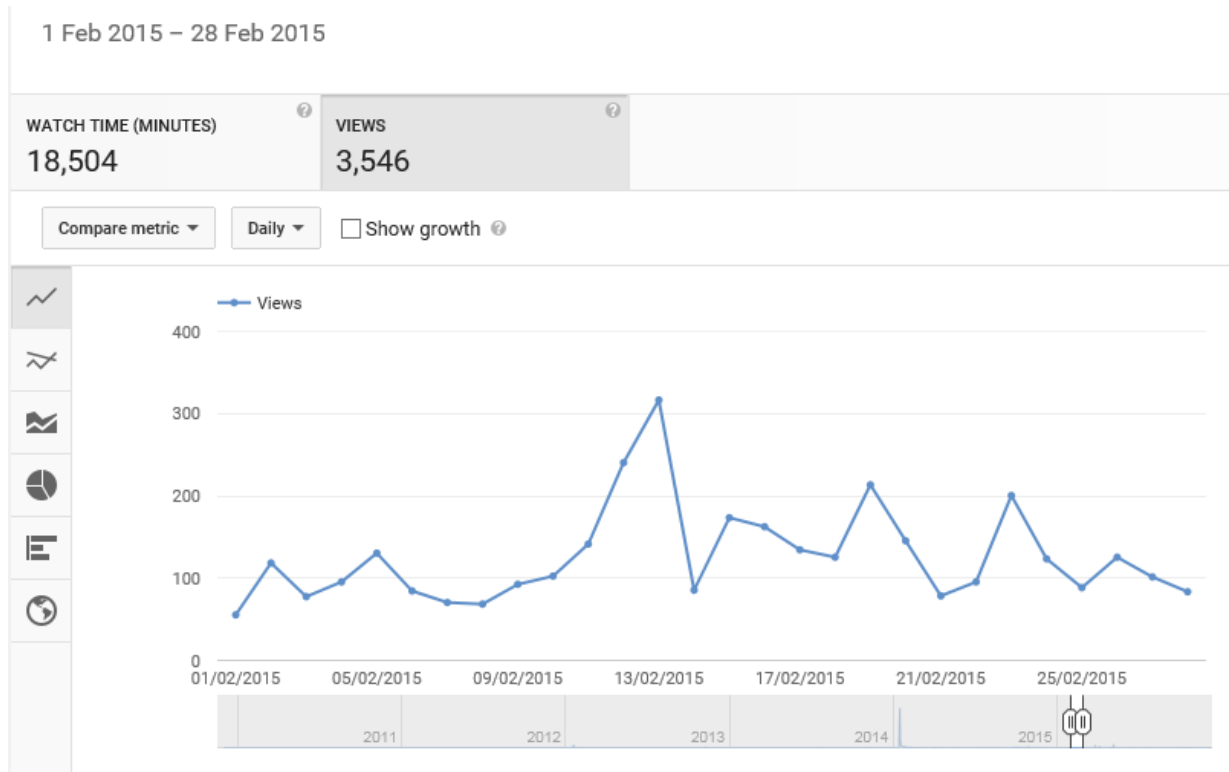


Communications Team

January 2015

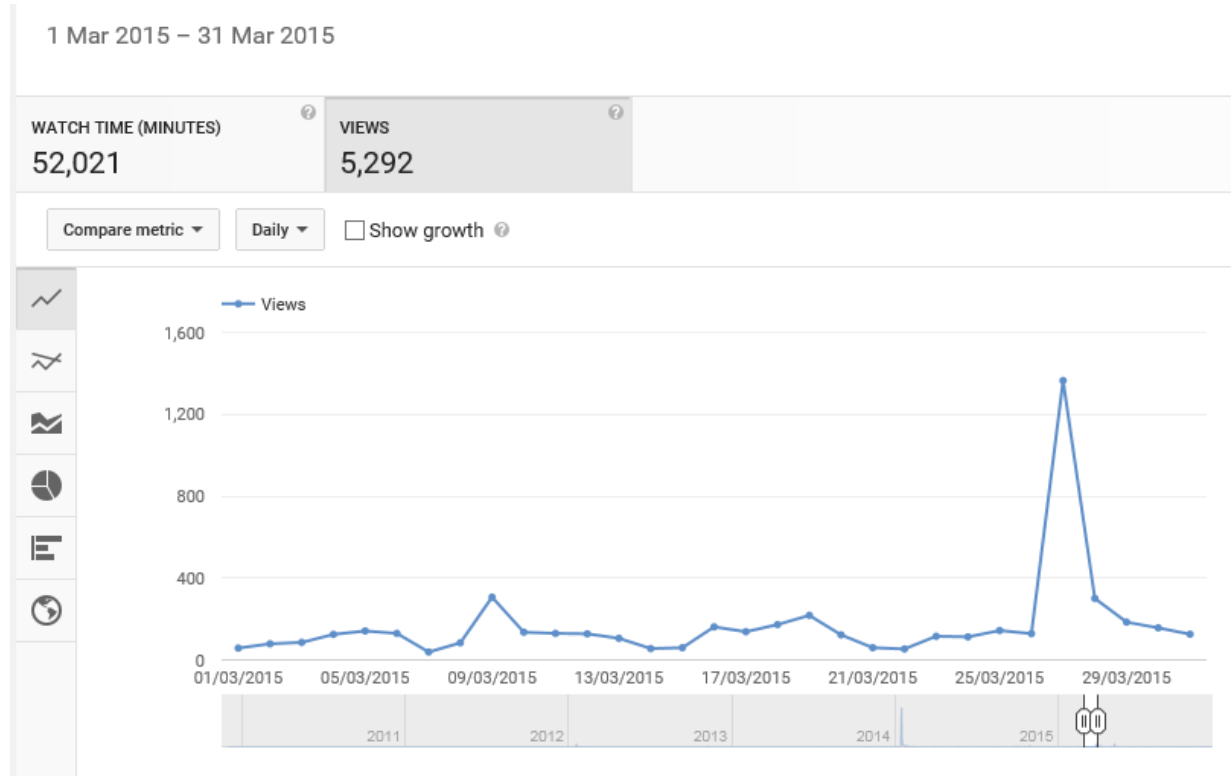


February 2015

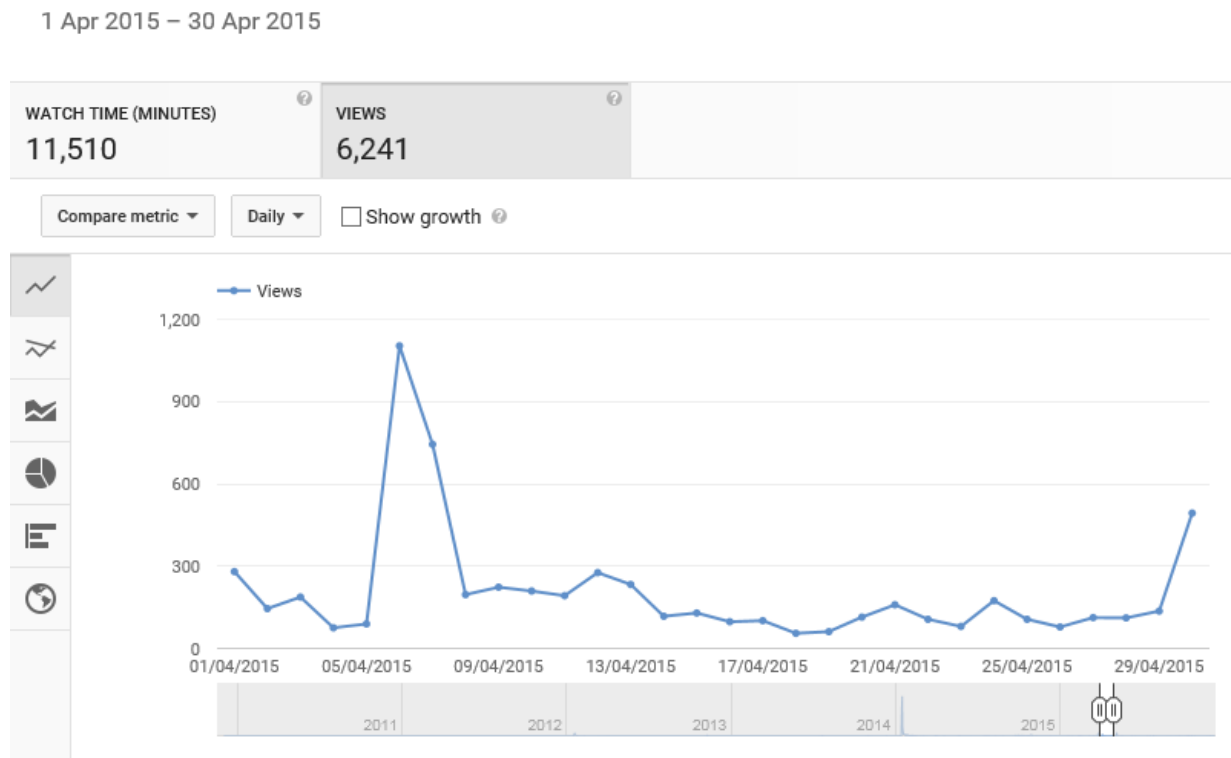


Communications Team

March 2015

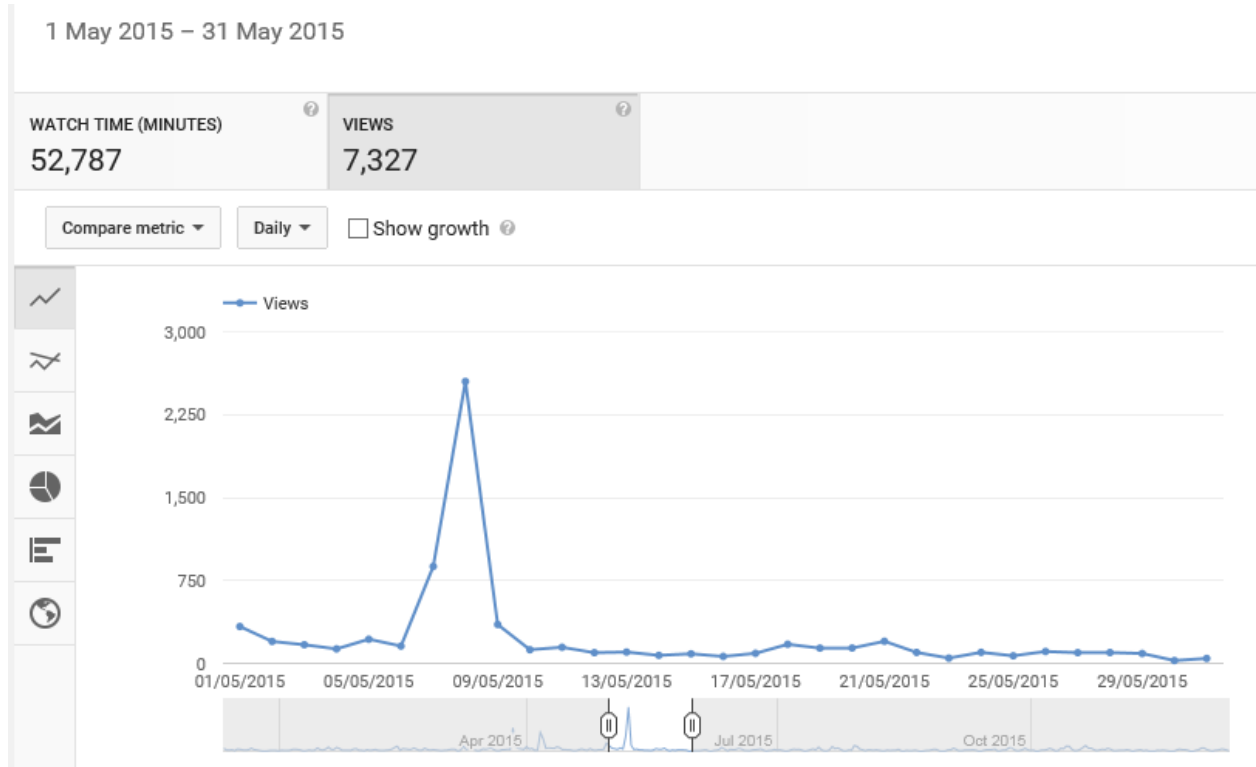


April 2015

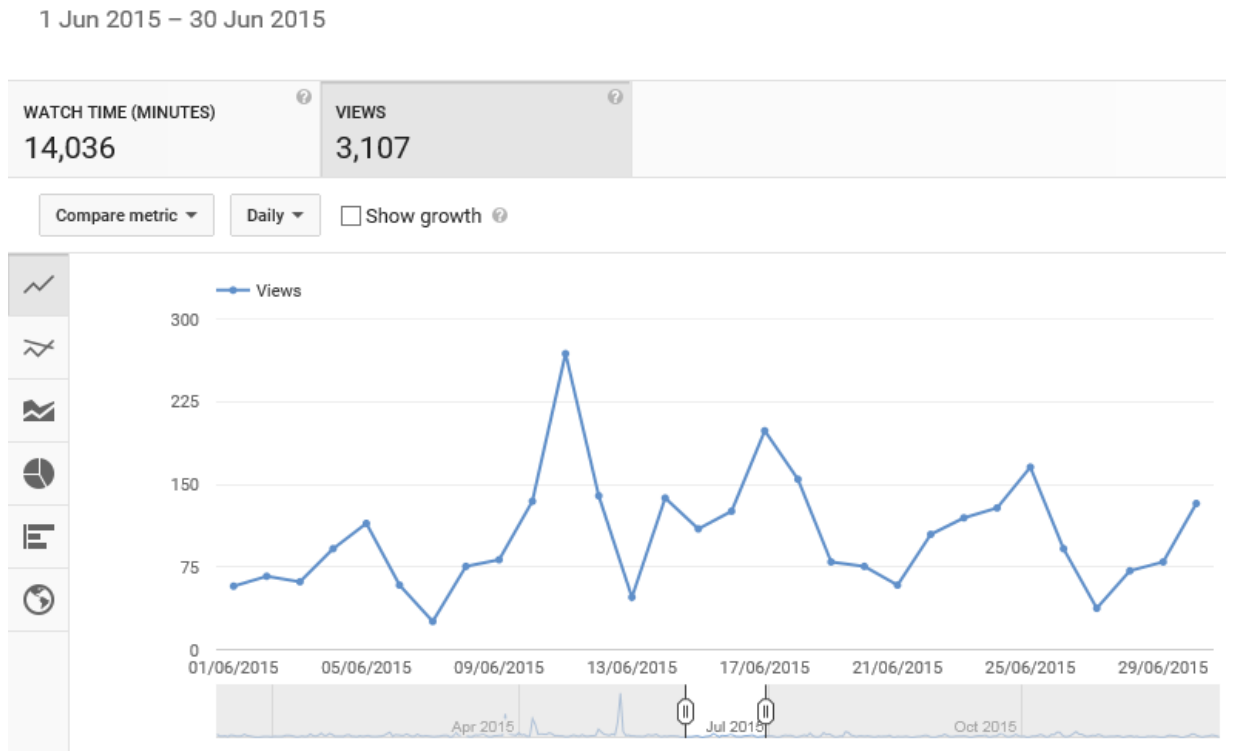


Communications Team

May 2015

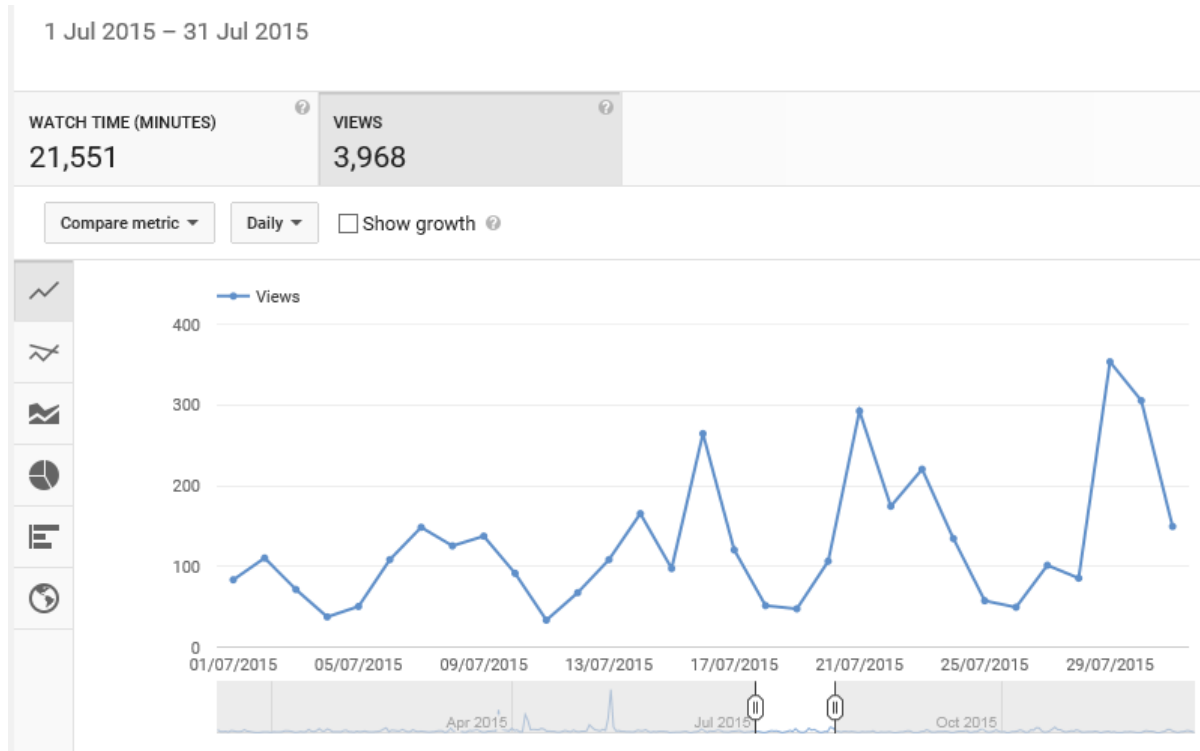


June 2015

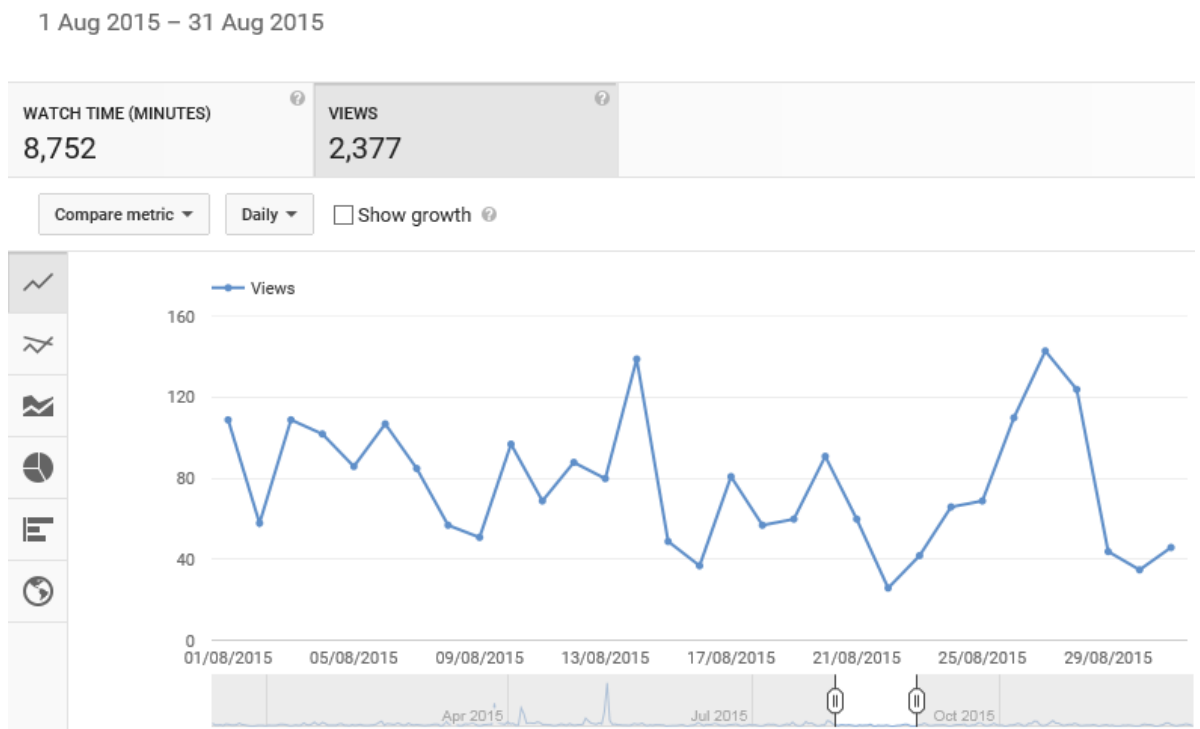


Communications Team

July 2015

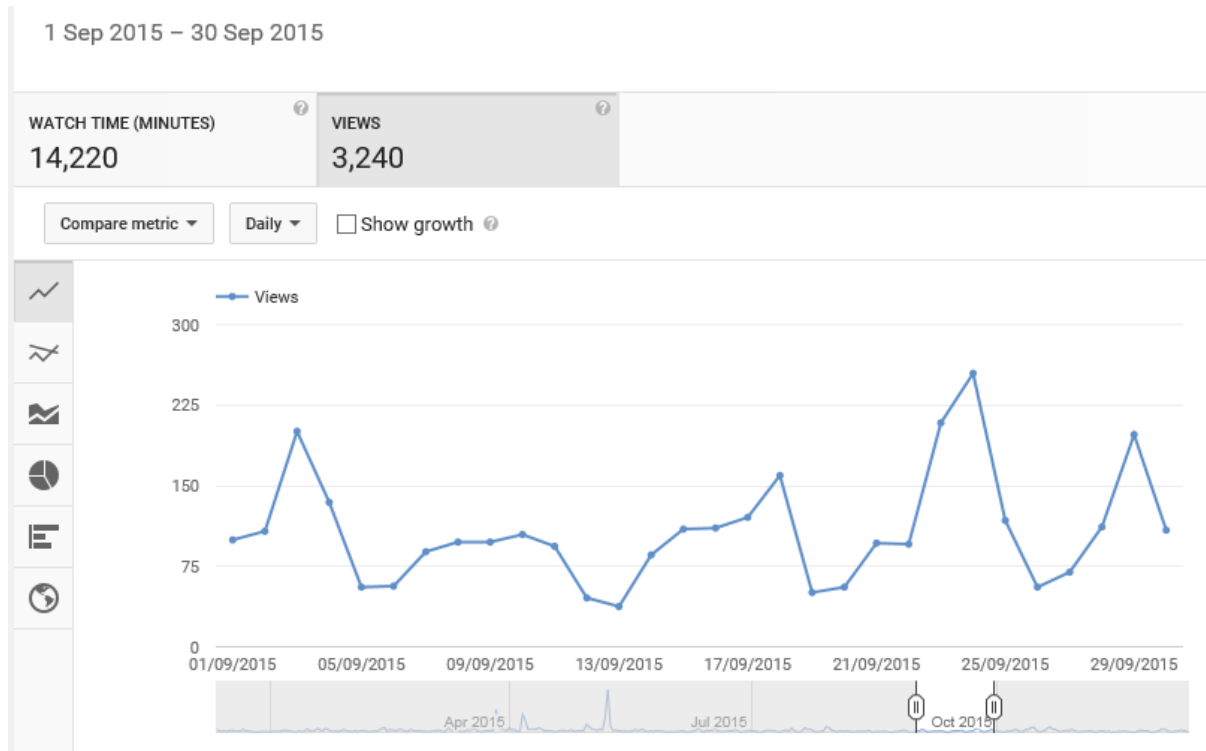


August 2015

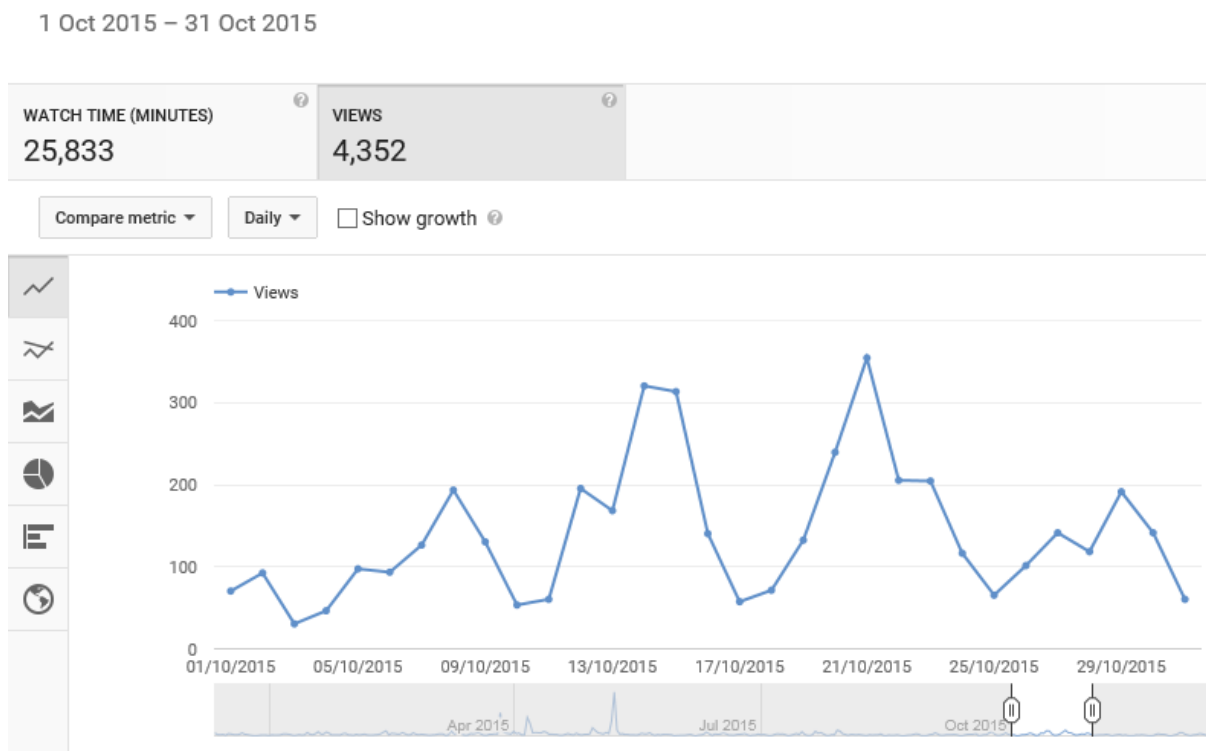


Communications Team

September 2015

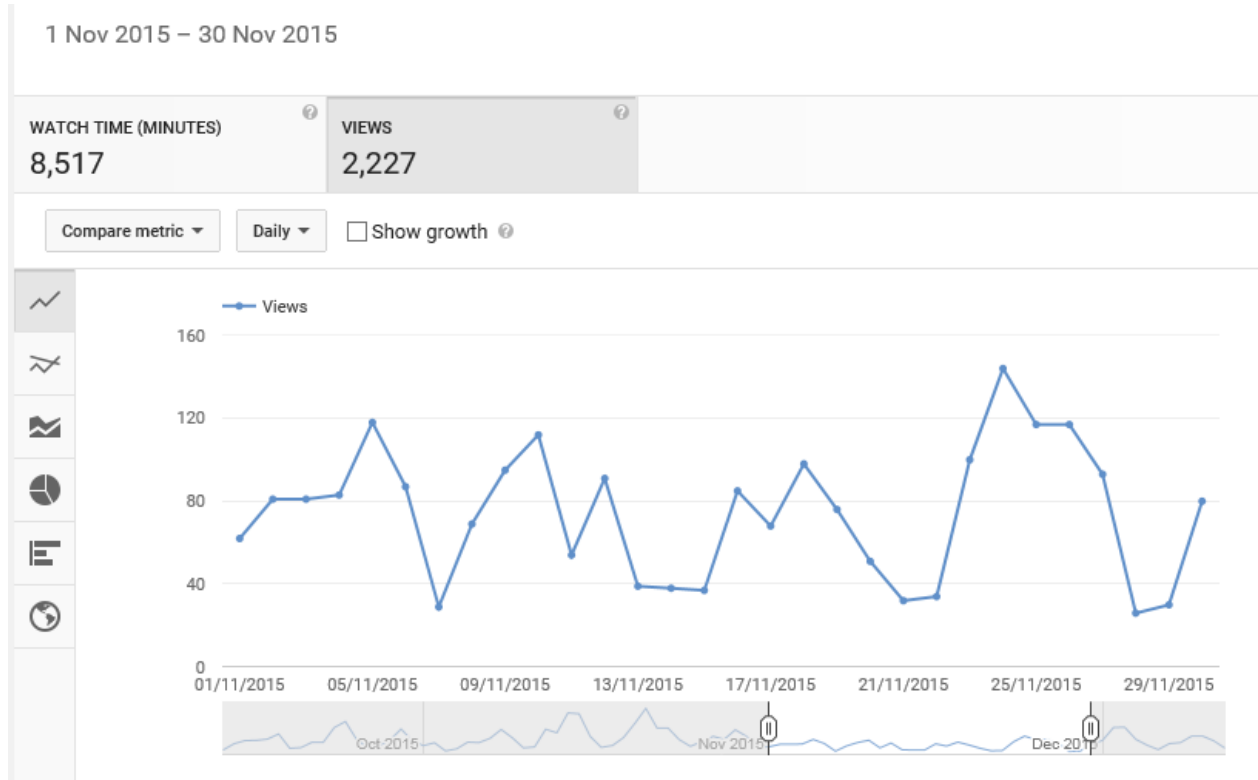


October 2015



Communications Team

November 2015



This page is intentionally left blank



Executive

11th February 2015

Report of the Director of Customer & Business Support Services

Developing On-line Access to Council Services**Introduction**

1. This report presents Executive Members with proposed vision and principles which will drive the design of the new digital customer platform and the council's future on-line interactions with our residents and other customers and which will underpin the programme of work across all council services.
2. It also presents Members with details of the project management delivery arrangements for the expansion of digital services to residents and other service users covering:
 - Governance
 - Plans
 - Priorities
 - Communication Plans.
3. This report also provides a response to the E-Democracy Scrutiny Review Task Group recommendations along with resident survey results.

Recommendations

4. Executive Members are asked to consider the contents of this report and to agree:
 - a) the principles driving the design of the new customer digital platform;
 - b) to endorse the plans in relation to the project for the delivery and expansion of on-line services to residents and other service users; and

- c) the response to the recommendations from the Corporate and Scrutiny Management Policy & Scrutiny Committee (CSMC) E-Democracy Scrutiny Review.

***Reason:** To ensure Executive members have enough information in leading the agenda for digitalisation of services and improved access to services, with associated benefits for residents as well as the efficiencies generated.*

Background

Vision and Principles

5. The vision statement for this work is:

“CYC’s vision is to be a customer focused organisation placing residents and visitors at the heart of everything we do, supporting customers to do more for themselves by providing high quality and responsive digital services to ensure CYC are always open and available and easy for everyone to use”.

6. In order to build on and deliver the vision for integrated and seamless transactions both over the web and through other channels of customer choice, the importance of a stable and fully supportive Customer Relationship Management (CRM) system is recognised as being one of the cornerstones of digital service delivery alongside the council’s new website and mobile working technologies in operation.
7. The step changes made to the website over the last year have made a significant difference in terms of the customer experience and shifting customers to using the website for digital services. Significant advancements have been made in terms of:
- the search function;
 - a modern, customer focused interface;
 - enhanced information quality;
 - an interface that adjusts to be usable on a standard PC or on mobile devices of different types.
8. The purpose of the CRM project (now known as the Digital Services Project) is to put in place the processes and technology to enable the next step in the journey, which is to place the transactional

elements of the customer's journey online. This work will build on the already successful work on 'doitonline' reporting and provide a richer more integrated offer for the customer with the Oracle system that has been procured and which will integrate with the website, and eventually all resident facing council services.

9. In designing the approach to this project, the following principles will drive all work undertaken within its work streams:

- **Provide digital access to services and ensure digital inclusion for all customers and residents is at the core of service development and improvement.**

This will be achieved by:

- providing information and access to services on-line using best of breed technology;
- building customer and resident skills, connectivity and accessibility.

- **Ensure that CYC and any partners are easy to do business with.**

This will be achieved by:

- customers and residents can rely on the form of contact they choose whether digital, by telephone or for those that need it, face to face service provision;
- high quality outcomes in answering enquiries right first time and reducing failure demand.

- **Take a single organisation and customer focussed approach to service design and provision of services.**

This will be achieved by:

- redesigning services in an integrated way with the customer/resident involved and at the heart of the solution;
- reducing transactions and / or stages the customer has to go through to achieve enquiry resolution;
- stop activity that adds little or no value to the resident/customer.

- **Become an enabler rather than gate-keeper.**

This will be achieved by:

- designing responses, systems and processes to say 'yes' or 'have you tried...?' rather than 'no we/you can't'.
- put the resident/customer first not the process or the line manager.

- **Be flexible and responsive to changes in our customer base to ensure continuous improvement.**

This will be achieved by

- listening to feedback in all its forms;
- telling customers/residents/partners what has changed and why;
- work with customers/residents/partners on joint solutions;
- review what intelligence/data shows about what residents and customers think, feel and need.

10. As such the project is designed to deliver a step change in how the council does business with residents and communities. There will not simply be a focus on the first point of contact, but a root and branch analysis of the business model, the processes that support the model, the organisational structure and the enablers to unlock new ways of working.
11. The specific features of the system and new facilities such as feedback systems and webchat, are outlined in the E-Democracy Scrutiny Task Group report which Executive Members have considered earlier within this meeting's agenda.

Governance

12. The project sponsor is the Assistant Director responsible for Customer Services who leads the cross service Digital Services Project (DSP) Board. The Project Team has a Customer Services Project Manager working alongside an ICT Project Manager with the necessary technical and operational project support. The team are working closely with Oracle's implementation partners, Connection Point, to produce and deliver the Oracle platform and priority digital service implementation plans.
13. The Project Board will feed progress reports into the Corporate Management Team, Executive and any ongoing scrutiny reviews, and will defer to the council's ICT Board on technical decisions.
14. The role of the Project Board is to enable the project sponsor to deliver the project benefits, and in particular:
 - to monitor the project progress and ensure that the interests of the business are best served; and

- to provide a forum for taking strategic, cross-functional decisions, removing obstacles, and for resolving issues.

Plans

15. The planning of the system implementation and roll-out of on-line services will take place on a phased approach . The objective of Phase 1 is to plan and prepare for the introduction of the Oracle Platform to replace the existing customer system and start the work on delivering the packages of work related to the six priority areas. As shown in the plan at Annex A this work will be the focus for the next six months. The agile nature of this works will mean that priorities will change over time, and the six priorities will be at different stages at the point of go-live during the summer months. A key tenet of the work will be not to affect the functionality that users currently experience but that improvements will be made over time and changes will be well communicated.
16. A project brief is being agreed during the initial engagement with each business area with senior business stakeholders and with the assistance from the project team in order to outline what the principles will be and what the outputs will be.
17. The current business area model is being explored in each service through a series of workshops to produce an “AS IS” model for the business area and then a further series of workshops to produce a “TO BE” model that will be articulated in a business case which will be presented to board for decision / approval. The implementation will be planned as part of the business case. This has already been completed for the Revenues and Benefits work streams.
18. The project board will determine the priorities of the work and this will be informed by a number of factors including customer desire, business readiness, systems readiness, financial savings and practicalities, such as the need to move processes that currently exist in the current CRM solution to new processes in the new Oracle solution.
19. Following the completion of the planning and architecture phase, the construction of the platform for electronic service delivery will commence.

20. A programme for Phase 2 will be populated as Phase 1 starts to be delivered and will plan for the delivery of the digital customer interfaces for the rest of the council's services and, as appropriate, partner organisations.

Priorities

21. The current priority services to transition on-line via the new Oracle system are listed below and have been formed from a combination of the following criterion:

- providing continuity of service for existing on-line services, for example, street issue reporting and on-line payments;
- where high transaction levels point to the ability to move significant numbers of transactions away from more expensive channels (face to face and telephone) to cheaper on-line provision, for example, parking and feedback/complaints;
- where a traditional back-office function can be made more efficient and an improved customer experience is produced by automating processes, for example council tax and other revenue collection activities and benefits.

22. The current priority services as determined by the Project Board are as follows:

- Waste (missed bins, new container/service, bulky collection)
- Highways (highway defect, street light defect, drainage)
- Public realm (litter report, fly tipping, graffiti)
- Revenues
- Benefits
- Feedback (complaints/compliments/requests for information).

NB There is a parallel interim on-line solution for parking transactions in development. Whilst this is a necessary short term solution to an existing manual and paper based system and is not being developed within Oracle at the current time, this work is being monitored by the Digital Services Project Board.

23. There is a recognition by the Project team, however, that the priority list may change over the short and medium term, given that there are other major system and service re-engineering changes being undertaken in the council particularly in relation to adults and children's services. As such there may be a need to be agile around timescales should the resulting transformation of the front offices for those services shift to the customer centre sooner rather than later. The Project Board through its cross service membership is monitoring all such developments to ensure an integrated and coherent approach.

Communication Plans

24. The communications strategy and plans for the project are currently under construction but the draft objectives for communications for the project are to:

- Publicise and encourage engagement with the 'My Account' portal for both staff and residents.
- Give confidence that digital inclusion for all customers and residents is at the core of service development and improvement.
- Demonstrate that the council is easy to do business with.
- Demonstrate that the council is flexible and responsive to changes in our customer base to ensure continuous improvement.

25. Draft timescales and actions are contained in Annex B and responsible officers and spokespersons are identified in the detailed version.

Consultation

Public Consultation

26. Residents were involved in the design of the website and continue to feed into this work on an ongoing basis. This approach will also be at the core of the Digital Services Project. This has been facilitated at an early stage by the work of Members through the work of the E-Democracy Scrutiny Review Task Group who have

been conducting a survey relating to on-line services over the last few months. This survey closed on 20th January 2015 and the summarised responses can be found in the Scrutiny report attached to the agenda for this meeting of the Executive.

27. Particularly relevant to this project and the immediate benefits that residents will see once the new system is in place is Question 10 of the resident survey: *Would it help you to be able to track your requests, reports and payments via our website?* 90.3% of respondents said that it would help them.
28. Resident feedback will continue to shape the work of the Digital Services Project on an ongoing basis and road testing with resident groups will precede any service launch.

Staff Engagement

29. Staff in Customer and Business Support Services have been aware of developments over the past nine months or so and at an early stage over 300 staff gave their views as to what they wanted to see from a new website and on line services. In the last few weeks further sessions have been held, again with around 300 staff, to feedback on how their views informed the specification of the new system and to gain views on maximising take-up of on line services and tackling barriers to digital inclusion. Initial meetings have also been held with Directorate Management Teams and further wider engagement sessions are planned to integrate with roll-out plans for the system (see Annex B).

Response to Scrutiny Recommendations

30. The following table summarises the recommendations arising from the E-Democracy Scrutiny Review set up by the Corporate & Scrutiny Management Policy & Scrutiny Committee (CSMC) with a recommended response for consideration by Executive Members:

Recommendation	Response
To make the delivery of online services a priority to enable ease of access for residents and lead to potential efficiency savings within the Council.	Agreed as per the recommendations of this report

Recommendation	Response
Identify any potential reasons which would lead to the poor take up of My Account by York residents as these could present a risk to the successful rolling out of the new system.	To continue to manage as a key risk to the project and work with CSMC on solutions.
Carry out market research and public consultation during the My Account design process similar to that carried out for the website	Planning has already started on this work.
Make My Account training sessions available for Members so they fully understand the features and utilisation of the system and are able to pass on this knowledge to residents.	To build into training plans.
Implement a comprehensive online video tutorial outlining the key functionality of the My Account system.	To build into training plans
Explore the strong integration of My Account so individuals can be “tagged” as a result of issue-based contact with CYC so they can then be signposted to the relevant decision session/committee with which they might have an interest.	To consider as part of the design of ‘My Account’
Explore hyperlinking agenda items on CYC’s Youtube channel and the possibility of rolling this out to all webcast uploads for ease of access.	A pilot has already commenced and will be rolled out to Executive and Council meetings initially.

Options

31. The options available to Executive are:

- a. To agree or amend the principles driving the design of the new customer digital platform;
- b. To agree or disagree to endorse the plans in relation to the project for the delivery and expansion of on-line services to residents and other service users; and
- c. To agree or amend the response to the recommendations from the Corporate and Scrutiny Management Policy & Scrutiny Committee (CSMC) E-Democracy Scrutiny Review.

Analysis

32. None required for the purpose of this report. Further work will be undertaken to analyse the results of the resident on-line service survey which closed on 20th January 2016.

Council Plan 2015 - 19

33. The recommendations in this paper provide the opportunity to deliver tangible and measurable benefits to residents and customers in line with the Council Plan priorities and in particular the following:
- **a focus on frontline services** - to ensure all residents, , can access reliable services in an efficient and convenient way but also ensuring that face to face and phone facilities remain for those residents that require greater support; and
 - **a council that listens to residents** - to ensure it delivers the services they want and works in partnership with local communities.

Implications

- 34.
- (a) Financial** – the direct savings associated with implementing the Oracle system are £340k within the first 18 months with anticipated further savings in future years as channel shift targets are developed, achieved and, hopefully exceeded. These will be realised through individual business plans as services are moved onto the platform.
- (b) Human Resources**
- (i) It is likely that human resources will reduce in line with back office systems efficiencies. Again these implications will be outlined in each business case developed. Using the example of the Revenues & Benefits Business Case, the resourcing strategy has been set in advance of the implementation, as such the service has been able to manage vacancies and use temporary staff in order to minimise the impact on permanent employees.
 - (ii) Risks around being able to secure specialist Business Analyst support for the business change processes are

being managed with ongoing discussions with Human Resources on resourcing strategies.

(c) Equalities

(i) Members have the following responsibilities under the public sector equality duty. Those subject to the equality duty must, in the exercise of their functions, have due regard to the need to:

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

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

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

(ii) Whilst there is not a separate Communities Impact Assessment for this report, equalities implications will be considered as part of each business case considered by the Project Board. Full cognisance of impacts on all communities were built into the development of the website which was designed with residents and with inclusion in mind hence the 'Browsealoud' facility, for example. The same approach will be taken with the design of the My

Account facility in line with the E-Democracy Scrutiny Review recommendations.

(iii) Digital inclusion strategies will be key to the success of maximum take-up of My Account and officers will support the continued work CSMC and of the Digital York Team to ensure that strategies are developed to maximise digital access across all communities to on-line facilities. Barriers to access will be raised as a priority and risk area as part of the My Account work stream of the Project.

(d) **Legal** - There are no known additional implications.

(e) **Crime and Disorder** – All on-line technologies will comply with all required information and information technology infrastructure security standards.

(f) **Information Technology (IT)** – The implications are in the body of the report. All business cases relating to services moving onto the platform will contain the costs of any other required IT investments to re-engineer back office processes.

(g) **Property** - There are no implications

Risk Management

35. The programme of work has a key risk register monitored through the Digital Services Project Board, and the significant (red) risks currently being managed are:

- *Insufficient/inadequate technical resources to deliver the programme* (mitigations in place include: plan/agree resource requirements; identify skills gaps/development requirements; agree roles and responsibilities; improve/increase skill levels if and where necessary).
- *Solution does not meet requirements in terms of fully automated end to end processes within project timescales* (mitigations in place include: engage with all business areas/stakeholders through a business readiness assessment and build a business case; document technical/functional requirements within each work stream; regularly review and update those requirements; adopt an Agile development-delivery approach for Phase 2).

- *Lack of strategic level buy in* (mitigations in place include: identify key stakeholders from each business service area and gain commitment to attend future board meetings).
- *Lack of operational buy in* (mitigations in place include: identify key stakeholders from each business service area and gain commitment to attend future operational project meetings and workshops).

Contact Details

Author:	Executive Member and Chief Officer responsible for the report:		
Pauline Stuchfield Assistant Director Customers & Employees Telephone: 01904 551706	Cllr Chris Steward Executive Leader, Finance & Performance Cllr Keith Aspden, Executive Member for Economic Development & Community Engagement Ian Floyd Director of Customer & Business Support Services		
	Report Approved	√	Date 22 January 2016
Specialist Implications Officer(s) Andrew Docherty, Assistant Director of Governance and ICT			
Wards Affected: All			√
For further information please contact the authors of the report			

Background Papers

11th January 2016 CMSC Report of the E-Democracy Scrutiny Review Task Group Report, found at:

<http://democracy.york.gov.uk/documents/s102024/Interim%20Report%2011%20Jan%202016.pdf>

Annexes

Annex A – Digital Services Project Timelines

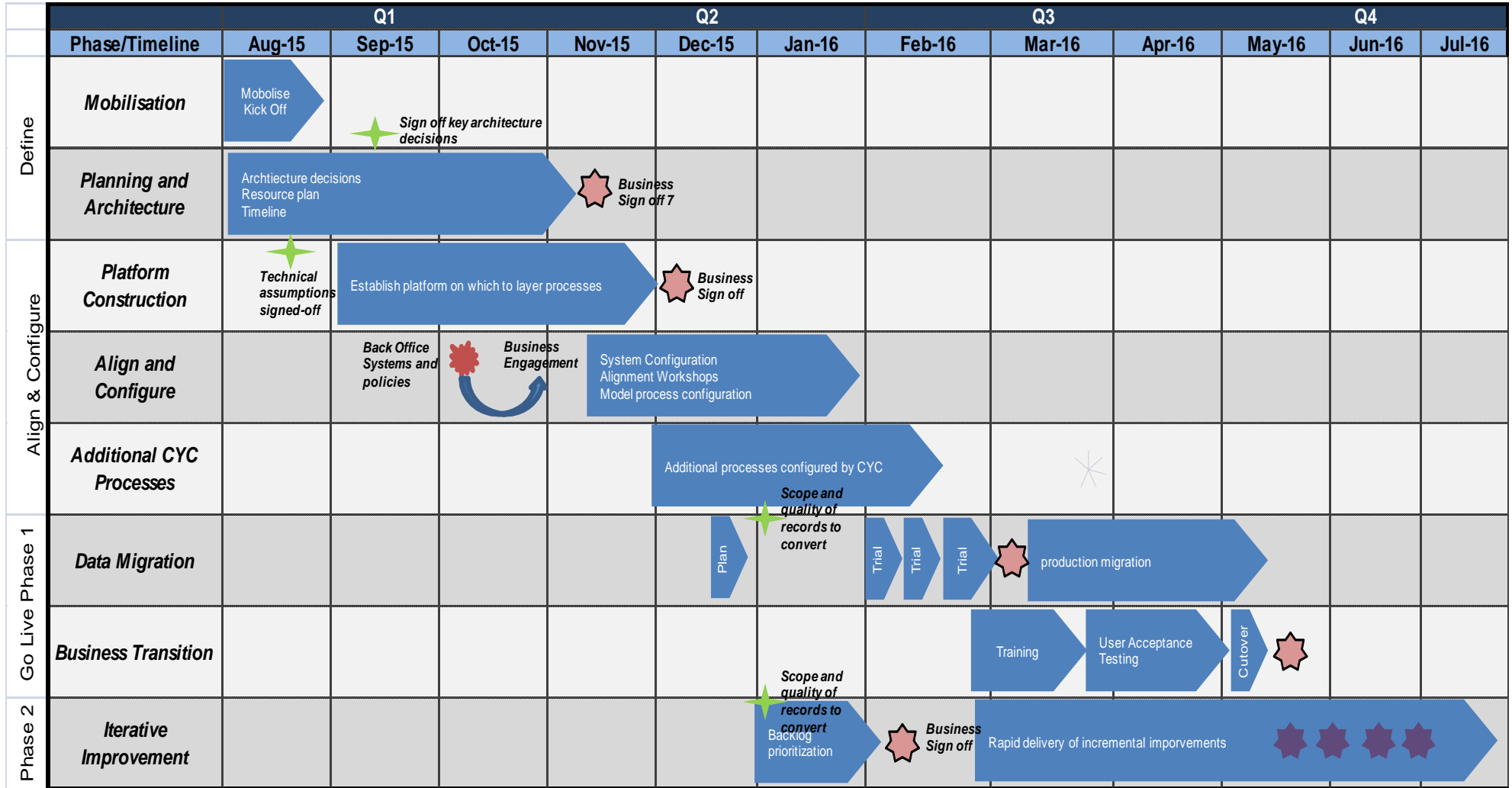
Annex B – Draft Communications Plan

Abbreviations

CYC	City of York Council
K	Thousand
m	Million
CRM	Customer Relationship Management System
ICT	Information & Communications Technology
CMSC	Corporate & Scrutiny Management Policy & Scrutiny Committee
DSP	Digital Service Project

Digital Services Project Timeline

Annex A



This page is intentionally left blank

Digital Services Project: Operational Communications Plan to May 2016

COMMUNICATION TYPE	FREQUENCY / DATE	MEDIUM	OBJECTIVE
e.g. Launch of campaign or Executive report etc.	Date/month/year	<ul style="list-style-type: none"> - Press release and FAQs - Social media - Website content including FAQs/ - Buzz - Internal/External screens - Partner communication 	<p>To announce the launch of the campaign</p> <p>Promote the Executive meeting etc.</p>
Campaign	March / April 2016 - Go live (expected May 2016)	Press release and FAQs	To promote awareness of the forthcoming transformation - development of online services available through "My Account" to residents, businesses, partners and customers
Campaign	January 2016 – go live (expected May 2016)	Website content including FAQs (to be maintained by Trainers)	Project webpage and FAQs to promote awareness of forthcoming transformation - development of online services available through "My Account" to residents, businesses, partners and customers
Campaign	Monthly January 2016 – go live (expected May 2016)	Buzz staff magazine	To promote awareness and ongoing progress of the project to staff
Advert	January 2016 – go live (expected May 2016)	Internal screens	"Vision statement" and coming soon message.

Digital Services Project: Operational Communications Plan to May 2016

Campaign	w/c 18 & 25 April and 02 & 09 May 2016	Drop in sessions for residents and partners (Explore, Community Centres and CAB)	Project webpage and FAQs to promote awareness of forthcoming transformation - development of online services available through "My Account" and how residents, businesses, partners and customers will access these services
Campaign	March 2016	Caption on Council Tax and Business Rates envelopes	Caption to be agreed as <i>"Quicker, greener, cheaper – go digital!"</i> www.york.gov.uk/digital
Campaign	April 2016 Go live (expected May 2016)	Local Radio	To promote awareness of the forthcoming transformation - development of online services available through "My Account" to residents, businesses, partners and customers

Digital Services Project: Operational Communications Plan to May 2016

COMMUNICATION TYPE	FREQUENCY / DATE	MEDIUM	OBJECTIVE
Campaign	April 2016 – go live (expected May 2016)	Telephone Queue Message	To promote awareness of the forthcoming transformation - online services available through “My Account” to residents, businesses, partners and customers
Campaign	w/c 29 February & 07 March 2016	Drop in session for staff and trade unions	To promote awareness and ongoing progress of the project to staff
Campaign	March 2016	Strapline on Envelopes	To promote awareness of the project and direct to the project webpage
Campaign	December 2015 & April 2016	DMT meetings	To promote awareness and ongoing progress of the project to staff
Campaign	November 2015 – go live (expected May 2016)	Scrutiny Panel	To consult, promote awareness and ongoing progress of the project to staff

This page is intentionally left blank



Executive**11 February 2016****Report of the Director of Customer & Business Support Services****2015/16 Finance and Performance Monitor 3****Purpose of the Report**

- 1 To present details of the overall finance and performance position for the period covering 1 April to 31 December, together with an overview of any emerging issues. This is the third report of the financial year and assesses performance against budgets, including progress in delivering the Council's savings programme.

Summary

- 2 The forecast financial pressures facing the Council are projected at £1,117k. This is an improvement of £133k from the £1,250k reported at Monitor 2.

Recommendations

- 3 Executive is asked to:
 - a) Note the current finance and performance information
Reason: to ensure expenditure is kept within the approved budget
 - b) Agree to look at options for the presentation of performance
Reason : To ensure performance reporting and framework is in line with models of good practice across local authorities

Analysis

- 4 All aspects of the public sector are continuing to face challenging times in the light of the Government's commitment to reduce the national deficit as first outlined in the Comprehensive Spending Review (CSR) published in October 2010. As a result, in recent years the Council has had to deal with very large reductions in funding, combined with a range of significant pressures.

- 5 The Council's net budget is £119,760k. Following on from previous years, the challenge of delivering savings continues with £12m to be achieved in order to reach a balanced budget. Early forecasts indicate the Council is facing financial pressures of £1,117k and an overview of this forecast, on a directorate by directorate basis, is outlined in Table 1 below. There is the potential that additional pressures of £3m could materialise in Adult Social Care due to funding issues within the Vale of York Clinical Commissioning Group. Further details are provided in paragraphs 21 and 22 of this report.
- 6 The city experienced severe flooding over the Christmas period with many homes and businesses being affected. The financial cost of this flooding is still being calculated and further details will be provided in future reports. The costs of dealing with the initial emergency will be funded from the Bellwin Scheme, which is a Government emergency financial assistance scheme to reimburse local authorities for costs incurred on, or in connection with, their immediate actions to safeguard life and property as a result of a disaster or emergency in their area. The first £250k will need to be funded from within existing Council resources and it is proposed that the remaining unallocated contingency of £206k is provisionally allocated to dealing with the floods.
- 7 Government has also allocated additional funding to help individuals, small and medium-sized businesses and communities with the recovery and clean up. An initial amount of just over £1m has already been received and a scheme is already in place to allocate a sum of £500 to every household affected and up to £2,500 to businesses. Flooded properties will not be charged Council Tax or Business Rates for a 3 month period. In addition, an element of the Communities and Business Recovery scheme is intended as a contribution towards making properties more resilient to future flooding. This funding is provided to local authorities on the basis that they make up to £5,000 available per property flooded as a result of Storm Desmond or Storm Eva for this purpose.
- 8 For the purposes of this monitoring report it has been assumed that all costs will therefore be covered from Government funding, along with the remaining unallocated contingency of £206k.

2014/15 outturn		2015/16 Monitor 2	2015/16 Monitor 3
£'000		£'000	£'000
+196	Children's Services, Education & Skills	+1,030	+843
+957	City & Environmental Services	+597	+850
+98	Communities & Neighbourhoods	+327	+87
-219	Customer & Business Support Services	Nil	nil
+193	Adult Social Care	+133	+17
+108	Public Health	-127	+230
+8	Office of the Chief Executive	+160	+110
-2,029	Central budgets	-870	-1,020
-688	Total	+1,250	+1,117

Table 1: Finance overview

- 9 The following sections provide more details of the main variations and any mitigating actions that are proposed.

Children's Services, Education & Skills

- 10 Despite a reduction in the number of Children Looked After and a reduction in expenditure of almost £1m since 2012/13, the underlying budget pressure from previous years results in a net projected overspend within children's social care resources budgets. This includes forecast pressures on Out of City, Independent Foster Agency placements and contract placements (£551k, £535k and £203k respectively).
- 11 Within Children's safeguarding additional staffing costs of £200k are being incurred. This is due to an extra staff being employed in excess of the numbers provided for within the budget to cope with the increased demand. In addition, a number of vacant posts are being covered by more expensive agency staff also creating a budget pressure. Forecast pressures, due to increased complexity of cases, of £81k on The Glen, £225k on Adoption, Residence and Guardianship order and £96k on transport are partly offset by under spends on Inter Agency Adoption Fees (£254k) and children's trust staffing (£43k).
- 12 It is considered that the current expenditure levels in this area are now at the appropriate level to ensure proper safeguarding arrangements and adequate provision. The number of Children Looked After is unlikely to reduce in the foreseeable future, and York's unit cost is already the lowest

of all 150 Local Authorities nationally. Although opportunities to reduce costs further will continue to be explored any further savings in this area are likely to be limited. Therefore, options elsewhere within the directorate will need to be considered to produce a balanced budget for 2015/16.

- 13 A number of posts being kept vacant within early years learning & welfare and connexions services result in a forecast underspend of £381k. A range of smaller variations make up the overall directorate position.

City & Environmental Services

- 14 It is currently forecast that parking income will be £282k below budget. To October, income was approximately 3% below target however November showed a 9% reduction and December (which is historically York's busiest month) income was £94k below budget (15%). The reduced usage in the car parks is mainly due to the particularly wet autumn and the severe flooding that impacted the city in December.
- 15 There is a forecast overspend of £153k due to the forecast shortfall in dividend from Yorwaste due to the company facing difficult trading conditions in particular low recycle prices. This position should improve in 2016/17 as new contracts with other Local Authorities commence with new pricing. There are also further pressures across Waste services including £185k due to unachieved income targets from charges at the Household Waste Recycling Centre and a shortfall in income from green waste subscriptions (£59k). In addition there are forecast savings in waste disposal from lower tonnages (£116k) and additional income from landfill gas (£105k).
- 16 Within travel management, a saving of £112k is not expected to be achieved in 2015/16. Unachieved income is forecast across a range of services including Development Management (£50k), CCTV (£32k), transport systems (£35k), Environmental Management (£60k) and Civils (£100k). There is a shortfall of £100k unachieved ANPR income due to the non-enforcement of Coppergate and £42k additional costs across CCTV mainly due to the use of temporary staffing. A range of other minor underspends and proposed mitigations make up the total directorate position.

Communities & Neighbourhoods

- 17 There is a forecast overspend arising from the cost of retaining the former Waterworld facility following its closure and prior to demolition (£167k), mainly due to business rates, utilities and security costs which ended with its demolition. There is also a forecast overspend of £65k in Adult

Learning arising from the loss of contacts and subsequent redundancy costs. All contracts across the service are being reviewed to ensure costs are recovered. A range of other minor under spends and proposed mitigations make up the total directorate position.

- 18 The new ward committee decision-making process is working well with all wards now having held ward committee and ward team meetings. Wards are developing their spending plans in response to ward priorities and through engagement with their communities. Actual spend at this point is relatively low £61k compared to a budget of £575k, however it is currently assumed that unspent budget will be carried forward into 2016/17.

Customer & Business Support Services

- 19 A range of budget variations is currently forecast however, mitigation plans are in place to ensure the directorate outturns within the approved budget. This net position is made up of underspends in health safety due to staff vacancies and additional income (£107k) and in finance and procurement due to staffing vacancies (£228k), offset by overspends in facilities due to utilities costs being higher than estimated and staffing pressures that have arisen pending a restructure of the service (£240k) and in legal services due to staffing pressures due to supporting a range of complex projects (£62k). Work will continue to try and identify additional savings to help the overall position.

Adult Social Care

- 20 There is a net projected underspend of £81k on staffing budgets within Assessment and Safeguarding due mainly to some posts being held vacant pending a review of the service and the development of a new operating model.
- 21 Residential and nursing care budgets are projected to underspend by £280k. This is due to a projected increase in Continuing Health Care income being secured and fewer nursing care placements for older people and mental health customers than budgeted. This is partly offset by delays in moving learning disability customers from residential care to supported living settings and additional costs being incurred in supporting a residential home classed as inadequate by the Care Quality Commission (CQC) and also. The Council worked to secure continuity of care for the 17 CYC customers placed there by funding £178k of additional care costs. Without this intervention it would have been necessary to move customers from this home to higher cost placements elsewhere.

- 22 Learning Disability customers transitioning to adults have not cost as much as previously forecast, resulting in an anticipated underspend of £268k.
- 23 There is a projected overspend of £463k within Older People Homes' budgets. This is mainly in respect of staffing (£300k), under recovery of income (£68k) and employment of an additional service manager (+£57k).
- 24 There is a high use of casual staff in the homes as posts are kept vacant in order to facilitate staff moves resulting from the reprovision programme. The overspend will not carry through to 2016/17 as permanent staff fill these vacancies.
- 25 Windsor House staffing forms a significant element of the staff overspend (£118k) as staffing had been maintained at Dementia Care Matters levels. The home is also providing short term care for those leaving hospital to ensure York's health and social care sector is resilient over winter. Rotas are being reduced as the customer group is changing from a full dementia unit to a mix of customers with dementia and short term care needs. The overspend will come down by year end with the intention of achieving a balanced staffing budget in 2016/17.
- 26 Small Day Service and Supported Employment budgets are projected to underspend by £98k due mainly to staffing savings resulting from a number of vacant posts across the service. The directorate's budget for 2015/16 includes a requirement to deliver savings totalling £1.3m from the on-going work being undertaken on service transformation. To date savings of £1,095k have been identified leaving a budget pressure of £205k. A range of smaller variations make up the overall directorate position.

Better Care Fund (BCF) Risk

- 27 The BCF is a £12m pooled budget between CYC and Vale of York Clinical Commissioning Group (VYCCG), and is a government initiative to transform local health and social care services so that they work together to provide better joined up care and support.
- 28 At Quarter 2 we reported that, as a result of significant in year financial pressures with a projected significant overspend, NHS England formally required VYCCG to produce a Financial Recovery Plan. On this basis VYCCG queried the amount they contribute to the BCF pooled budget in 2015/16 and whether the Council could assist; a significant proportion of the pooled budget is earmarked to be spent on protecting Adult Social Care services and the remainder in supporting alternatives to statutory care. There are concerns that any proposal could create a budget

pressure within Adult Social Care budgets. Senior managers within both organisations are negotiating and developing a plan to prevent or mitigate the impact of any proposal. However, while we are hopeful of reaching an agreement it still remains a financial risk to CYC.

Public Health

- 29 The Public Health team budget is projected to overspend by £230k, a £357k worse position than last reported. This is primarily due to the government reducing the Public Health Grant by £509k in year following its consultation.
- 30 This issue has been mitigated by projected savings in other areas. Spend on substance misuse services (£184k) have been held back as the service is redesigned. Smoking and tobacco cessation services are also projected to underspend by £85k as activity in GPs and pharmacies is less than budgeted for.
- 31 The Council are in the process of incorporating the Health Visiting and School Nursing service into the department in preparation for the transfer of the services from 1st April 2016. This may mean incurring one off costs relating to the IT equipment etc needed to integrate the service within the Council. The various one-off costs are currently being quantified but should any of these costs be borne by the Council it will increase the departmental overspend.
- 32 There are a series of minor variations in the remaining Public Health budgets which forecast a combined £10k net underspend.

Office of the Chief Executive

- 33 A range of budget variations is currently forecast, mainly due to staffing pressures following a number of restructures across the directorate. Mitigation plans are being developed to address these pressures.

Housing Revenue Account

- 34 The latest forecast following a review of Housing Revenue Account (HRA) budgets is that there are projected to be a number of under and overspends which will in total deliver an overall under spend of £480k. The forecast over spends include £424k on repairs and maintenance due to the continued increase in works to address damp issues within our homes and the associated use of subcontractors. The forecast under spends include a lower than budgeted level of arrears (270k), reduced expenditure on utilities and repairs in supported housing (128k), a small

variance on dwelling and non-dwelling rents (139k) and a reduction of the level of revenue funding required to support the capital programme due to the IT infrastructure works and water mains improvements being re-profiled into future years (344k).

- 35 The HRA business plan has been updated following the recent government announcements to require councils to sell their high value properties when they become vacant and to reduce social housing rents by 1% per year for the next four years. While the full extent of the impact of these changes is not yet known, the HRA will be required to make significant efficiencies in order to mitigate the reduction in income without reducing the HRA balance below prudent and sustainable levels. The HRA Business Plan is the subject of a separate report elsewhere on the agenda for this meeting
- 36 To give some idea of the scale of these changes and their impact on the HRA, the requirement to reduce housing rents by 1% could potentially reduce income by up to £12m over a 4 year period. This is because the business plan assumed annual rent increases of approximately 3% pa. The requirement for a 1% reduction therefore results in a swing of some 4%.

Corporate Budgets

- 37 These budgets include Treasury Management and other corporately held funds. It is anticipated that a £1,020k underspend will be achieved, predominantly through improved Treasury Management performance as a result of reviewing some assumptions on the cash flow position which will mean more interest being earned than previously anticipated and improved performance on Business Rates.

Loans

- 38 Further to a scrutiny review, it was agreed that these quarterly monitoring reports would include a review of any outstanding loans over £100k. The only loan in this category is that of £1m that was made to Yorwaste, a company part owned by the Council, in June 2012. Interest is charged at 4% plus base rate meaning currently interest of 4.5% is being charged. All repayments are up to date.

Performance – Service Delivery

- 39 The most significant city wide event during the quarter was the devastating floods of Boxing Day 2015 when the city experienced its worst flooding in recent history. Widespread flooding affected 342 residential

and 157 business properties and resulted in several major infrastructure incidents. The performance updates below reflect departmental business carried out alongside the Council's flood relief efforts.

Children's Services, Education & Skills

- 40 The number of children in care remained in line with previous trends at 188. This is within the safe and expected range, which has been stable for a significant amount of time. This will continue to be monitored as a key indicator.
- 41 As predicted last quarter, the number of children subject to a Child Protection Plan increased in Q3. Earlier in the year, there was an increase in the number of cases going to Initial Child Protection Conference which impacted on Child Protection levels as these have worked through the process. Social Care Managers have looked closely at this increase, and, whilst there do not appear to be any clear emerging patterns at this stage, it is being monitored regulatory by the extended management team.
- 42 Provisional data shows that the attainment gap between disadvantaged pupils and their peers at aged 16 (GCSEs) narrowed in 2015. York's performance was closer to the National average in 2015 than in 2014. This shows significant progress, but it will remain a priority to make further improvements. To that end, it will form a key priority within the next Children and Young People's plan which will be launched at the end of January. In 2015 the Council allocated additional funding of £25,000 to support work with schools to close the gap. This money is being used to support the development of a cross city virtual network to allow schools to share best practice. This was a recommendation from the Learning and Culture Scrutiny Committee report produced in March 2015. In order to develop the network a lead school has been identified in each of the six geographical clusters. Each lead school has received funding to participate in a national programme to narrow the gap which has been facilitated by the Whole Education network. The programme provides each school with the opportunity to benefit from international research and supports them to implement school based strategies to narrow the gap. Learning from the project will be reviewed at a regional conference being hosted in York on 11th March 2016. The work being done in the lead schools will form the basis for developing the virtual cross city network during 2016 and will be launched with all schools in September 2016.
- 43 The number of young people starting work with Personal Support and Inclusion workers to date in 2015/16 has exceeded the annual target. Through this provision, young people get significant support to identify their goals and access help to achieve them.

- 44 Thirty one schools and over 9,000 pupils across the city took part in the biggest ever Walk to School Week campaign in October which aimed to encourage even more children to walk, cycle or scoot to school. The scheme was also targeted at families who normally take the car, and encouraged them to consider walking or cycling to school instead.

City & Environmental Services

- 45 As of 19th January, 339 Council tax exemptions had been applied to the Council tax accounts of those affected by floods with a value of £116k (excluding credits refunded) and Flood Grants totalling £140k had been paid to 342 residents.
- 46 In addition Flood Recovery Grants totalling £81k had been paid to 39 businesses and 114 Business Rate exemptions had been applied with a value of £590k. There have been 122 expressions of interest in accessing Flood Resilience funding. Work continues to support flood victims through a range of financial help.
- 47 586 missed bins were reported between October and December with 71% put right by the end of the next working day. The number of reported missed bins has increased by 10% on the same period in 2014/15. Performance on rectifying missed collections in the timescale has decreased from 85% in Q3 last year. Year to date figures show that the number of reported cases has reduced by 40% compared to the same period last year, although again the number put right in the timescale is disappointing 65% (73% 2014/15).
- 48 A successful bid for £308k from the Department of Transport will see 28 school buses used, in and around York, retro fitted with the latest Selective Catalytic Reuptake exhaust technology which will help to reduce exhaust emissions. An extra £112k will also be match funded by the operator of the buses. This will see single and double-decker buses, which are contracted to run the Council's school bus service, upgraded to Euro 6 standard.

Communities & Neighbourhoods

- 49 The number of households being accepted as homeless has increased by 2 to 27 but the number of households with children has remained the same (18). The number of children in temporary accommodation has decreased to 77 (from 82), and the number of families in temporary accommodation has decreased to 40 (from 47).

- 50 The average void period for Council houses has reduced from 3.3 weeks in Q2 to 2.9 weeks in Q3 (3.7 weeks in Q3 2014/15) with the number of void Council house properties increasing from 160 in Q2 to 174 in Q3 (161 in Q3 2014/15). The number of mutual exchanges of Council houses has decreased from 40 in Q2 to 34 in Q3 (39 in Q3 2014/15).
- 51 The rent arrears at the end of Q3 for current tenants (D1) were £639,537. This figure has fallen by 24.2% from £843,433 at the end of Q2. In 2014/15 there was a 20.2% decrease from £755,176 in Q2 to £602,360 in Q3. For former tenants (D1) the rent arrears at the end of Q3 were £276,283. This figure has increased by 3.7% from £266,466 at the end of Q2. This compares to 3.9% decrease from £279,913 in Q2 to £269,056 in Q3 in 2014/15.
- 52 By the end of 2015/16, it is forecast that there will be an increase in total crime compared to the previous year of around 12%. Levels are projected to revert back to the figures of 2012/13. After the first 9 months of 2015/16, there were a reported 9,101 crimes for the York region. Year end data for 2014/15 shows that total crime in York was 5% lower than 2013/14, which continued the trend over the previous 3 years. Significant increases are forecast in the violent crime, criminal damage and burglary of non-dwelling arenas. There has been a decrease in both the total level of shoplifting and anti-social behaviour reported during the first half of 2015/16.
- 53 Between April and December 2015 there were 1,402 alcohol related ASB incidents, 6% lower than during the same period in 2014. During 2014/15 there were 1,852 alcohol related ASB incidents across the City. This is a decrease of 21% compared against the figure reported in 2013/14. Since the ASB Hub started collecting data in February 2015, there have been 1,250 new cases recorded. Between April and December 2015 there have been 834 new cases of anti-social behaviour recorded. These new cases recorded were categorised as follows, 43% are nuisance, 10% personal, 21% environmental and 26% categorised as other.
- 54 Between April and December 2015, there have been 2,182 incidents of domestic violence. This represents a small increase of 4% on the 1,881 incidents reported during the same timeframe in 2014/15. There has not been a domestic violence murder recorded in York since 2008/09.

Customer & Business Support Services

- 55 Q3 saw a large drop in call volumes for general enquiries from 60,463 in Q2 to 55,914 this quarter. Call service levels saw an increase with 76.9%

of calls answered in 20 seconds (68.1% Q2). The total number of calls abandoned fell to 4.2% (7.5% Q2).

- 56 During the period 27th – 31st December 957 flood related calls were taken by the Customer Centre.
- 57 The number of residents visiting the customer centre fell to 16,039 (18,965 Q2) and the average wait time decreased to 7.8 minutes, with 73% of customers served within the waiting time target of 10 minutes.
- 58 The collection rate for Council Tax at the end of quarter 3 was 85.11% compared with 85.39% at the end of quarter 3 2014/15 and Business Rates 82.99% compared with 82.84% in quarter 3 2014/15.
- 59 Housing Benefit performance remains on target at the end of quarter 3 with a combined (New Claims/Change of Circumstance – DWP measure) average of 8 days.

Adult Social Care

- 60 York continues to steadily improve its performance on People supported through personal budgets or direct payments receiving community-based services with the Q3 figure at 94.3% against a 14/15 year outturn of 91.2%.
- 61 Quarterly figures in 2015/16 for those people who experienced a delay in their transfer of care from hospital to adult social care services show that we continue performing poorly on this measure compared to regional and national averages (based on 2014/15 end of year data). As part of our approach to addressing this, we have redrafted the policy for managing delayed transfers of care and we will now focus on delivering this to the new framework. Alongside this Health and Social Care managers will be reviewing areas of the whole system that produce a high impact on delayed transfers of care, and through collaboration with colleagues in North Yorkshire and regional colleagues, will produce a much wider and more holistic view of the issues that impact the figures to inform partnership working.
- 62 The latest quarter shows another reduction in the reablement assessment timeliness figures which has been brought about by significant staffing issues in this team. This issue was identified by management and as a result the team has received additional resource until March 2016 to create capacity for assessments within the team. Indications are that this is already having a positive impact in Q4.

- 63 In year figures for both Mental Health and People with Learning Disabilities in employment and accommodation are promising, and we can report a significant step forward in accessing in year data which, up to now, had not been available. Access to this data will make in year performance management of data and performance issues much more effective.
- 64 York continues to perform strongly on Proportion of completed safeguarding referrals where people report that they feel safe which at Q3 has outperformed the 2014/15 year end position.

Public Health

- 65 A new three year baseline measure for excess weight in adults was published and it is estimated that 56.9% of adults in York are classified as overweight or obese (64.6% nationally). This figure is based on 1,341 people in York responding to the Active People Survey, Sport England. Also from the Active People Survey, based on responses from 482 people in York, 54.9% of the 16+ population are estimated to consume the recommended '5 a day'. This is similar to national and regional averages.
- 66 The 2014/15 child obesity rates in York are 7% in reception and 15% in year 6. All the weight measures show an improvement from 2013/14. The biggest change has been a fall in excess weight and corresponding increase in healthy weight for reception aged children in York. York has significantly lower rates of obesity and overweight and significantly higher rates of healthy weight compared with regional and national averages for both reception and year 6. Across the range of indicators, York is in the top 15 in England, 1st in the region and in the top 3 in our comparator group. Longer term trends in York include a very gradual reduction in obesity rates. The latest prevalence data suggests there may be around 1,400 – 1,500 obese children of primary school age in York in total.
- 67 The overall suicide rate in the 3 year period to 2014 in York is not significantly different to the national average. We do know, however, that in 2013 there was a spike in male suicides in York and on a single year measure of suicides in males of working age, York was fourth highest in the country. The 2013 peak of 25 male suicides in York has not been repeated to date (14 in 2014 and 11 in 2015 up to September). A case audit of coroner files is taking place at present, led by NYCC.

Office of the Chief Executive

- 68 Employment continues to be strong in the city as the number of Job Seekers Allowance claimants continue to fall.

- 69 Figures from the Office for National Statistics showed there were 612 claimants in York in December a fall of 81 from last month and of 557 from December 2014. The figures showed the number of jobseekers in York had fallen for the eighth consecutive month and also highlighted a 65.96 per cent fall in the youth unemployment count since December 2014. The claimant count represents 0.5 per cent of the working population and contrasts to the regional average which stands at 2.0 per cent. The figures are also much lower than the national average which stands at 1.5 percent.
- 70 The Total number of working age Benefit Claimants continues to fall (6.7% reduction to 9,500 from 10,180 in 2013/14) but whilst this predominantly consists of the reduction in Out of Work Benefit Claimants (8% reduction to 7,320 from 7,960 in 2013/14), there has been an increase in the ESA and Incapacity Benefit Claimants (6.2% increase to 5,470 from 5,150 in 2013/14).
- 71 Average gross weekly pay increased between 2014 and 2015 by 3.23% to £584.30 whilst nationally there was a 1.01% increase to £629.50 and regionally there was a 2.18% increase to £567.00. Whilst there has been a 6.45% increase in the gender pay gap in York and both nationally and regionally have decreased, York's (£221.20) pay gap is still lower than the regional (£233.60) and national (£249.50) pay gap.
- 72 In November, York's largest brownfield site was successfully designated as an Enterprise Zone thanks to a joint bid by City of York Council and the York, North Yorkshire and East Riding Local Enterprise Partnership, which will unlock over £100million to help deliver the York Central site. The Enterprise Zone status will mean that 50 per cent of business rates for the York Central site, which would have gone back to government, will be retained in the area. This will provide the funding to be able to invest in the infrastructure required to unlock the site and encourage business investment. Estimates in the bid suggest this could help to create up to 6,600 jobs in the city, and over £1.1 billion value for the region's economy. The jobs created would be high-value office based jobs, helping to grow York's economy by an estimated 20 per cent and increase average wages in the city.
- 73 In December, Leeds City Region Enterprise Partnership (LEP) published a report which highlighted how the LEP had helped York, over the last four years, to unlock £1.127m private sector investment, had created 22 jobs through £167,883 LEP grant investment and had provided support to around 50 SME's.

- 74 Figures released by the Office of National Statistics show that in 2014 York's economy was worth £4.90 billion (up from £4.88 billion in 2013) and York's share of total Gross Value Added (GVA) has remained constant for the last 4 years at around 4.6% of the regional GVA.
- 75 Between 2010 and 2014 the percentage increase in total GVA for York was 11.6% whilst regionally it was 10.7% and nationally it was 15.8%. However the GVA per head has decreased 0.6% from £24,121 in 2013 to £23,977 in 2014 and is below the UK 100 indices at 97.4 which may be the result of an increase in accommodation and food service activities employment.
- 76 Newly released figures by Visit York, for 2014, showed that business tourism attracted an estimated 977,000 delegates (attending a meeting or conference), generating £141 million for the local economy. Visitor numbers were up by 1.5 per cent from 6.7 million to 6.8 million annually and the number of jobs in the city supported by tourism rose from 19,000 to 20,300.
- 77 The York Open Data website was launched in March 2015 and there are currently 446 datasets available. There were 3,275 visitors to the site between October and December with a total of 1,013 datasets downloaded and 2,920 previewed online.

Performance – Employees

- 78 To date in 2015/16 43 employees have been made redundant, 30 on a voluntary basis and 13 compulsory. In 2014/15 a total of 83 employees were made redundant, 62 voluntary and 21 compulsory.
- 79 The latest information on employee turnover, sickness absence and other HR data will be available after the full HR Management Information report is published at the end of January.

Performance – Customers

- 80 Overall customer centre satisfaction has increased to 92% from 81% in Q2 and satisfaction with Face to Face services is up to 95% (83% Q2). After being unavailable since summer 2015, feedback on the Council website will be collected again in early 2016. Testing of the website customer satisfaction survey is taking place during January.
- 81 866 customers of community based services and 292 residential and nursing care customers have been invited to take part in the Adult Social

Care Survey which launched in January 2016. The survey is due to close in spring with results available early summer.

- 82 There was a 41% response rate to the Explore York survey which was devised to determine the people of York's current awareness and attitude to York's new Archive and Local History Service. From the responses the awareness of the archive has increased to 21.7% from 12.0% (2011) with 22% of respondents having accessed the archives online.
- 83 To help shape the 2016-17 Budget proposals, the Council invited residents to have their say to assist the City of York Council's Executive to make some tough decisions. The consultation closed on 20th January and results will be published in the near future.
- 84 A random sample of 3,500 Council tenants were contacted and asked to complete the annual Tenant Satisfaction Survey for 2015/16 between October and December 2015; of those, 880 (25%) completed the survey. Whilst there was a 6% increase in respondents aged 65+ there remains some under representation from younger age groups. Of the sample, 507 tenants were contacted by email, 63 of which completed the survey (12% response rate). This year we asked more questions about internet usage, and the data gathered will feed into CYC's digital inclusion work. The results of the survey, along with external benchmarking, will inform the development and shape of housing services in the future.
- 85 To determine how the Council can make best use of resources, for businesses, including a variety of environmental health, trading standards, licensing and regulatory functions there is a consultation on the Public Protection service which closes on 31st January.

Annexes

- 86 The paper to the Executive on the new Council Plan (24 September), set out a commitment to make an accurate, transparent and easy to understand set of performance measures. All performance data within this document is made available in machine-readable format through the Council's open data platform at www.yorkopendata.org.
- 87 Executive Member scorecards are attached as Annexes and present a detailed update of the key performance indicators contained in each of the Executive Member Portfolios. Work is currently ongoing to look at the performance management reporting arrangements in line with scrutiny arrangements and the council plan, considering presentation styles within other councils in order to establish future best practice.

Consultation & Options

88 This report is for information so no options are presented.

Council Plan

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

Implications

90 The implications are:

- Financial - the financial implications are dealt with in the body of the report.
- Human Resources - the HR implications of change is managed in accordance with established Council procedures. As part of this process consultation with trade unions and affected staff will continue to be undertaken and every opportunity will be explored to mitigate compulsory redundancies, such as vacancy controls, flexible working, voluntary redundancy / early retirement and extended redeployment. Where consideration is being given to the transfer of services to another provider TUPE will apply which will protect the terms and conditions of employment of transferring staff. A programme of support for staff who are going through change is planned which will help staff adapt to changes to the way they will need to work or to prepare for a move into a new role.
- Equalities - there are no specific equality implications to this report, however equalities issues are accounted for at all stages of the financial planning and reporting process.
- Legal - there are no legal implications to this report.
- Crime and Disorder - there are no specific crime and disorder implications to this report.
- Information Technology - there are no information technology implications to this report.
- Property - there are no property implications to this report.
- Other - there are no other implications to this report.

Risk Management

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

Authors:	Chief Officer Responsible for the report:		
Debbie Mitchell Corporate Finance & Commercial Procurement Manager Ext 4161	Ian Floyd Director of Customer & Business Support Services		
Ian Cunningham Group Manager – Shared Intelligence Bureau Ext 5749	Report Approved	√	Date 2 February 2016
Wards Affected: All			
For further information please contact the authors of the report			

Annexes

- Annex A - Executive Member Portfolio Scorecard - Adult Social Care and Health

(The Public Health Management team are currently reviewing the public health indicators contained within this document and any changes will be reflected in future executive member scorecards in 2016/17.)

- Annex B - Executive Member Portfolio Scorecard - Culture, Leisure and Tourism
- Annex C - Executive Member Portfolio Scorecard – Economic Development
- Annex D - Executive Member Portfolio Scorecard - Education, Children and Young People
- Annex E - Executive Member Portfolio Scorecard - Environment
- Annex F - Executive Member Portfolio Scorecard - Finance and Performance
- Annex G - Executive Member Portfolio Scorecard - Housing and Safer Neighbourhoods
- Annex H - Executive Member Portfolio Scorecard - Transport and Planning

			Previous Years			2015/2016							
			2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT	
	Indicator	Collection Frequency											
1. Adult Social Care	ASCOF1E	% of adults with learning disabilities in paid employment (New definition for 2014/15)	Monthly	8.7	7.7	13.7	7.4	7.0	7.1	-	-	Up is Good	Good
		Benchmark - National Data	Annual	7.0	6.7	6.0	-	-	-	-	-		
		Benchmark - Regional Data	Annual	6.5	6.2	6.6	-	-	-	-	-		
		National Rank (Rank out of 152)	Annual	-	-	9	-	-	-	-	-		
		Regional Rank (Rank out of 15)	Annual	3	3	1	-	-	-	-	-		
		Comparator Rank (Rank out of 16)	Annual	-	-	1	-	-	-	-	-		
	ASCOF1G	% of adults with learning disabilities who live in their own home or with family (New definition for 2014/15)	Monthly	63.2	82.6	91.8	81.9	81.8	81.5	-	-	Up is Good	Good
		Benchmark - National Data	Annual	73.5	74.9	73.3	-	-	-	-	-		
		Benchmark - Regional Data	Annual	77.9	79.2	81.4	-	-	-	-	-		
		National Rank (Rank out of 152)	Annual	-	-	5	-	-	-	-	-		
		Regional Rank (Rank out of 15)	Annual	15	5	1	-	-	-	-	-		
		Comparator Rank (Rank out of 16)	Annual	-	-	1	-	-	-	-	-		
	ASCOF2A 1	Permanent admissions to residential and nursing care homes for younger adults (18-64), per 100,000 population - (YTD Cumulative)	Monthly	7.7	11.5	9.9	3.05	7.61	9.90	-	-	Neutral	Neutral
		Benchmark - National Data	Annual	15.0	14.4	14.2	-	-	-	-	-		
		Benchmark - Regional Data	Annual	15.3	11.0	11.5	-	-	-	-	-		
		National Rank (Rank out of 152)	Annual	-	-	50	-	-	-	-	-		
		Regional Rank (Rank out of 15)	Annual	1	7	5	-	-	-	-	-		
		Comparator Rank (Rank out of 16)	Annual	-	-	11	-	-	-	-	-		
ASCOF2A 2	Permanent admissions to residential and nursing care homes for younger adults (18-64), per 100,000 population - (Snapshot)	Monthly	-	-	-	3.05	4.57	2.28	-	-	Up is Bad	Neutral	
	Permanent admissions to residential and nursing care homes for older people (65+), per 100,000 population - (YTD Cumulative)	Monthly	617.7	767.5	630.8	211.20	403.19	496.45	-	-	Neutral	Neutral	
	Benchmark - National Data	Annual	697.2	650.6	668.8	-	-	-	-	-			
	Benchmark - Regional Data	Annual	680.3	644.1	726.9	-	-	-	-	-			
	National Rank (Rank out of 152)	Annual	-	-	72	-	-	-	-	-			
	Regional Rank (Rank out of 15)	Annual	4	13	6	-	-	-	-	-			
	Comparator Rank (Rank out of 16)	Annual	-	-	8	-	-	-	-	-			
Permanent admissions to residential and nursing care homes for older people (65+), per 100,000 population - (Snapshot)	Monthly	-	-	-	211.20	192.00	93.26	-	-	Up is Bad	Good		

			Previous Years			2015/2016							
			2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT	
			Collection Frequency										
1. Adult Social Care	ASCOF2C 1	Delayed transfers of care from hospital, per 100,000 population - (YTD - Average)	Monthly	18.2	17.6	11.6	10.73	11.82	12.32	-	-	Up is Bad	Bad
		Benchmark - National Data	Annual	9.4	9.6	11.1	-	-	-	-	-		
		Benchmark - Regional Data	Annual	7.8	9.1	9.6	-	-	-	-	-		
		National Rank (Rank out of 152)	Annual	-	-	102	-	-	-	-	-		
		Regional Rank (Rank out of 15)	Annual	15	14	11	-	-	-	-	-		
		Comparator Rank (Rank out of 16)	Annual	-	-	11	-	-	-	-	-		
		Delayed transfers of care from hospital, per 100,000 population - (Snapshot)	Monthly	-	-	-	10.72	12.91	13.31	-	-	Up is Bad	Bad
	ASCOF2C 2	Delayed transfers of care from hospital which are attributable to adult social care, per 100,000 population - (YTD - Average)	Monthly	10.7	11.1	6.3	4.77	5.86	6.16	-	-	Up is Bad	Bad
		Benchmark - National Data	Annual	3.2	3.1	3.7	-	-	-	-	-		
		Benchmark - Regional Data	Annual	2.3	2.5	3	-	-	-	-	-		
		National Rank (Rank out of 152)	Annual	-	-	133	-	-	-	-	-		
		Regional Rank (Rank out of 15)	Annual	15	15	14	-	-	-	-	-		
		Comparator Rank (Rank out of 16)	Annual	-	-	5	-	-	-	-	-		
Delayed transfers of care from hospital which are attributable to adult social care, per 100,000 population - (Snapshot)	Monthly	-	-	-	4.76	6.95	6.75	-	-	Up is Bad	Bad		
ASCOF3A	Overall satisfaction of people who use services with their care and support (New definition for 2014/15 - ASCS sampling frame updated)	Annual	65.8	67.4	67.1	-	-	-	-	-	Up is Good	Neutral	
	Benchmark - National Data	Annual	64.1	64.8	64.7	-	-	-	-	-			
	Benchmark - Regional Data	Annual	65.4	65.8	65.9	-	-	-	-	-			
	National Rank (Rank out of 152)	Annual	-	-	44	-	-	-	-	-			
	Regional Rank (Rank out of 15)	Annual	7	5	7	-	-	-	-	-			
	Comparator Rank (Rank out of 16)	Annual	-	-	5	-	-	-	-	-			
ASCOF4A	% of people who use services who feel safe (New definition for 2014/15 - ASCS sampling frame updated)	Annual	61.8	63.4	62.3	-	-	-	-	-	Up is Good	Neutral	
	Benchmark - National Data	Annual	65.1	66	68.5	-	-	-	-	-			
	Benchmark - Regional Data	Annual	67.3	66.2	67.7	-	-	-	-	-			
	National Rank (Rank out of 152)	Annual	-	-	131	-	-	-	-	-			
	Regional Rank (Rank out of 15)	Annual	14	11	13	-	-	-	-	-			
	Comparator Rank (Rank out of 16)	Annual	-	-	16	-	-	-	-	-			



Portfolio - Adult Social Care and Health 2015/2016

Annex A

No of Indicators = 49 | Direction of Travel (DoT) shows the trend of how an indicator is performing against its Polarity over time.
Produced by the Strategic Business Intelligence Hub January 2016

			Previous Years			2015/2016							
			2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT	
		Collection Frequency											
1. Adult Social Care	<u>PHOF15</u>	% of adult social care users who have as much social contact as they would like	Annual	42.7	43.00	-	-	-	-	-	Up is Good	Neutral	
		Benchmark - National Data	Annual	43.2	44.50	-	-	-	-	-			
		Benchmark - Regional Data	Annual	45.4	44.20	-	-	-	-	-			
		Regional Rank (Rank out of 15)	Annual	12	12	-	-	-	-	-			
	<u>PVP01</u>	People supported through personal budgets or direct payments receiving community-based services (%) (ADASS Survey definition)	Monthly	-	84.13%	91.29%	92.50%	93.33%	94.32%	-	Up is Good	Good	
	<u>PVP02</u>	Number of permanent admissions to residential & nursing care homes for older people (65+)	Monthly	-	-	241	77	70	34	-	Up is Bad	Good	
	<u>PVP04</u>	Total number of Acute delayed discharges (YDH only) - (Snapshot)	Monthly	-	-	120	37	53	44	-	Up is Bad	Bad	
	<u>PVP05</u>	Total number of reimbursable CYC delays (attributable to CYC) (YDH Only) - (Snapshot)	Monthly	-	-	115	23	35	34	-	Up is Bad	Bad	
	<u>PVP06</u>	Reablement - assessments to be completed within 6 weeks of referral	Monthly	-	-	26.84%	30.46%	25.50%	14.46%	-	Up is Good	Bad	
	<u>PVP07</u>	OT/OTA assessments - to be completed within 28 days	Monthly	-	-	95.87%	97.01%	96.97%	96.89%	-	Up is Good	Neutral	
<u>PVP08</u>	People supported to live independently through social services PACKAGES OF CARE	Monthly	1,784	1,753	1487	1774	1758	1744	-	Neutral	Neutral		
<u>PVP09</u>	People supported to live independently through social services PREVENTION	Monthly	2,822	2,570	2643	2434	2422	2430	-	Neutral	Neutral		
2. Financial Inclusion	<u>CJGE48</u>	Total Disabled Benefit Claimants (Working Age 16-64)	Quarterly	1030	1020	930	870	(Avail Feb 2016)	-	-	Neutral	Neutral	
	<u>CJGE52</u>	% Disabled Benefit Claimants (Working Age 16-64)	Quarterly	0.80%	0.80%	0.70%	0.60%	(Avail Feb 2016)	-	-	Up is Bad	Good	
	<u>DOD04</u>	Domains of Deprivation - Health Deprivation and Disability	Annual	-0.53 (2007)	-0.58 (2010)	-0.494 (2015)	-	-	-	-	-	Up is Bad	Neutral
		National Rank (1 is Bad) (Rank out of 326)	Annual	243 (2007)	242 (2010)	222 (2015)	-	-	-	-	-		
	<u>DOD09</u>	Income Deprivation Affecting Older People (IDAOP)	Annual	0.14 (2007)	0.14 (2010)	0.111 (2015)	-	-	-	-	-	Up is Bad	Neutral
National Rank (1 is Bad) (Rank out of 326)		Annual	244 (2007)	216 (2010)	236 (2015)	-	-	-	-	-			
3. Domestic Violence	<u>CSP18</u>	Domestic Violence % Repeat Incidents	Monthly	34%	32%	32%	28%	NC	NC	-	Up is Bad	Good	
	<u>CSP18a</u>	Domestic Violence Number of Repeat Incidents	Monthly	944	907	1017	212	-	-	-	Up is Bad	Neutral	
	<u>CSP51</u>	Number of Reports of Domestic Abuse Incidents reported to NYP	Monthly	2819	2823	2745	751	740	691	-	Up is Bad	Neutral	
	<u>DOMV4a</u>	% of domestic violence incidents where children present	Monthly	15%	18%	24%	18%	25%	31%	-	Neutral	Neutral	

			Previous Years			2015/2016								
			Collection Frequency	2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT	
3. Domestic Violence	<u>MARAC01</u>	Number of MARAC cases Discussed	Monthly	160	188	176	56	58	48	-	-	Neutral	Neutral	
	<u>MARAC03</u>	Number of MARAC Repeat cases	Monthly	30	30	51	11	20	19	-	-	Up is Bad	Bad	
4. Public Health and Wellbeing	<u>PHOF21</u>	Injuries due to falls in people aged 65 and over (per 100,000 population)	Annual	1,912.09	1983.23	-	-	-	-	-	-	Up is Bad	Neutral	
		Benchmark - National Data	Annual	2,011.01	2064.26	-	-	-	-	-	-			
		Benchmark - Regional Data	Annual	1,913.62	2005.90	-	-	-	-	-	-			
		Regional Rank (Rank out of 15)	Annual	7	7	-	-	-	-	-	-			
	<u>PHOF27</u>	Under 18 conceptions: conceptions in those aged under 16 (per 1,000 females aged 13-15) (Calendar Year)	Annual	6.2	2.8	-	-	-	-	-	-	-	Up is Bad	Good
		Benchmark - National Data	Annual	5.56	4.8	-	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	6.8	6	-	-	-	-	-	-	-		
		Regional Rank (Rank out of 15)	Annual	6	1	-	-	-	-	-	-	-		
	<u>PHOF28</u>	Hospital admissions caused by unintentional and deliberate injuries in children (aged 0-14 years) (per 10,000 resident population)	Annual	95.84	99.79	-	-	-	-	-	-	-	Up is Bad	Bad
		Benchmark - National Data	Annual	103.83	112.16	-	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	109.57	120.97	-	-	-	-	-	-	-		
		Regional Rank (Rank out of 15)	Annual	3	1	-	-	-	-	-	-	-		
	<u>PHOF29</u>	Cancer screening coverage - breast cancer (% eligible women screened adequately within previous 3 years)	Annual	81.42%	80.63%	80.00%	-	-	-	-	-	-	Up is Good	Bad
		Benchmark - National Data	Annual	76.32%	75.90%	75.40%	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	76.69%	76.13%	75.60%	-	-	-	-	-	-		
		Regional Rank (Rank out of 15)	Annual	1	1	2	-	-	-	-	-	-		
	<u>PHOF30</u>	Cancer screening coverage - cervical cancer (% eligible women screened adequately within previous 3.5 or 5.5 years)	Annual	74.74%	74.69%	73.69%	-	-	-	-	-	-	Up is Good	Bad
		Benchmark - National Data	Annual	73.93%	74.16%	73.45%	-	-	-	-	-	-		
Benchmark - Regional Data		Annual	76.05%	76.16%	75.85%	-	-	-	-	-	-			
Regional Rank (Rank out of 15)		Annual	13	14	14	-	-	-	-	-	-			
<u>PHOF31</u>	% of eligible population aged 40-74 who received an NHS Health Check	Annual	-	8.69%	-	-	-	-	-	-	-	Up is Good	Neutral	
	Benchmark - National Data	Annual	-	9.03%	-	-	-	-	-	-	-			
	Benchmark - Regional Data	Annual	-	8.24%	-	-	-	-	-	-	-			
	Regional Rank (Rank out of 15)	Annual	-	6	-	-	-	-	-	-	-			

			Previous Years			2015/2016							
			Collection Frequency	2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT
4. Public Health and Wellbeing	PHOF32	Suicide rate (per 100,000 population)	Annual	7.79	10.13	9.94	-	-	-	-	-	Up is Bad	Neutral
		Benchmark - National Data	Annual	8.49	8.77	8.94	-	-	-	-	-		
		Benchmark - Regional Data	Annual	8.57	9.33	9.26	-	-	-	-	-		
		Regional Rank (Rank out of 15)	Annual	5	10	11	-	-	-	-	-		
PP07	% of businesses that were compliant with legislation concerning the illegal use and sale of alcohol and tobacco	Quarterly	98%	75%	100%	N/A	N/A	N/A	-	-	Up is Good	Good	
5. Homelessness	CSB17	Number of mothers recorded by Midwifery Services in regard to alcohol or substance misuse (by Estimated Delivery Date)	Quarterly	-	-	26	7	14	-	-	-	Up is Bad	Neutral
	HOU259	Households accepted as being homeless and in priority need - Relationship Breakdown Violent - (YTD)	Quarterly	19	16	17	3	9	16	-	-	Up is Bad	Neutral
		Benchmark - National Data	Quarterly	6,530	6,130	6,530	1600	3330	-	-	-		
	HOU280	Households accepted as being homeless and in priority need - % Mental illness or disability - (YTD)	Quarterly	7.50%	17.40%	16.50%	13.00%	10.40%	13.33%	-	-	Neutral	Neutral
		Benchmark - National Data	Quarterly	8.13%	8.57%	8.21%	8%	8.5%	-	-	-		
	HOU281	Households accepted as being homeless and in priority need - % Domestic Violence - (YTD)	Quarterly	4.80%	3.70%	9.40%	0.00%	4.00%	3.70%	-	-	Neutral	Neutral
Benchmark - National Data		Quarterly	2.90%	2.83%	2.82%	2%	2.4%	-	-	-			
6. Life Expectancy	PHOF16	Life Expectancy at birth - Female	Annual	83.2	83.50	-	-	-	-	-	-	Up is Good	Neutral
		Benchmark - National Data	Annual	83.01	83.12	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	82.2	82.20	-	-	-	-	-	-		
		Regional Rank (Rank out of 15)	Annual	2	2	-	-	-	-	-	-		
	PHOF17	Slope index of inequality in life expectancy at birth - Females - (Three year period)	Annual	5.91	5.82	-	-	-	-	-	-	Up is Bad	Neutral
		Benchmark - National Data	Annual	6.85	6.9	-	-	-	-	-	-		
		Regional Rank (Rank out of 15)	Annual	4	3	-	-	-	-	-	-		
	PHOF36	Life Expectancy at birth - Male	Annual	79.6	79.40	-	-	-	-	-	-	Up is Good	Neutral
		Benchmark - National Data	Annual	79.21	79.41	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	78.3	78.50	-	-	-	-	-	-		
Regional Rank (Rank out of 15)		Annual	2	3	-	-	-	-	-	-			
PHOF37	Slope index of inequality in life expectancy at birth - Males - (Three year period)	Annual	7.25	7.41	-	-	-	-	-	-	Up is Bad	Neutral	
	Benchmark - National Data	Annual	9.24	9.1	-	-	-	-	-	-			
	Regional Rank (Rank out of 15)	Annual	4	3	-	-	-	-	-	-			



Portfolio - Adult Social Care and Health 2015/2016

No of Indicators = 49 | Direction of Travel (DoT) shows the trend of how an indicator is performing against its Polarity over time.
 Produced by the Strategic Business Intelligence Hub January 2016

			Previous Years			2015/2016				Polarity	DoT		
			2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4			Target	
		Collection Frequency											
7. Alcohol	LAPE03	Alcohol-specific mortality: Males, all ages (per 100,000 population)	Annual	13.28	14.60	-	-	-	-	-	-	Up is Bad	Bad
		Benchmark - National Data	Annual	14.57	16.61	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	15.80	18.13	-	-	-	-	-	-		
	LAPE04	Alcohol-specific mortality: Females, all ages (per 100,000 population)	Annual	6.83	7.86	-	-	-	-	-	-	Up is Bad	Bad
		Benchmark - National Data	Annual	6.78	7.47	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	7.49	8.73	-	-	-	-	-	-		
	LAPE09	Under 18s admitted to hospital with alcohol-specific conditions (per 100,000 population)	Annual	28.86	30.50	-	-	-	-	-	-	Up is Bad	Bad
		Benchmark - National Data	Annual	44.88	40.10	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	44.14	38.10	-	-	-	-	-	-		
	PHOF03	Alcohol related admissions to hospital (per 100,000 population)	Annual	594.09	657.51	-	-	-	-	-	-	Up is Bad	Bad
		Benchmark - National Data	Annual	636.85	645.13	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	687.88	697.17	-	-	-	-	-	-		
	Regional Rank (Rank out of 15)	Annual	3	5	-	-	-	-	-	-			
8. Smoking	PHOF45	% of population smoking	Annual	17.62	18.76	18.43	-	-	-	-	-	Up is Bad	Neutral
		Benchmark - National Data	Annual	19.53	18.45	17.99	-	-	-	-	-		
		Benchmark - Regional Data	Annual	22.71	20.34	20.11	-	-	-	-	-		
		Regional Rank (Rank out of 15)	Annual	1	5	6	-	-	-	-	-		
9. Obesity	PHOF44	% of adults classified as overweight or obese	Annual	-	-	56.88%	-	-	-	-	-	Up is Bad	Neutral
		Benchmark - National Data	Annual	-	-	64.59%	-	-	-	-	-		
		Benchmark - Regional Data	Annual	-	-	67.09%	-	-	-	-	-		
		Regional Rank (Rank out of 15)	Annual	-	-	1	-	-	-	-	-		

			Previous Years			2015/2016							
			Collection Frequency	2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT
1. Tourism	<u>TOU01</u>	Room Occupancy	Monthly	77%	80.90%	74.76%	79.10%	-	-	-	-	Up is Good	Neutral
	<u>TOU04</u>	Average Room Rate	Monthly	£71.19	£73.38	£69.66	£81.43	-	-	-	-	Neutral	Neutral
	<u>TOU08</u>	Visits to Attractions: Big Attractions	Monthly	-	2,975,912	2,866,401	746,921	-	-	-	-	Up is Good	Bad
	<u>TOU09</u>	Visits to Attractions: Small Attractions	Monthly	-	259,973	276,399	75,386	-	-	-	-	Up is Good	Good
	<u>TOU11</u>	Sessions on visitoryork.org	Monthly	-	1,868,119	2,121,529	379,237	-	-	-	-	Up is Good	Neutral
	<u>TOU14</u>	Parliament Street Footfall	Monthly	7,941,059	7,844,253	9,616,941	2,131,369	2,361,747	2,125,920	-	-	Up is Good	Neutral
	<u>TOU15</u>	Visitor Information Centre Footfall	Monthly	-	481,019	488,643	107,326	-	-	-	-	Up is Good	Good
2. Leisure	<u>LIB01</u>	Library Visits - All Libraries	Monthly	1,005,595	1,043,285	799,083	247,820	274,380	-	-	-	Up is Good	Neutral
	<u>LIB02</u>	Books Borrowed - All Libraries	Monthly	-	-	778,615	199,832	221,236	-	-	-	Up is Good	Neutral
	<u>SSN004</u>	Adult participation in 30 minutes, moderate intensity sport	Annual	38.23%	40.95%	40.57%	-	-	-	-	-	Up is Good	Neutral
		Benchmark - National Data	Annual	36.56%	36.09%	35.55%	-	-	-	-	-		
		Benchmark - Regional Data	Annual	36.67%	35.07%	34.90%	-	-	-	-	-		
	Regional Rank (Rank out of 15)	Annual	5	1	2	-	-	-	-	-			
3. Public Realm	<u>APSE088</u>	Parks and Open Spaces: Maintenance cost per household (including CEC) (PI 43)	Annual	27	24.63	21.54	-	-	-	-	-	Up is Bad	Good
		Benchmark - National Data	Annual	48	46.46	47.52	-	-	-	-	-		
		Benchmark - APSE Family	Annual	27	30.76	56.57	-	-	-	-	-		
	<u>APSE091</u>	Parks and Open Spaces: Cost of service per household (including CEC) (PI 21)	Annual	27	29.81	24.01	-	-	-	-	-	Up is Bad	Neutral
		Benchmark - National Data	Annual	51	48.39	50.38	-	-	-	-	-		
		Benchmark - APSE Family	Annual	31	31.96	58.05	-	-	-	-	-		
4. Learning	<u>BYS236</u>	% of residents who volunteer at least once per week (All Responses)	Annual	16%	21%	NC	-	-	-	-	-	Up is Good	Neutral
	<u>CJGE17</u>	% of working age population qualified - No qualifications	Annual	6.50%	6.90%	4.80%	-	-	-	-	-	Up is Bad	Good
		Benchmark - National Data	Annual	9.70%	9.40%	8.80%	-	-	-	-	-		
		Benchmark - Regional Data	Annual	11.60%	10.60%	9.80%	-	-	-	-	-		
	Regional Rank (Rank out of 15)	Annual	1	1	2	-	-	-	-	-			

			Previous Years			2015/2016							
			Collection Frequency	2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT
4. Learning	CJGE17a	% of working age population qualified - to at least L1 and above*	Annual	90.60%	89.70%	91.80%	-	-	-	-	-	Up is Good	Neutral
		Benchmark - National Data	Annual	84.00%	84.40%	85.00%	-	-	-	-	-		
		Benchmark - Regional Data	Annual	81.60%	82.90%	83.40%	-	-	-	-	-		
		Regional Rank (Rank out of 15)	Annual	1	1	1	-	-	-	-	-		
	CJGE20	% of working age population qualified - to at least L4 and above*	Annual	41.20%	40.20%	40.30%	-	-	-	-	-	Up is Good	Neutral
		Benchmark - National Data	Annual	34.20%	35.10%	36.00%	-	-	-	-	-		
		Benchmark - Regional Data	Annual	29.40%	29.80%	29.70%	-	-	-	-	-		
Regional Rank (Rank out of 15)		Annual	1	1	1	-	-	-	-	-			
5. Crime	CSP23	Hate Crimes or Incidents as Recorded by NYP	Monthly	95	98	108	-	-	-	-	-	Up is Bad	Bad
		IQUANTA Family Grouping (Rank out of 15)	Quarterly	5	4	3	-	6	-	-	-		
	CSP27	Number of Incidents of Violent Crime Within the ARZ	Quarterly	613	587	561	169	182	-	-	-	Up is Bad	Good
	CSP29	Number of Incidents of Violent crime within the CIZ	Quarterly	508	496	465	127	152	-	-	-	Up is Bad	Good
6. Equality	CJGE68	Median earnings of residents - Gross Weekly Pay (£) - Gender Pay Gap	Annual	78.80	98.50	98.9	-	85.1	-	-	-	Up is Bad	Neutral
		Benchmark - National Data	Annual	99	99.3	99.6	-	98.8	-	-	-		
		Benchmark - Regional Data	Annual	94	105.9	101.3	-	98.5	-	-	-		
		Regional Rank (Rank out of 15)	Annual	3	6	6	-	5	-	-	-		
7. Public Protection	PP01	% of businesses reporting that contact with officers was helpful	Annual	93%	97.27%	97.28%	-	-	-	-	-	Up is Good	Good
	PP02	% of businesses reporting that they were treated fairly	Quarterly	93%	99.09%	98.56%	-	-	-	-	-	Up is Good	Neutral
	PP03	% of businesses reporting that the information provided was useful	Quarterly	99%	97.27%	98.14%	-	-	-	-	-	Up is Good	Neutral
	PP04	% of customers who were satisfied with the action taken to resolve their complaint	Quarterly	74%	97.27%	95.57%	-	-	-	-	-	Up is Good	Neutral
	PP05	Number of website users who found the information about air quality easily available	Discontinued	1061	849	NC	-	-	-	-	-	Up is Good	Neutral
	PP06	% of food premises that are classified as broadly compliant	Quarterly	95%	93%	93%	94%	94%	94%	-	-	Up is Good	Neutral
	PP07	% of businesses that were compliant with legislation concerning the illegal use and sale of alcohol and tobacco	Quarterly	98%	75%	100%	N/A	N/A	N/A	-	-	Up is Good	Good
	PP08	% of births registered within 42 days	Quarterly	99%	99%	98%	-	-	-	-	-	Up is Good	Neutral



Portfolio - Culture, Leisure and Tourism 2015/2016

No of Indicators = 31 | Direction of Travel (DoT) shows the trend of how an indicator is performing against its Polarity over time.
 Produced by the Strategic Business Intelligence Hub January 2016

			Previous Years			2015/2016							
			2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT	
7. Public Protection	<u>PP09</u>	% of still births registered within 42 days	Quarterly	99%	100%	100%	-	-	-	-	-	Up is Good	Neutral
	<u>PP10</u>	% of deaths registered within 5 days	Quarterly	97%	93%	93%	-	-	-	-	-	Up is Good	Neutral
	<u>PP11</u>	% certificate applications dealt with within 5 days of receipt	Quarterly	100%	100%	100%	-	-	-	-	-	Up is Good	Neutral

This page is intentionally left blank

			Previous Years			2015/2016							
			Collection Frequency	2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT
1. Benefits	CJGE06	JSA Claimants: % of Working Age Population (16-64)	Monthly	2.30%	1.60%	0.80%	0.6%	0.5%	0.5%	-	-	Up is Bad	Good
		Benchmark - National Data	Monthly	3.80%	2.90%	2.00%	1.7%	1.6%	1.5%	-	-		
		Benchmark - Regional Data	Monthly	4.90%	3.80%	2.70%	2.4%	2.2%	2.0%	-	-		
		Regional Rank (Rank out of 15)	Monthly	1	1	1	1	1	1	-	-		
	CJGE151	JSA and UC (Out of Work) % of working age population (16 - 64)	Monthly	N/C	N/C	N/C	0.7%	0.7%	0.7	-	-	Up is Bad	Neutral
		Benchmark - National Data	Monthly	N/C	N/C	N/C	1.9%	1.8%	1.8	-	-		
Benchmark - Regional Data		Monthly	N/C	N/C	N/C	2.4%	2.3%	2.2	-	-			
CJGE09	% Total Benefit Claimants (Working Age 16-64)	Quarterly	8.60%	7.90%	7.30%	7.00%	(Avail Feb 2016)	-	-	-	Up is Bad	Good	
2. Employment	emp1	% of working age population in employment (16-64)	Quarterly	74.90%	73.20%	74.10%	74.40%	75.30%	-	-	-	Up is Good	Neutral
	CJGE71	Employment Rate (Male)	Quarterly	76.80%	75%	77.80%	77.30%	79.00%	-	-	-	Up is Good	Good
	CJGE72	Employment Rate (Female)	Quarterly	73.10%	71.40%	70.40%	71.60%	65.40%	-	-	-	Up is Good	Neutr
	CJGE03	York's unemployment rate below the national	Quarterly	1.70%	2.00%	1.70%	1.80%	1.80%	-	-	-	Up is Good	Neutr
	CJGE05	% of Part time employees	Quarterly	32.20%	33.80%	31.40%	30.70%	30.60%	-	-	-	Up is Bad	Good
		Benchmark - National Data	Quarterly	25.80%	25.60%	25.50%	26.60%	25.50%	-	-	-		
Benchmark - Regional Data		Quarterly	26.90%	26.70%	26.70%	25.50%	27.10%	-	-	-			
Regional Rank (Rank out of 15)		Quarterly	15	15	15	-	-	-	-	-			
3. Business	CJGE23	% of vacant city centre shops	Monthly	5.95%	6.25%	5.99%	6.62%	6.31%	-	-	-	Up is Bad	Neutral
	CJGE30	GVA per head (£)	Annual	23,065	24,121	23,977	-	-	-	-	-	Up is Good	Neutral
		Regional Rank (Rank out of 12)	Annual	2	2	2	-	-	-	-	-		
	CJGE31	Total GVA (£ billion)	Annual	4.72	4.88	4.90	-	-	-	-	-	Up is Good	Good
		Regional Rank (Rank out of 11)	Annual	9	11	11	-	-	-	-	-		
	CJGE32	Business Startups - (YTD)	Monthly	1,494	1,155	1144	254	519	-	-	-	Up is Good	Bad
CJGE29	Business Deaths	Annual	635	600	710	-	-	-	-	-	Up is Bad	Neutral	
4. Earnings	CJGE14	Median earnings of residents – Gross Weekly Pay (£)	Annual	523.10	526.50	476.90	-	496.00	-	-	-	Up is Good	Neutral
		Benchmark - National Data	Annual	508.30	517.90	529.60	-	529.60	-	-	-		
		Benchmark - Regional Data	Annual	465.20	479.10	479.00	-	480.50	-	-	-		
		Regional Rank (Rank out of 15)	Annual	1	1	9	-	5	-	-	-		



Portfolio - Economic Development 2015/2016

No of Indicators = 15 | Direction of Travel (DoT) shows the trend of how an indicator is performing against its Polarity over time.
 Produced by the Strategic Business Intelligence Hub January 2016

			Previous Years			2015/2016							
			Collection Frequency	2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT
5. Education	CJGE17	% of working age population qualified - No qualifications	Annual	6.50%	6.90%	4.80%	-	-	-	-	-	Up is Bad	Good
		Benchmark - National Data	Annual	9.70%	9.40%	8.80%	-	-	-	-	-		
		Benchmark - Regional Data	Annual	11.60%	10.60%	9.80%	-	-	-	-	-		
		Regional Rank (Rank out of 15)	Annual	1	1	2	-	-	-	-	-		

			Previous Years			2015/2016							
			2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT	
	Indicator	Collection Frequency											
01. Children's Social Care	<u>103b</u>	% of final Education, Health & Care Plans issued within statutory time limits, including exceptions (definition changed Sept 2014)	Quarterly	100%	98%	88%	89%	90%	91%	-	100%	Up is Good	Good
	<u>147</u>	% of care leavers in suitable accommodation ADD 19,20 & 21 - (YTD)	Quarterly	100.00%	100.00%	95.00%	100.00%	100.00%	97.10%	-	-	Up is Good	Neutral
		Benchmark - National Data	Annual	88.30%	88.00%	77.80%	-	-	-	-	-		
		Benchmark - Regional Data	Annual	88.20%	89.00%	81%	-	-	-	-	-		
		Benchmark - Comparator Data	Quarterly	-	-	79.30%	-	-	-	-	-		
	<u>65</u>	% of children becoming the subject of a Child Protection Plan for a second or subsequent time - (YTD)	Quarterly	19.20%	10.90%	12.20%	25.00%	30.70%	26.20%	-	-	Up is Bad	Bad
		Benchmark - National Data	Annual	13.13%	14.66%	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	10.80%	12.43%	-	-	-	-	-	-		
		Benchmark - Comparator Data	Quarterly	-	-	-	-	-	-	-	-		
	<u>CSS7</u>	% of adopted children who wait less than 20 months between entering care and moving in with adoptive family - (YTD) - (New for 2014/2015)	Quarterly	-	-	62.22%	64% (3 year cohort)	66% (3 year cohort)	63% (3 year cohort)	-	-	Up is Good	Neutral
	<u>CYPL1</u>	Total number of LA-funded out-City placements	Quarterly	29	22	25	23	19	19	-	Reduce	Up is Bad	Good
	<u>CYPL2c</u>	Number of Early Help Assessments initiated	Quarterly	201	228	243	45	36	55	-	-	Neutral	Neutral
	<u>EFL1</u>	Numbers of Children Looked After (CLA), this figure excludes Short Term Breaks (per 10k shown in brackets) - (Snapshot)	Quarterly	243 (67)	220 (61)	197 (55)	199 (55)	203 (56)	188 (52)	-	-	Up is Bad	Good
	<u>EFL2</u>	Number of Children with a Child Protection Plan (per 10k shown in brackets) - (Snapshot)	Quarterly	137 (38)	131 (36)	124 (34)	124 (34)	133 (37)	144 (40)	-	-	Up is Bad	Bad
<u>MI Pack 1</u>	Number of referrals during year to date (per 10k shown in brackets) (cumulative)	Quarterly	862 (240)	1418 (393)	798 (212)	185 (51)	386 (107)	576 (160)	-	-	Up is Bad	Neutral	
<u>MI Pack 2</u>	Number of Children Looked After (CLA) starting to be looked after in the year to date, who have previously been looked after (cumulative)	Quarterly	14	20	13	4	9	10	-	-	Up is Bad	Neutral	
<u>PEI8</u>	% of registrations of vulnerable groups living in the most deprived SOA in all Children Centres - (Snapshot)	Quarterly	-	76%	81%	88%	87%	89%	-	-	Up is Good	Good	
02. Troubled Families	<u>CYP10-4</u>	Number of Troubled Families turned around - (New 2014/2015)	Discontinued	-	-	306	315	-	-	-	-	Up is Good	Good
	<u>CYP10-6</u>	Troubled Families: Number of families "turned around" for Education and Crime/ASB issues - (New for 2014/2015)	Discontinued	-	-	266	271	-	-	-	-	Up is Good	Good
	<u>TF2-A01</u>	Number of Troubled Families (Families identified with 2 or more headline criteria)	Quarterly	-	-	52	299	349	377	-	-	Up is Good	Good
	<u>TF2-A02</u>	% of Troubled Families who have achieved an outcome	Quarterly	-	-	0	0	0	0	-	-	Up is Good	Neutral

			Previous Years			2015/2016								
			Collection Frequency	2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT	
03. Youth Offending	<u>45</u>	% of young people ending their YOT supervised order who are NEET (New definition from 2013/14 - cumulative) - (YTD)	Quarterly	27%	28%	19.50%	31.6%	27.0%	(Avail Jan 2016)	-	20%	Up is Bad	Neutral	
	<u>PHOF23</u>	First time entrants to the youth justice system (per 100,000 population aged 10-17)	Annual	498.01	432.43	413.64	-	-	-	-	-	Up is Bad	Good	
		Benchmark - National Data	Annual	556.05	440.93	409.06	-	-	-	-	-			
		Benchmark - Regional Data	Annual	536.69	458.66	473.02	-	-	-	-	-			
	Regional Rank (Rank out of 15)	Annual	7	7	7	-	-	-	-	-				
04. Education	<u>117</u>	% of Year 12-14 young people who are not in education, employment or training (NEET) - (Snapshot)	Monthly	5.10%	4.50%	4.70%	4.70%	5.10%	4.80%	-	-	Up is Bad	Neutral	
	<u>RM5</u>	% of primary schools oversubscribed by 5% or more (@ January school census) - (Snapshot)	Annual	13.00%	16.00%	18%	-	-	-	-	-	Up is Bad	Bad	
	<u>RM6</u>	% of secondary schools oversubscribed by 5% or more in years 7-11 (@ January school census) - (Snapshot)	Annual	-	0.00%	11%	-	-	-	-	-	Up is Bad	Bad	
05. Attainment	<u>102a</u>	%pt gap in achievement of Level 4+ Reading, Writing & Maths at Key Stage 2 between disadvantaged pupils (eligible for FSM in the last 6 years, looked after and adopted from care) and their peers - (Snapshot)	Annual	26%	20%	19%	-	-	-	-	-	Up is Bad	Good	
		Benchmark - National Data	Annual	18.00%	16.00%	15.00%	-	-	-	-	-			
		Benchmark - Regional Data	Annual	20.00%	18.00%	18.00%	-	-	-	-	-			
		Regional Rank (Rank out of 15)	Annual	15	11	11	-	-	-	-	-			
	<u>102b</u>	%pt gap in achievement of 5+A*-Cs GCSE (or equivalent) including English & Maths at Key Stage 4 between disadvantaged pupils (eligible for FSM in the last 6 years, looked after and adopted from care) and their peers - (Snapshot)	Annual	32%	39%	(Avail Mar 2016)	-	-	-	-	-	Up is Bad	Bad	
		Benchmark - National Data	Annual	26.30%	26.70%	-	-	-	-	-	-			
		Benchmark - Regional Data	Annual	30.60%	30.60%	-	-	-	-	-	-			
		Regional Rank (Rank out of 15)	Annual	3	1	-	-	-	-	-	-			
	<u>81</u>	%pt gap between FSM and non-FSM pupils at 15, who attain a Level 3 qualification by the age of 19 - (Snapshot)	Annual	33.00%	40.00%	35.00%	(Avail Apr 2016)	-	-	-	-	-	Up is Bad	Neutral
		Benchmark - National Data	Annual	24%	24%	25%	-	-	-	-	-			
Benchmark - Regional Data		Annual	27%	28%	28%	-	-	-	-	-				
Regional Rank (Rank out of 15)		Annual	15	15	15	-	-	-	-	-				

			Previous Years			2015/2016								
			Collection Frequency	2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT	
06. Attendance	<u>87a</u>	Secondary school persistent absence rate (15% absence) (recorded over 6 terms) (relates to prev academic year to financial year shown)	Discontinued	6.08%	4.60%	(Avail Mar 2016)	-	-	-	(Avail Oct 2016)	-	Up is Bad	Good	
	<u>87aa</u>	Secondary school persistent absence rate (10% absence) (recorded over 6 terms) (relates to prev academic year to financial year shown) (New for 2015/2016)	Annual	-	-	-	-	-	-	-	-	Up is Bad	Neutral	
	<u>PHOF22</u>	% of half days missed by pupils due to overall absence (including authorised and unauthorised absence)	Annual	4.95	3.97	-	-	-	-	-	-	-	Up is Bad	Neutral
		Benchmark - National Data	Annual	5.26	4.51	-	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	5.45	4.62	-	-	-	-	-	-	-		
		Regional Rank (Rank out of 15)	Annual	3	1	-	-	-	-	-	-	-		
<u>RM16</u>	Number of fixed term exclusions in the secondary sector	Annual	508	554	546	-	-	-	(Avail Oct 2016)	-	Up is Bad	Neutral		
07. Ofsted Ratings	<u>RM91</u>	School Ofsted Rating - Overall: Outstanding -%	Quarterly	-	23.00%	22.00%	-	-	22.00%	-	-	Up is Good	Neutral	
	<u>RM93</u>	School Ofsted Rating - Overall: Good -%	Quarterly	-	55.00%	65.00%	-	-	63.00%	-	-	Up is Good	Neutral	
	<u>RM95</u>	School Ofsted Rating - Overall: Requires improvement -%	Quarterly	-	17.00%	11.00%	-	-	10.00%	-	-	Up is Bad	Good	
	<u>RM97</u>	School Ofsted Rating - Overall: Inadequate -%	Quarterly	-	5.00%	0.00%	-	-	2.00%	-	-	Up is Bad	Neutral	
08. Free School Meals	<u>PriFSM</u>	Primary pupils eligible for and claiming Free School Meals	Annual	11.1%	10.2%	8.3%	-	-	-	-	-	Neutral	Neutral	
		Benchmark - National Data	Annual	18.1%	17.0%	15.6%	-	-	-	-	-			
		Benchmark - Regional Data	Annual	18.6%	18.1%	16.6%	-	-	-	-	-			
	<u>SecFSM</u>	Secondary pupils eligible for and claiming Free School Meals	Annual	8.4%	7.8%	6.7%	-	-	-	-	-	Neutral	Neutral	
		Benchmark - National Data	Annual	15.1%	14.6%	13.9%	-	-	-	-	-			
		Benchmark - Regional Data	Annual	16.0%	15.6%	15.0%	-	-	-	-	-			
09. Health	<u>NCMP01</u>	% of reception year children recorded as being obese	Annual	8.05%	7.82%	7.03%	-	-	-	-	-	Up is Bad	Good	
		Benchmark - National Data	Annual	9.27%	9.48%	9.08%	-	-	-	-	-			
		Benchmark - Regional Data	Annual	8.94%	9.20%	8.83%	-	-	-	-	-			
		Regional Rank (Rank out of 15)	Annual	-	1	1	-	-	-	-	-			
	<u>NCMP02</u>	% of children in Year 6 recorded as being obese	Annual	16.36%	15.35%	14.97%	-	-	-	-	-	Up is Bad	Good	
		Benchmark - National Data	Annual	18.92%	19.09%	19.08%	-	-	-	-	-			
		Benchmark - Regional Data	Annual	19.01%	19.22%	19.19%	-	-	-	-	-			
		Regional Rank (Rank out of 15)	Annual	-	1	1	-	-	-	-	-			

			Previous Years			2015/2016							
			Collection Frequency	2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT
10. Employment	<u>AS1</u>	% of young people aged 16-18 in Apprenticeships (as a proportion of 16-18 previously in a York Secondary School)	Annual	6.70%	6.70%	6.80%	-	-	-	-	-	Up is Good	Good
	<u>AS2</u>	Number of Apprenticeships starts - York resident young people aged 16-18 (relates to prev academic year to financial year shown)	Annual	350	352	358	-	-	-	-	-	Up is Good	Good
	<u>AS3</u>	Number of Apprenticeships starts - York resident young people aged 19-24 (relates to prev academic year to financial year shown)	Annual	591	516	487	-	-	-	-	-	Up is Good	Bad
	<u>AS4</u>	Number of Apprenticeships starts - York resident young people aged 25+ (relates to prev academic year to financial year shown)	Annual	722	712	457	-	-	-	-	-	Up is Good	Bad

			Previous Years			2015/2016							
			Collection Frequency	2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT
1. Waste	CES35	Residual household waste (kg per HH) - (YTD)	Quarterly	541kg	559kg	598.3kg	142kg	278.65kg	-	-	-	Up is Bad	Bad
		Benchmark - National Data	Annual	551kg	555kg	558kg	-	-	-	-	-		
		Benchmark - Regional Data	Annual	543kg	534kg	543kg	-	-	-	-	-		
		Regional Rank (Rank out of 15)	Annual	7	9	10	-	-	-	-	-		
	CES36	Household waste recycled / composted- (YTD)	Quarterly	45.96%	43.63%	42.50%	49.39%	49.63%	-	-	-	Up is Good	Neutral
		Benchmark - National Data	Annual	43.22%	43.45%	43.70%	-	-	-	-	-		
		Benchmark - Regional Data	Annual	43.31%	43.85%	43.60%	-	-	-	-	-		
		Regional Rank (Rank out of 15)	Annual	6	9	7	-	-	-	-	-		
	CES37	Municipal waste landfilled - (YTD)	Quarterly	53.76%	55.83%	57.40%	50.07%	50.46%	-	-	-	Up is Bad	Neutral
		Benchmark - National Data	Annual	33.89%	30.93%	24.50%	-	-	-	-	-		
		Benchmark - Regional Data	Annual	38.17%	34.71%	30.00%	-	-	-	-	-		
		Regional Rank (Rank out of 15)	Annual	12	13	14	-	-	-	-	-		
	CES38	Total tonnes of municipal waste collected (household, commercial, prescribed and inert waste) - (YTD)	Quarterly	97,000	93,830	93,430	26,957	52,647	-	-	-	Neutral	Neutral
	CES39	Tonnes of Landfilled waste - Household (excluding liquid waste) - (YTD)	Quarterly	45,930	46,850	46,740	12,124	23,864	-	-	-	Up is Bad	Neutral
	CES40	Tonnes of Landfilled waste - Commercial collection rounds - (YTD)	Quarterly	6,220	5,620	5,630	1,191	2,411	-	-	-	Up is Bad	Neutral
CES41	Tonnes of Landfilled waste - Combined (excluding liquid waste)	Quarterly	52,150	52,470	52,370	13,512	26,589	-	-	-	Up is Bad	Neutral	
CES42	Cost of landfill tax - Household (excluding liquid waste)	Quarterly	£2,939,520	£3,373,200	£3,739,200	£1,001,938	-	-	-	-	Up is Bad	Bad	
CES43	Cost of landfill tax - Commercial collection rounds	Quarterly	£398,080	£404,640	£450,400	£98,294	-	-	-	-	Up is Bad	Bad	
CES44	Cost of landfill tax - Combined (excluding liquid waste)	Quarterly	£3,337,600	£3,777,840	£4,189,600	£1,100,232	-	-	-	-	Up is Bad	Bad	
CES45	% of properties offered 2 kerbside recycle collections - (YTD)	Quarterly	98.70%	98.80%	99%	99%	-	-	-	-	Up is Good	Good	
2. Public Realm	CAN008	Average days taken to remove obscene graffiti - (YTD)	Monthly	0.78	0.69	1.34	0.67	1.93	-	-	-	Up is Bad	Bad
	CAN009	Average days taken to remove non-obscene graffiti - (YTD)	Monthly	1.19	0.98	2.05	2.79	2.49	-	-	-	Up is Bad	Bad
	CSPEC1	Calls for Service - Flytipping - Rubbish	Monthly	1683	1841	1358	289	421	408	-	-	Up is Bad	Neutral
	CSPEC2	Calls for Service - Litter	Discontinued	675	NC	NC	-	-	-	-	-	Up is Bad	Neutral
	CSPEC4	Calls for Service - Vegetation (includes weeds and overgrown hedges)	Monthly	1095	1126	931	254	467	234	-	-	Up is Bad	Neutral

			Previous Years			2015/2016					Polarity	DoT	
			2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target			
	Indicator	Collection Frequency											
2. Public Realm	<u>CSPEC5</u>	Calls for Service - Cleansing (includes dog fouling, litter and all other cleansing cases)	Monthly	2558	2225	1729	335	399	516	-	-	Up is Bad	Good
	<u>CSPEC6</u>	Calls for Service - Graffiti	Monthly	395	178	158	61	68	78	-	-	Up is Bad	Bad
	<u>CSPEC7</u>	Calls for Service - Litter bins	Monthly	135	108	107	14	49	25	-	-	Neutral	Neutral
	<u>CSPEC8</u>	Calls for Service - Dog bins	Monthly	82	77	105	19	44	24	-	-	Neutral	Neutral
	<u>CSPEC9</u>	NYP Recorded ASB Calls for Service - Environmental	Monthly	616	722	687	166	-	-	-	-	Up is Bad	Neutral
	<u>CSPMA7</u>	CYC Mobile App - Grand Total	Monthly	432	428	373	97	81	55	-	-	Neutral	Neutral
	<u>SLA02</u>	2 Hour Cleansing cases completed within SLA - (YTD)	Monthly	-	69%	78%	76%	76%	-	-	-	Up is Good	Neutral
	<u>SLA04</u>	Standard Cleansing cases completed within SLA - (YTD)	Monthly	-	91%	90%	77%	82%	-	-	-	Up is Good	Bad
	<u>SLA18</u>	Overall Public Realm cases completed within SLA - (YTD)	Monthly	-	83%	83%	74%	77%	-	-	-	Up is Good	Neutral
3. Satisfaction	<u>BSC01</u>	Customer satisfaction that the quality of streets/public places is improving	Annual	63%	49%	NC	-	-	-	-	-	Up is Good	Bad
	<u>BSC02</u>	Customer satisfaction on how we work to improve green spaces	Annual	60%	48%	NC	-	-	-	-	-	Up is Good	Bad
	<u>BSC03</u>	% of residents who feel its important for them to feel part of their local community	Annual	70%	74%	NC	-	-	-	-	-	Neutral	Neutral
	<u>BYS053</u>	% of residents who are satisfied with their local area as a place to live - Satisfied (All Responses)	Annual	91%	83%	NC	-	-	-	-	-	Up is Good	Bad
	<u>BYS254</u>	% of residents who volunteer at least once a month (All Responses)	Annual	26%	33%	NC	-	-	-	-	-	Up is Good	Good
	<u>BYS302</u>	% of CYC residents think CYC/partners are working well to make communities safer	Annual	54%	45%	NC	-	-	-	-	-	Up is Good	Bad
4. Penalty Notices	<u>FPN01a</u>	Fixed Penalty Notices - Dog Fouling	Monthly	-	2	2	0	0	-	-	-	Neutral	Neutral
	<u>FPN01b</u>	Fixed Penalty Notices - Litter	Monthly	-	16	5	0	4	-	-	-	Neutral	Neutral
	<u>FPN01c</u>	Fixed Penalty Notices - S34 non production of waste transfer notes	Monthly	-	2	2	0	1	-	-	-	Neutral	Neutral
	<u>FPN01d</u>	Fixed Penalty Notices - S46 Household Waste	Monthly	-	0	7	0	0	-	-	-	Neutral	Neutral
	<u>FPN01e</u>	Fixed Penalty Notices - S47 Commercial Waste	Monthly	-	0	0	0	0	-	-	-	Neutral	Neutral
	<u>FPN02a</u>	Community Protection Notices - Dog Fouling	Monthly	-	0	0	1	0	-	-	-	Neutral	Neutral
	<u>FPN02b</u>	Community Protection Notices - Waste accumulation on residential property	Monthly	-	0	0	0	1	-	-	-	Neutral	Neutral
	<u>FPN02c</u>	Community Protection Notices - Other	Monthly	-	0	0	0	0	-	-	-	Neutral	Neutral



Portfolio - Environment 2015/2016

No of Indicators = 43 | Direction of Travel (DoT) shows the trend of how an indicator is performing against its Polarity over time.
 Produced by the Strategic Business Intelligence Hub January 2016

			Previous Years			2015/2016							
			Collection Frequency	2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT
5. Public Protection	<u>PP05</u>	Number of website users who found the information about air quality easily available	Discontinued	1061	849	NC	-	-	-	-	-	Up is Good	Neutral
	<u>PP06</u>	% of food premises that are classified as broadly compliant	Quarterly	95%	93%	93%	94%	94%	94%	-	-	Up is Good	Neutral
6. Climate Change	<u>CES02</u>	Reduction in CO2 through investing in more efficient street lighting	Annual	-13.64%	-	-	-	-	-	-	-	Up is Bad	Neutral
	<u>CES020</u>	York's CO2 per head of population (tonnes)	Annual	5.3 (2011)	5.6 (2012)	N/A	-	-	-	-	-	Up is Bad	Neutral

This page is intentionally left blank

			Previous Years			2015/2016							
			Collection Frequency	2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT
1. Customer Services	<u>CFS01</u>	Overall Customer Centre Satisfaction (%) - CYC	Monthly	54.52%	39.31%	58.15%	53.68%	80.55%	91.80%	-	-	Up is Good	Good
	<u>FOI01</u>	Total FOI & EIR - Total Received	Annual	954	1384	1864	-	678 (YTD - Aug)	1176 (YTD)	-	-	Neutral	Neutral
	<u>FOI02</u>	Total FOI & EIR - % In time	Annual	74.90%	81.00%	94.10%	-	96.2% (YTD - Aug)	94.6% (YTD)	-	-	Neutral	Neutral
	<u>OD01</u>	Number of hits on yorkopendata.org	Monthly	-	-	7611	19050	25068	22616	-	-	Up is Good	Neutral
	<u>OD08</u>	Number of new datasets added to yorkopendata.org	Monthly	-	-	285	9	47	105	-	-	Up is Good	Neutral
	<u>YCC030</u>	Footfall in Customer Centre - % served within target wait time	Monthly	-	-	74%	65%	71%	73%	-	-	Up Is Good	Neutral
	<u>YCC030a</u>	Footfall in Customer Centre - Average wait time (Minutes)	Monthly	-	-	7.80	9.99	8.26	7.78	-	<10	Up is Bad	Neutral
	<u>YCC117</u>	YCC % Calls answered in 20 seconds - TOTAL	Weekly	-	42.50%	47.60%	45.00%	68.12%	76.99%	-	-	Up Is Good	Good
2. Financial Services	<u>adcs03</u>	Deprivation: % of the population living in the 20% most deprived Lower Super Output Areas	Annual	-	7.14% (2010)	7.17% (2015)	-	-	-	-	-	Up is Bad	Neutral
	<u>BPI108</u>	Overall Directorate Forecast Budget Outturn (£000s Overspent / -Underspent)	Quarterly	-	1760	1341	1,904	2,120	-	-	-	Up is Bad	Bad
	<u>BPI110</u>	Overall Council Forecast Budget Outturn (£000s Overspent / -Underspent)	Quarterly	-	-314	-688	1,904	1,250	-	-	-	Up is Bad	Bad
	<u>CES44</u>	Cost of landfill tax - Combined (excluding liquid waste)	Quarterly	£3,337,600	£3,777,840	£4,189,600	£1,100,232	-	-	-	-	Up is Bad	Bad
	<u>DOD00</u>	Indices of Multiple Deprivation	Annual	13.4 (2007)	12.93 (2010)	12.22 (2015)	-	-	-	-	-	Up is Bad	Good
		National Rank (1 is Bad) (Rank out of 326)	Annual	242 (2007)	234 (2010)	259 (2015)	-	-	-	-	-		
	<u>OCC01</u>	% of council tax collected in year - (YTD)	Monthly	97.94%	97.58%	97.55%	29.81%	56.82%	85.11%	-	97.80%	Up is Good	Neutral
		Benchmark - National Data (England)	Annual	97.37%	96.96%	97.01%	-	-	-	-	-		
		National Rank (Rank out of 353)	Annual	-	185	203	-	-	-	-	-		
		Regional Rank (Rank out of 22)	Annual	-	7	10	-	-	-	-	-		
<u>OCC02</u>	Council tax receipts collected in year (£m) - (YTD)	Monthly	82.85	87.21	90.27	27.43	54.68	81.2	-	-	Up is Good	Good	
<u>OCC03</u>	% of non-domestic rates collected in year - (YTD)	Monthly	98.02%	98.01%	98.20%	32.27%	58.02%	82.99%	-	98.50%	Up is Good	Neutral	
	Benchmark - National Data (England)	Annual	97.73%	97.93%	98.11%	-	-	-	-	-			
	National Rank (Rank out of 353)	Annual	-	203	183	-	-	-	-	-			
	Regional Rank (Rank out of 22)	Annual	-	12	10	-	-	-	-	-			

			Previous Years			2015/2016							
			2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT	
	Collection Frequency												
2. Financial Services	<u>OCC04</u>	% reduction in non-domestic rates prior year's balances - (YTD)	Monthly	23.03%	47.27%	33.09%	6.46%	20.59%	28.14%	-	42.00%	Up is Good	Neutral
	<u>OCC05</u>	% reduction in council tax prior year's balances - (YTD)	Monthly	35.29%	38.34%	33.78%	12.47%	20.49%	26.58%	-	42.00%	Up is Good	Neutral
	<u>OCC06B</u>	Number of days taken to process Housing Benefit/Council Tax Benefit new claims and change events (DWP measure)	Monthly	10	13	6	6	7	8	-	-	Up is Bad	Neutral
	<u>OCC07</u>	Benefit Reception Numbers	Monthly	2,314	1,868	1,848	1,597	1,727	1,481	-	-	Neutral	Neutral
	<u>OCC08</u>	Average Benefit Caseload for CYC	Monthly	15,123	13,919	13,103	12,870	12,543	12,385	-	-	Up is Bad	Good
	<u>OCC10</u>	Non-domestic receipts collected in year (£m) - (YTD)	Monthly	93.67	96.73	100.38	33.65	61.46	87.55	-	-	Up is Good	Good
	<u>OCC11</u>	% of supplier invoices paid within 30 days	Monthly	94.93%	93.19%	96.48%	95.79%	94.85%	95.62%	-	100%	Up is Good	Neutral
	<u>OCC12</u>	New Homes Bonus Grant (£)	Annual	£1.83m	£2.31m	£2.99m	-	-	-	-	-	Up is Good	Good
	<u>YCC001</u>	YFAS Emergency payments (£) TOTAL - (YTD)	Weekly	-	-	£117,399	£2,739	£15,330	£28,046	-	-	Neutral	Neutral
	<u>YCC002</u>	YFAS Emergency payments Budget (£)	Weekly	-	-	£154,000	£117,570	£117,570	£218,160	-	-	Neutral	Neutral
	<u>YCC004</u>	YFAS Community payments (£) TOTAL - (YTD)	Weekly	-	-	£185,635	£23,654	£63,681	£115,041	-	-	Neutral	Neutral
	<u>YCC005</u>	YFAS Community payments (£) Budget	Weekly	-	-	£261,140	£297,570	£297,570	£556,690	-	-	Neutral	Neutral
	<u>YCC007</u>	YFAS CTS Discretionary (£) TOTAL - (YTD)	Weekly	-	-	£39,875	£6,991	£11,916	£18,197	-	-	Neutral	Neutral
	<u>YCC008</u>	YFAS CTS Discretionary (£) Budget	Weekly	-	-	£100,000	£100,000	£100,000	£90,290	-	-	Neutral	Neutral
<u>YCC013</u>	YFAS Number of Food vouchers - (YTD)	Discontinued	-	-	74	NC	NC	NC	NC	-	Neutral	Neutral	
<u>YCC022</u>	Cumulative YFAS applications - Grand Total - (YTD)	Weekly	-	-	3180	255	582	958	-	-	Neutral	Neutral	
3. Risk Management	<u>COR01</u>	Key Corporate Risks - Total CYC	Quarterly	-	-	11	11	11	11	-	-	Neutral	Neutral
4. Human Resources	<u>OCC09</u>	CYC Apprenticeships	Annual	20	14	18	-	-	-	-	-	Up is Good	Neutral
	<u>STF01</u>	Staff Headcount - CYC Total (Including Schools) - (Snapshot)	Monthly	-	7038	6096	5336	5316	5320	-	-	Neutral	Neutral
		Staff Headcount - CYC Total (Excluding Schools) - (Snapshot)	Monthly	-	-	2812	2776	2667	2672	-	-	Neutral	Neutral
	<u>STF08</u>	Staff FTE - CYC Total (Including Schools) - (Snapshot)	Monthly	-	4562	3995	3924	3952	3942	-	-	Neutral	Neutral
Staff FTE - CYC Total (Excluding Schools) - (Snapshot)		Monthly	-	-	2194	2193	2154	2133	-	-	Neutral	Neutral	



Portfolio - Finance and Performance 2015/2016

Annex F

No of Indicators = 38 | Direction of Travel (DoT) shows the trend of how an indicator is performing against its Polarity over time.
 Produced by the Strategic Business Intelligence Hub January 2016

			Previous Years			2015/2016							
			2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT	
4. Human Resources	STF100	Average sickness days lost per FTE - CYC (Including Schools) - (Rolling 12 Month)	Monthly	-	8.63	8.97	8.7	8.4	-	-	-	Up is Bad	Neutral
		Average sickness days lost per FTE - CYC (Excluding Schools) - (Rolling 12 Month)	Monthly	-	8.39	11.39	10.4	10.1	-	-	-	Up is Bad	Neutral
	STF107	Voluntary Turnover (%) - CYC Total (Including Schools) - (Rolling 12 Month)	Monthly	-	-	-	-	-	-	-	-	Up is Bad	Neutral
		Voluntary Turnover (%) - CYC Total (Excluding Schools) - (Rolling 12 Month)	Monthly	-	-	-	-	-	-	-	-	Up is Bad	Neutral

This page is intentionally left blank

			Previous Years			2015/2016							
			2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT	
		Collection Frequency											
1. Building Works	<u>BW05</u>	Gas safety – % of properties having valid Gas Safe registered gas certificates - (Snapshot)	Monthly	99.70%	98.79%	99.71%	99.43%	99.51%	99.83%	-	-	Up is Good	Neutral
	<u>BW19</u>	% of Urgent Repairs completed within Government Timescales	Monthly	98.82%	97.70%	94.73%	98.71%	94.65%	-	-	-	Up is Good	Neutral
	<u>BW20</u>	% of Urgent Gas Repairs completed within Government Timescales	Monthly	99.10%	96.17%	89.71%	98.66%	92.13%	-	-	-	Up is Good	Neutral
2. Housing	<u>BW06a</u>	No of council homes in York failing to meet the decency standard	Annual	36	15	3	-	0	0	-	-	Up is Bad	Good
	<u>CAN061</u>	Number of new affordable homes delivered in York	Quarterly	127	50	136	14	23	-	-	-	Up is Good	Good
	<u>CAN200</u>	Number of council homes let by direct exchange - (YTD)	Monthly	216	247	153	30	70	104	-	-	Up is Good	Good
	<u>CES09</u>	Net additional homes provided - (YTD)	Monthly	482	345	523	49	806	874	-	-	Up is Good	Good
	<u>CJGE170</u>	Housing affordability (house prices to earnings ratio)	Quarterly	6.78	6.80	7.66	8.25	8.44	-	-	-	Up is Bad	Bad
		Benchmark - National Data	Quarterly	5.97	6.20	6.51	6.8	6.99	-	-	-		
		Benchmark - Regional Data	Quarterly	4.12	4.22	4.26	5.14	5.25	-	-	-		
		Regional Rank (Rank out of 15)	Quarterly	15	15	15	15	15	-	-	-		
	<u>CJGE178</u>	Private rents (Average) - All (£)	Annual	740	738	841	-	-	-	-	-	Up is Bad	Bad
		Benchmark - National Data	Annual	728	720	788	-	-	-	-	-		
		Benchmark - Regional Data	Annual	534	535	557	-	-	-	-	-		
		Regional Rank (Rank out of 15)	Annual	14	14	15	-	-	-	-	-		
	<u>HOU107</u>	Number of active applicants on North Yorkshire Home Choice who are registered with CYC (Waiting List) - (Snapshot)	Quarterly	4692	2306	1545	-	-	-	-	-	Up is Bad	Good
	<u>HOU108</u>	Current council tenant arrears as % of annual rent due - (Snapshot)	Quarterly	1.63%	1.32%	1.62%	2.29%	2.54%	1.93%	-	-	Up is Bad	Neutral
	<u>HOU109</u>	% of rent collected (including current arrears brought forward) - (Snapshot)	Quarterly	97.90%	98.04%	97.84%	90.42%	94.64%	96.66%	-	-	Up is Good	Neutral
<u>HOU210</u>	Bring empty private sector properties back into use	Annual	35	103	106	-	-	-	-	-	Up is Good	Good	
<u>HOU215</u>	Rent lost through voids - (Snapshot)	Quarterly	0.64%	0.69%	0.75%	0.21%	0.42%	0.58%	-	-	Up is Bad	Bad	
<u>HOU245</u>	Average number of days to re-let empty properties (overall) - (YTD)	Monthly	21.66	21.49	25.62	24.3	23.71	22.55	-	-	Up is Bad	Neutral	
<u>OCC12</u>	New Homes Bonus Grant (£)	Annual	£1.83m	£2.31m	£2.99m	-	-	-	-	-	Up is Good	Good	
<u>HOU101</u>	Number of homeless households in temporary accommodation - (Snapshot)	Quarterly	99	80	65	71	68	64	-	62	Up is Bad	Good	

			Previous Years			2015/2016							
			2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT	
	Indicator	Collection Frequency											
3. Homelessness	<u>HOU102</u>	Number of homeless households with dependent children in temporary accommodation - (Snapshot)	Quarterly	47	45	41	47	47	40	-	45	Up is Bad	Neutral
	<u>HOU103</u>	Number of households for whom positive action has prevented homelessness - (YTD)	Quarterly	746	683	665	191	328	499	-	-	Up is Good	Good
	<u>HOU104</u>	Number of applicant households for which decisions were taken - (YTD)	Quarterly	218	180	188	38	74	116	-	-	Neutral	Neutral
	<u>HOU105</u>	Number of households accepted as homeless and in priority need - (YTD)	Quarterly	146	109	105	23	48	75	-	-	Up is Bad	Good
		Benchmark - National Data	Quarterly	53,770	52,270	54,430	13840	28510	-	-	-		
		Benchmark - Regional Data	Quarterly	4,919	3,182	3,228	817	-	-	-	-		
	<u>HOU106</u>	Number of 16-17 year olds accepted as homeless - (YTD)	Quarterly	2	1	1	0	0	0	-	-	Up is Bad	Good
	<u>HOU259</u>	Households accepted as being homeless and in priority need - Relationship Breakdown Violent - (YTD)	Quarterly	19	16	17	3	9	16	-	-	Up is Bad	Neutral
		Benchmark - National Data	Quarterly	6,530	6,130	6,530	1600	3330	-	-	-		
	<u>HOU268</u>	Households accepted as being homeless and in priority need - Relationship Breakdown Violent	Quarterly	19	16	17	3	6	7	-	-	Up is Bad	Neutral
		Households accepted as being homeless and in priority need - % Relationship Breakdown Violent - (YTD)	Quarterly	13.00%	14.70%	16.50%	13.00%	18.8%	21.33%	-	-	Neutral	Neutral
		Benchmark - National Data	Quarterly	12.14%	11.73%	12.27%	12.00%	11.7%	-	-	-		
		Households accepted as being homeless and in priority need - % Relationship Breakdown Violent	Quarterly	13.00%	14.70%	16.50%	13.00%	24.00%	25.93%	-	-	Neutral	Neutral
<u>HOU281</u>	Households accepted as being homeless and in priority need - % Domestic Violence - (YTD)	Quarterly	4.80%	3.70%	9.40%	0.00%	4.00%	3.70%	-	-	Neutral	Neutral	
	Benchmark - National Data	Quarterly	2.90%	2.83%	2.82%	2%	2.4%	-	-	-			
	Households accepted as being homeless and in priority need - Domestic Violence	Quarterly	7	4	3	0	1	0	-	-	Neutral	Neutral	
4. Satisfaction	<u>BYS131</u>	% of residents who agree that York is a safe city to live in, relatively free from crime and violence - Agree (All Responses)	Annual	74%	80%	NC	-	-	-	-	-	Up is Good	Good
	<u>BYS300</u>	% of residents who agree their local area is a safe place to live (All Responses)	Annual	79%	79%	NC	-	-	-	-	-	Up is Good	Neutral
	<u>TSS35</u>	% of tenants satisfied that their landlord listens to their views and acts on them	Annual	67.30%	61.57%	61.26%	-	-	-	-	-	Up is Good	Bad
		% of tenants dissatisfied that their landlord listens to their views and acts on them	Annual	13.60%	14.88%	16.47%	-	-	-	-	-	Up is Bad	Bad
5. Crime	<u>CSP01</u>	All Crime	Monthly	11928	11380	10807	2986	3082	3030	-	-	Up is Bad	Bad
	<u>CSP03</u>	Domestic burglary (incl. attempts)	Monthly	572	560	446	122	112	100	-	-	Up is Bad	Neutral
		IQUANTA Family Grouping (Rank out of 15)	Quarterly	7	7	7	7	7	6	-	-		

			Previous Years			2015/2016							
			Collection Frequency	2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT
5. Crime	<u>CSP11</u>	Theft or unauthorised taking of a cycle	Monthly	731	1010	782	228	302	278	-	-	Up is Bad	Bad
		IQUANTA Family Grouping (Rank out of 15)	Quarterly	15	15	15	15	15	15	-	-		
	<u>CSP12</u>	Criminal damage (excl. 59)	Monthly	1830	1632	1389	394	412	409	-	-	Up is Bad	Bad
		IQUANTA Family Grouping (Rank out of 15)	Quarterly	12	9	6	7	9	8	-	-		
	<u>CSP13</u>	NYP Recorded ASB Calls for Service	Monthly	10381	9421	9306	2454	2645	2009	-	-	Up is Bad	Bad
	<u>CSP15</u>	Overall Violence (Violence Against Person Def.)	Monthly	2254	1938	2130	631	676	610	-	-	Up is Bad	Bad
		IQUANTA Family Grouping (Rank out of 15)	Quarterly	10	6	6	6	6	5	-	-		
	<u>CSP20</u>	Fraud	Monthly	225	159	180	54	49	69	-	-	Up is Bad	Bad
	<u>CSP23</u>	Hate Crimes or Incidents as Recorded by NYP	Monthly	95	98	108	-	-	-	-	-	Up is Bad	Bad
		IQUANTA Family Grouping (Rank out of 15)	Quarterly	5	4	3	4	6	7	-	-		
<u>CSP24</u>	Number of Alcohol related ASB incidents	Quarterly	NC	2347	1852	435	465	403	-	-	Up is Bad	Neutral	
<u>CSP27</u>	Number of Incidents of Violent Crime Within the ARZ	Quarterly	613	587	561	169	182	183	-	-	Up is Bad	Bad	
<u>CSP28</u>	Number of Incidents of ASB within the city centre ARZ	Quarterly	2428	2301	2576	586	717	535	-	-	Up is Bad	Neutral	
<u>PHOF23</u>	First time entrants to the youth justice system (per 100,000 population aged 10-17)	Annual	498.01	432.43	413.64	-	-	-	-	-	Up is Bad	Good	
	Benchmark - National Data	Annual	556.05	440.93	409.06	-	-	-	-	-			
	Benchmark - Regional Data	Annual	536.69	458.66	473.02	-	-	-	-	-			
	Regional Rank (Rank out of 15)	Annual	7	7	7	-	-	-	-	-			
6. Public Realm	<u>CSPEC3</u>	Calls for Service - Noise	Monthly	1624	1618	1581	-	-	-	-	-	Up is Bad	Good
	<u>PP07</u>	% of businesses that were compliant with legislation concerning the illegal use and sale of alcohol and tobacco	Quarterly	98%	75%	100%	N/A	N/A	N/A	-	-	Up is Good	Good
7. Substance Misuse	<u>CHP23</u>	Hospital admissions due to substance misuse (15-24 years), per 100,000 population	Annual	62.86	62.50	-	-	-	-	-	-	Up is Bad	Neutral
		Benchmark - National Data	Annual	75.21	81.30	-	-	-	-	-	-		
		Benchmark - Regional Data	Annual	89.09	92.10	-	-	-	-	-	-		
	<u>CSB17</u>	Number of mothers recorded by Midwifery Services in regard to alcohol or substance misuse (by Estimated Delivery Date)	Quarterly	-	-	26	7	14	-	-	-	Up is Bad	Neutral

This page is intentionally left blank

			Previous Years			2015/2016								
			2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT		
	Indicator	Collection Frequency												
1. Parking	<u>TSS08B</u>	% of tenants who say car parking is a major problem in their neighbourhood	Annual	24.40%	28.59%	33.78%	-	-	-	-	-	Up is Bad	Bad	
	<u>YCC036</u>	Customer Centre Tickets issued - Parking	Monthly	-	-	18,554	4229	4595	4304	-	-	Neutral	Neutral	
	<u>YCC107</u>	YCC Number of calls offered - Parking	Weekly	-	-	24612	5328	5299	4880	-	-	Neutral	Neutral	
2. Highways Maintenance	<u>CES03</u>	% of road and pathway network that are grade 3 (poor condition) - roadways	Annual	15%	16%	NC	-	-	-	-	-	Up is Bad	Neutral	
	<u>CES04</u>	% of road and pathway network that are grade 3 (poor condition) - pathways	Annual	5%	4%	NC	-	-	-	-	-	Up is Bad	Neutral	
	<u>CES05</u>	% of Principal roads where maintenance should be considered (NI 168)	Annual	2%	2%	NC	-	-	-	-	-	Up is Bad	Neutral	
	<u>CES06</u>	% of Non-principal classified roads where maintenance should be considered (NI 169)	Annual	5%	4%	NC	-	-	-	-	-	Up is Bad	Neutral	
	<u>CES07</u>	% of Unclassified roads where maintenance should be considered (old BV224b)	Annual	11%	10%	NC	-	-	-	-	-	Up is Bad	Neutral	
		Benchmark - National Data	Annual	17%	17.77%	-	-	-	-	-	-	-	-	-
		Benchmark - Regional Data	Annual	17%	15.91%	-	-	-	-	-	-	-	-	-
	<u>CES61</u>	Street Lighting - Number of issues reported	Annual	3	3	-	-	-	-	-	-	-	-	-
3. Housing and Planning	<u>CES09</u>	Net additional homes provided - (YTD)	Monthly	482	345	523	49	806	874	-	-	Up is Good	Good	
		Net additional homes provided - Greenfield - (YTD)	Monthly	-	-	156	5	45	51	-	-	Neutral	Neutral	
		Net additional homes provided - Brownfield - (YTD)	Monthly	-	-	367	44	761	823	-	-	Neutral	Neutral	
	<u>CES13</u>	% of new homes built on previously developed land - (YTD)	Monthly	73.00%	84.00%	70.17%	89.80%	94.42%	94.16%	-	-	Up is Good	Good	
	<u>CES905</u>	% of major applications determined within 13 Weeks (NPI157a)	Quarterly	50%	73%	81%	60%	71%	-	-	65% (Nat) 75% (Loc)	Up is Good	Neutral	
		Benchmark - National Data	Quarterly	58%	70%	77%	79%	79%	-	-	-	-	-	
		Benchmark - Regional Data	Quarterly	61%	77%	81%	78%	84%	-	-	-	-	-	
	<u>CES910</u>	% of minor applications determined within 8 Weeks (NPI157b)	Quarterly	69%	77%	76%	63%	73%	-	-	65% (Nat) 75% (Loc)	Up is Good	Neutral	
		Benchmark - National Data	Quarterly	68%	70%	70%	72%	74%	-	-	-	-	-	
Benchmark - Regional Data		Quarterly	73%	74%	74%	78%	78%	-	-	-	-	-		

			Previous Years			2015/2016							
			2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT	
		Collection Frequency											
3. Housing and Planning	<u>CES911</u>	% of other applications determined within 8 Weeks (NPI157c)	Quarterly	85%	91%	90%	78%	79%	-	-	80% (Nat) 89% (Loc)	Up is Good	Neutral
		Benchmark - National Data	Quarterly	81%	83%	82%	83%	83%	-	-	-		
		Benchmark - Regional Data	Quarterly	86%	87%	86%	89%	87%	-	-	-		
	<u>CJGE121a</u>	Average House Price	Monthly	£178,983.09	£187,258.27	£200,445.00	£210,951.00	£207,124	-	-	-	Neutral	Neutral
		Benchmark - National Data	Monthly	£159,496.81	£169,016.87	£178,007.00	£157,065.00	£186,553	-	-	-		
		Benchmark - Regional Data	Monthly	£114,290.25	£117,058.29	£120,914.00	£121,070.00	£124,473	-	-	-		
		Regional Rank (Rank out of 15)	Monthly	1	1	1	1	1	-	-	-		
	<u>CJGE178</u>	Private rents (Average) - All (£)	Annual	740	738	841	-	-	-	-	-	Up is Bad	Bad
		Benchmark - National Data	Annual	728	720	788	-	-	-	-	-		
		Benchmark - Regional Data	Annual	534	535	557	-	-	-	-	-		
Regional Rank (Rank out of 15)		Annual	14	14	15	-	-	-	-	-			
4. Public Transport	<u>CAN031</u>	P&R Passenger Journeys - (LI 3 b) - (YTD)	Monthly	4.38m	4.45m	4.51m	1.12m (Prov)	2.31m (Prov)	3.56m (Prov)	-	-	Up is Good	Good
	<u>CAN032</u>	Local bus passenger journeys originating in the authority area (excluding P&R) - (YTD) (LI 3 a)	Monthly	9.70m	10.38m	11.09m	2.77m (Prov)	5.35m (Prov)	7.92m (Prov)	-	-	Up is Good	Good
	<u>CAN032-A</u>	Passenger journeys on local bus services (Not comparable with CAN031/CAN032 - DfT measure - BUS0109a)	Annual	15.3m	15.6m	16.2m	-	-	-	-	-	Up is Good	Good
	<u>CAN033</u>	% of non-frequent scheduled bus services (fewer than 6 buses per hour) running on time (DfT measure - BUS0902) (LI 22a)	Annual	82%	84%	87%	-	-	-	-	-	Up is Good	Good
5. Road Safety	<u>CES14</u>	Reported number of PEOPLE killed in road traffic accidents (Calendar Year) (LI 13a)	Monthly	4 (2012)	0 (2013)	5 (2014)	1 (Prov)	0 (Prov)	0 (Prov)	-	-	Up is Bad	Neutral
	<u>CES14i</u>	Reported number of PEOPLE killed or seriously injured (KSI) in road traffic accidents (Calendar Year) (LI 13a (i))	Monthly	51 (2012)	58 (2013)	75 (2014)	18 (Prov)	16 (Prov)	17 (Prov)	-	-	Up is Bad	Bad
	<u>CES16</u>	Reported number of PEOPLE slightly injured in road traffic accidents (Calendar Year) (LI 13c)	Monthly	473 (2012)	463 (2013)	508 (2014)	113 (Prov)	136 (Prov)	84 (Prov)	-	-	Up is Bad	Bad
	<u>CES17</u>	Reported number of CHILDREN (0-15) killed in road traffic accidents (Calendar Year) (LI 13b)	Monthly	0 (2012)	0 (2013)	0 (2014)	0 (Prov)	0 (Prov)	0 (Prov)	-	-	Up is Bad	Neutral

			Previous Years			2015/2016							
			2012/13	2013/14	2014/15	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Target	Polarity	DoT	
	Collection Frequency												
6. Sustainable Travel	<u>CAN030</u>	The number of businesses signed up to the Eco Stars fleet recognition scheme	Annual	14	34	52	-	-	-	-	-	Up is Good	Good
	<u>CES26</u>	Index of cycling activity (AM Peak) from 2009 Baseline (4,622) (Calendar Year) (LI 2a(ii))	Annual	115% (2012)	122% (2013)	130% (2014)	-	-	-	-	-	Up is Good	Good
	<u>CES27</u>	Index of cycling activity (PM Peak) from 2009 Baseline (4,125) (Calendar Year) (LI 2b(ii))	Annual	115% (2012)	123% (2013)	125% (2014)	-	-	-	-	-	Up is Good	Good
	<u>CES28</u>	Index of cycling activity (12 hour) from 2009 Baseline (28,642) (Calendar Year) (LI 2c(ii))	Annual	115% (2012)	125% (2013)	129% (2014)	-	-	-	-	-	Up is Good	Good
	<u>CES33</u>	Index of pedestrians walking to and from the City Centre (12 hour in and out combined) from 2009/10 Baseline (37,278) (LI 1 (vii.i))	Annual	105%	106%	107%	-	-	-	-	-	Up is Good	Good
	<u>CES34</u>	% of customers arriving at York Station by sustainable modes of transport (cycling, walking, taxi or bus - excluding cars, Lift, Motorcycle, Train) (LI 4)	Annual	76%	73%	68%	-	-	-	-	-	Up is Good	Bad
7. Air Pollution	<u>PHOF24</u>	% of the population exposed to road, rail and air transport noise of 55 dB(A) or more during the night-time	Five Years	5.04	5.04	5.04	-	-	-	-	-	Up is Bad	Neutral
		Benchmark - National Data	Five Years	8.01	8.01	8.01	-	-	-	-	-		
		Benchmark - Regional Data	Five Years	6.18	6.18	6.18	-	-	-	-	-		
		Regional Rank (Rank out of 15)	Five Years	6	6	6	-	-	-	-	-		

This page is intentionally left blank



Executive

11 February 2016

Report of the Director of Customer and Business Support Services

CAPITAL PROGRAMME – MONITOR 3 2015/16

Summary

1. The purpose of this report is to set out the projected outturn position for 2015/16 including any adjustments and requests to re-profile budgets between years.
2. The 2015/16 capital programme as approved by Council on 26 February 2015 and updated for amendments reported to Executive and Council is £94.389m.

Recommendations

3. Executive is asked to:
 - Recommend to Council a decrease in the 2015/16 programme of £40.654m as detailed in the report and contained in Annex A.
 - Note the 2015/16 revised budget of £51.538m as set out in paragraph 6 and Table 1.
 - Note the restated capital programme for 2015/16 – 2019/20 as set out in paragraph 43, Table 2 and detailed in Annex A.

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

Consultation

4. The capital programme was developed under the Capital Resource Allocation Model (CRAM) framework and agreed by Council on 26 February 2015. Whilst the capital programme as a whole is not consulted on, the individual scheme proposals and associated capital receipt sales do follow a consultation process with local Councillors and residents in the locality of the individual schemes.

Summary of Key Issues

5. A decrease of £40.654m is detailed in this monitor resulting in a revised capital programme of £51.538m. £40.883m of the decrease is due to re-profiling of budgets to future years. Offsetting this is a net increase of £229k mainly due to an increase the Better Bus Area Fund of £308k funded by external contributions.
6. Table 1 outlines the variances reported against each portfolio area and references where further detail can be found of the key movements.

Department	Current Approved Budget £m	EIF Allocation	Revised Approved Budget £m	Projected Outturn £m	Variance £m	Ref - Para
Children's Services, Education & Skills	13.361	-	13.361	10.259	(3.102)	9
Adult Social Services	1.464	-	1.464	1.257	(0.207)	
Communities Culture & Public Realm	2.660	99	2,759	2.171	(0.588)	
Housing & Community Safety	19.133	-	19.133	13.229	(5.904)	21
Highways & Waste	6.226	100	6.326	6.026	(0.300)	
Transport	8.619	11.563	20.182	8.318	(11.864)	26
Econ Development (trfrd to Asst Mgt)	0.000	-	0.000	0.000	(0.000)	
Community Stadium	20.714	-	20.714	5.000	(15.714)	33
Asset Management	3.576	1.141	4.717	1.742	(2.975)	34
West Offices - Admin Accom	0.512	-	0.512	0.512	0.000	
IT Development Plan	2.383	218	2.601	2.601	0.000	
Misc(Contingency)	0.423	-	0.423	0.423	(0.000)	
Corporate Schemes (former EIF)	15.318	(15.318)	0.000	0.000	(0.000)	
Revenue element of EIF funded by NHB		2.197				7
Total	94.389		92.192	51.538	(40.654)	

Table 1 Capital Programme Forecast Outturn 2015/16

7. As referred to in Monitor 2, individual schemes previously referred to under the Economic Infrastructure Fund header have now been allocated out under relevant departments as shown in the table above. A revenue element funded by New Homes Bonus totalling £2.197k previously shown on the Capital programme was removed resulting in a net revised approved budget of £92.192m.

Analysis

8. A summary of the key exceptions, and their implications on the capital programme, are highlighted below.

CSES – Children Services, Education and Skills

9. A number of amendments are proposed within Children's, Education and Skills, resulting in a net reduction of £3.102m. Key variances are summarised in the table below, referenced to further narrative.

Scheme	Amendment	Amount 15/16 £m	Amount 16/17 – 19/20 £m	Further Details – Paragraph ref
DfE Maintenance	Re-profile	(1.117)		10
DfE Maintenance	Adjustment		(2.491)	11
Basic Need	Re-profile	(0.864)		12-13
Fulford School Expansion	Re-profile	(0.800)		14
Enhanced Resource Provision - SEN	Re-profile	(0.175)		15
Family Drug & Alcohol Facility	Re-profile	(0.100)		16

10. The first is a request to re-profile £1.117k for the DfE Maintenance programme of works, partly due to a number of major schemes which have had to be delayed totalling £717k due to size and complexity. These schemes included phase 2 of a major rewire at Tang Hall Primary, replacement of Canon Lee water tanks and boilers, some roof repairs at Dunnington Primary, York high therapy and hygiene suite, and the demolition of the Clifton Without Junior building. In addition there is a

further £450k made up of retentions on schemes not due to be paid this financial year, plus some of the previously held contingency which is now not expected to be needed this year.

11. DfE Maintenance estimates for future years have also been revised downwards to take account of the expected effect of academy conversions which will reduce the amount of funding which will be directed through the Authority. An annual indicative reduction of 5% has been factored in, although the actual reduction will be on a per pupil basis as schools convert.
12. There has also been some significant re-profiling of the Basic Need profile of works both in 2015/16 and future years. £864k needs to be transferred from 15/16 to 16/17 as it is unlikely that there will be any further significant spend in 15/16. Of this £864k, £520k is committed to providing the local authority's contributions to the two Education Funding Agency (EFA) funded school rebuilds (Carr Infant and Lord Deramore's Primary), under the Priority Schools Building Programme (PSBP), that were the subject of successful bids in 2012. At Carr Infant an estimated contribution of £370k is funding additional classrooms within the new building and some landscaping works, neither of which will be funded by the EFA. £249k has been paid over to the EFA in 15/16, and the remaining budget of £120k requires re-profiling into 16/17 to fund works following completion of the building in July 2016. Work at Lord Deramore's Primary has not yet begun. It is anticipated building could commence in February in which case some of the contribution could be required in 15/16. This will be reviewed at outturn.
13. The overall Basic need programme for the years 2016/17 to 2019/20 has been reviewed to assess when expenditure is now likely to take place on schemes to respond to the place pressures being experienced in particular areas of the city. As a result of this exercise, there is a need to re-profile the expenditure currently shown in the programme for 2016/17 into 2017/18 and 2018/19. The main focus of expenditure in these two years will be in the Southbank area of the City, as outlined in the report to Executive on 29th January 2016.
14. The Fulford school expansion programme requires funds of £800k to be transferred from 15/16 to 16/17. The new classroom block was completed in time for the start of the 2015/16 academic year and the Sports Hall was handed over in December 2015. The remaining works which consist of kitchen and dining room refurbishment, come re-roofing works to other parts of the school, and other smaller improvements, are scheduled to be carried out in summer 2016. The scheme expenditure profile needs to be

amended to reflect this timetable. With £800k required to be moved into 2016/17.

15. The Family Drug and Alcohol Assessment and Recovery Facility requires funds of £100k to be transferred from 15/16 to 16/17. This development linked to existing housing development plans, is intended to respond to national Family Drug and Alcohol Court (FDAC) requirements. Dedicated project planning is underway, but there will be no expenditure in 2015/16, so the budget needs to be moved back into 2016/17.
16. The Enhanced Resource Provision SEN scheme requires £175k of funding to be transferred from 15/16 to 16/17. Project planning is underway, however no expenditure will take place this financial year.

Adult Social Services

17. Two schemes require re-profiling of budgets to future years. OPH Infrastructure works requires budget of £162k to be moved from 15/16 to 16/17. This is to allow the funds to be used as a contingency for any unforeseen capital costs arising in order to keep homes operational as the Older Peoples Accommodation Programme rolls out.
18. Secondly, there is a request to re-profile funds of £45k allocated to Burton Stone Community Centre from 15/16 to 16/17 coupled with a request to increase the budget by a further £32k which would be funded by Corporate Prudential Borrowing. This is to meet the funding required to enhance and enlarge an alternative site at Energise that has been put forward as the most viable option after a consultation on the wider use of Burton Stone Community centre superseded the original plans. The setting will offer day activities for customers coming through transitions and for individuals coming back to York as required by the Winterbourne concordat.

Communities and Neighbourhood Services – Communities, Culture and Public Realm

19. Two schemes requires re-profiling of budgets to future years. Little Knavesmire Pavilion requires budget of £528k to be moved from 15/16 to 16/17. Work has commenced on building the new Pavilion however work has been delayed by contract negotiations and the recent floods. Secondly, Solar powered Litter Bin upgrades require re-profiling of £60k from 15/16 to 16/17. This is to reflect delayed expenditure pending a review of litter bins.

20. There is also a separate request to transfer £30k from Litter Bins to Public Convenient Facilities. This is to reflect the cost of contract variations in toilet refurbishment since the original budget of £663k was approved.

Communities and Neighbourhood Services - Housing & Community Safety

21. A number of amendments are proposed in relation to Housing and Community Safety, including 3 re-profile requests, resulting in a net reduction of £5.904m. Key variances are summarised in the table below, referenced to further narrative

Scheme	Amendment	Amount 15/16 £m	Further Details – Paragraph ref
Local Authority homes Phase 1	Re-profile	(5.044)	22
Water Mains Upgrade	Re-Profile	(0.260)	23
IT Infrastructure	Re-profile	(0.500)	24

22. There is a request to re-profile £5.044m of funding allocated to Local Authority Homes Phase 1 from 15/16 to 16/17. Delays in the Procurement process for the replacement hostel at Ordnance Lane and the council homes schemes has led to slippage into the next financial year. Construction contracts have now been awarded for most sites and all remaining approved schemes are due to be completed during 2016/17.
23. The Water Mains Upgrade programme requires £260k to be transferred from 15/16 to 16/17. Initial feasibility studies are to be completed this year, however further works will be delayed into 2016/17 due to the complexities of the project. Further delays and re-profiling of the expenditure may be required once the feasibility work has been completed.
24. The IT infrastructure programme requires its total funds of £500k to be transferred from 15/16 to 16/17. This is due to works being delayed into 2016/17 as the detailed plans for IT infrastructure within Housing and Building services have not yet been drawn up.

City & Environmental Services – Highways & Waste

25. One scheme within CES required re-profiling of budgets to future years. Special Bridge Maintenance required budget of £300k to be moved from 15/16 to 16/17. This is to allow further time to complete the planning of the programme of bridge works.

City & Environmental Services - Transport + Economic Development

26. Five schemes re-profiling of budgets to future years and one scheme is requesting an increase in funding resulting in a net reduction of £11.864m. Key variances are summarised in the table below, referenced to further narrative:

Scheme	Amendment	Amount 15/16 £m	Further Details – Paragraph ref
Local Transport Plan	Re-profile	(1.000)	27
Leeman Road Flood Defences	Re-Profile	(0.317)	28
LCR Revolving Investment Fund	Re-profile	(1.615)	29
Infrastructure Investment Plan for Growth	Re-Profile	(9.000)	30
Better Business Fund	Re-Profile	(0.240)	31
Better Bus Area Fund	Adjustment	0.308	32

27. The Local Transport plan requires budget of £1.000m to be transferred from 15/16 to 16/17. This is because Phases 2 and 3 of the A19 pinch-point scheme will now not be delivered in 15/16 as they were dependent on the progress of the Germany Beck development which is delayed.
28. The Leeman Road Flood defences require budget of £317k to be transferred from 15/16 to 16/17. The funding allocated against the Clementhorpe Flood Alleviation scheme has been identified to support Environment Agency led schemes in the area. All flood alleviation measures in the city were to be appraised through to the summer of 2016 and prospective schemes progressed, the funding for works at Clementhorpe have been identified as marginal and contributions are necessary for the scheme to attract Defra Funding.

29. The Leeds City Region (LCR) Revolving Infrastructure Fund requires the transfer of all of its £1.615m budget from 15/16 to 16/17. Whilst there are a number of loans within the pipeline of the Revolving Infrastructure Fund (RIF) there are not expected to be any further advances from the Council in 2015/16 to the Fund. A review of the Revolving Infrastructure Fund will be carried out in 2016/17.
30. The Infrastructure Investment Plan for Growth requires all of its £9,000m budget to be transferred from 15/16 to 16/17. This is due to the EZ status only just being awarded for York central in November 2015. Works have therefore been delayed and the funding will not be required in 15/16 but will be in 16/17.
31. The Better Business Fund requires £240k to be transferred from 15/16 to 16/17. Work on the replacement of the Rougier Street bus shelter has been delayed as the new shelter cannot be installed until the developer of Roman House has completed work on the building. The developer is expected to start work in March 2016 for six months. The transfer of funds into 16/17 is required to allow the new bus shelter to be installed once the building works are completed.
32. The Better Bus Area Fund shows an increase of £308k in the budget for 2015/16. This will be externally funded as York have been awarded Department of Transport Funding of £308k for Clean Bus technology. This will be used for the conversion of school buses.

City & Environmental Services – Community Stadium

33. A re-profiling request has been made for the Community Stadium scheme to reflect the latest development schedule. Funds of **£15.714m** are required to be transferred from 15/16 to 16/17. Work is underway to demolish Waterworld and the old stadium and to extend the Park and Ride site. The main construction part of the contract will commence next year.

Customer and Business Support Services – Asset Management / IT Development Plan / Contingency/ Corporate Schemes

34. A number of amendments have taken place as part of this monitor resulting in a net decrease of budget by £2,975m.

Scheme	Amendment	Amount 15/16 £m	Further Details – Paragraph ref
Photovoltaic Energy Programme	Re-profile	(0.346)	36
Community Asset Transfer	Re-Profile	(0.175)	37
River Bank Repairs	Re-profile	(0.300)	238
Critical Repairs and contingency	Re-Profile	(0.290)	39
Mansion House Restoration	Re-Profile	(0.807)	40
Guildhall Project	Re-Profile	(0.890)	41

35. The Photovoltaic Energy Programme required budget of £346k to be transferred from 15/16 to 16/17. It is anticipated these funds will be required to be spent on sustainability schemes in the near future, however this transfer of funds request will be delayed until a suitable scheme is in place.
36. The Community Asset Transfer programme requires £175k of funds to be transferred from 15/16 to 16/17. The delivery of this scheme requires Community partners to become responsible for sites. No such agreements are in place currently, however due to the future shaping of the council services, it is likely that there will be a need to complete works on CYC buildings in the future. This request is to transfer the budget to enable work to be completed in the future years.
37. The River Bank Repairs scheme requires funds of £300k to be transferred from 15/16 to 16/17. Works have had to be suspended in this area due to weather conditions. £200k of the funds to be transferred are to be spent on minor repairs such as vegetation removal and Masonry pointing. The cost of repairs needed at Marygate may determine the use of the yet unallocated £200k funds in the future.
38. The Critical Repairs and Contingency scheme requires budget of £290k to be transferred from 15/16 to 16/17. It is anticipated an element of the total £350k budget for Guildhall roof repairs will be required in the current year, however the balance of £290k is to be delivered in 16/17 as part of the wider Guildhall redevelopment project.
39. The Mansion House Restoration scheme requires budget of £807k to be transferred from 15/16 to 16/17. This is to reflect that the project started on site in January 2016, three months later than originally programmed due to required revisions to tender price.

40. The Guildhall Scheme required budget of £890k to be transferred from 15/16 to 16/17. The project is currently on track to deliver the detail project design by June 2016 for decision by Executive as set out in the project programme. It is anticipated the full budget will be required in 16/17 to carry out works after this date.
41. There has also been a transfer £180k from the Asset Maintenance and critical health and safety repairs scheme to the Mansion House scheme as reported to Members at Monitor 2. This is to fund essential maintenance necessary to maintain the fabric of the building at the Mansion House.
42. The unallocated balance currently stands at £772k in 16/17. It should be noted that there is a recommendation within the Capital Programme Strategy report for 2016/17 also on this Agenda to use this balance to support new schemes.

Summary

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

Gross Capital Programme	2015/16	2016/17	2017/18	2018/19	2019/20	Total
	£m	£m	£m	£m	£m	£m
Children's Services, Education & Skills	10.259	7.812	12.710	6.368	4.267	41.416
Adult Social Services and Public Health	1.257	1.156	0.967	0.915	0.565	4.860
Communities Culture & Public Realm	2.171	1.176	0	0	0	3.347
Highways & Waste	6.026	5.593	3.168	2.977	2.977	20.952
Housing & Community Safety	13.229	20.527	9.831	8.472	9.812	61.871
Transport	8.318	14.465	4.331	1.660	1.660	30.434
Community Stadium	5.000	15.714	0	0	0	20.714
Asset Management	1.742	4.187	0.300	0.300	0.300	6.829
West Offices - Admin Accom	0.512	0	0	0	0	0.512
IT Development Plan	2.601	2.533	2.245	2.025	1.970	11.374

Contingency	0.423	0	0	0	0	0.423
Corporate Schemes	0	0.772	0	0	0	0.772
Revised Programme	51.538	73.374	33.552	22.717	21.551	203.293

Table 2 Revised 5 Year Capital Programme

Funding the 2015/16 – 2019/20 Capital Programme

44. The revised 2015/16 capital programme of £51.518m is funded from £27.227m external funding and £24.637m of internal funding. Table 3 shows the projected call on resources going forward.

	2015/16	2016/17	2017/18	2018/19	2019/20	Total
	£m	£m	£m	£m	£m	£m
Gross Capital Programme	51.538	73.935	33.552	22.717	21.551	203.293
Funded by:						
External Funding	27.227	29.694	24.344	15.373	13.530	110.168
Council Controlled Resources	24.311	44.241	9.208	7.344	8.021	93.125
Total Funding	51.538	73.935	33.552	21.717	21.551	203.293

Table 3 – 2015/16 –2019/20 Capital Programme Financing

45. The Council controlled figure is comprised of a number of resources that the Council has ultimate control over how it chooses to apply them, these include Right to Buy receipts, Revenue Contributions, Supported (government awarded) Borrowing, Prudential (Council funded) Borrowing, Reserves and Capital Receipts.
46. Capital receipts should be considered at risk of not being realised within set time frames and to the estimated values until the receipt is received. The capital programme is predicated on a small number of large capital receipts which, if not achieved, would cause significant funding pressures for the programme. The Director of Customer and Business Support closely monitors the overall funding position to ensure that over the full duration of the capital programme it remains balanced. Any issues with regard to financing will be reported as part of the standard reporting cycle to the Executive.

Council Plan

47. The capital programme is decided through a formal process, using a Capital Resource Allocation Model (CRAM). CRAM is a tool used for allocating the Council's capital resources to schemes that contribute toward the achievement of the Council Plan. The Capital Asset Board (CAB) meet monthly to ensure the capital programme targets the Councils Plan. The capital programme addresses all priorities of the Council Plan as shown in the main body of the report.

Implications

Financial Implications

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

Human Resources Implications

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

Equalities Implications

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

Legal Implications

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

Crime and Disorder

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

Information Technology

53. The information technology implications are contained in the main body of the report.

Property

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

Risk Management

55. The capital programme is regularly monitored as part of the corporate monitoring process. In addition to this the Capital Asset Board (CAB) meets regularly to plan monitor and review major capital schemes to ensure that all capital risks to the Council are minimised.

Authors:	Chief Officer Responsible for the report:		
Emma Audrain Technical Accountant 01904 551170	Ian Floyd Director of Customer & Business Support Services		
Debbie Mitchell Corporate Finance Manager 01904 554161	Report Approved	√	Date 2 February 2016
Wards Affected: <i>All</i>			
<i>For further information please contact the authors of the report</i>			

Annexes

Annex A – Capital Programme 2015/16 to 2019/20

This page is intentionally left blank

	2015/16 Mon 3 Adj £000	2015/16 Mon 3 Reprofile £000	2015/16 Revised Budget £000	2016/17 Revised Budget £000	2017/18 Revised Budget £000	2018/19 Revised Budget £000	2019/20 Budget £000	Gross Capital Programme To be Funded 15/16 - 19/20 £000
CSES - Children's Services, Education and Skills								
NDS Devolved Capital			436	409	389	370	351	1,955
DIE Maintenance	21	-1,117	2,902	2,960	1,846	1,754	1,666	11,128
Basic Need		-864	720	2,476	10,300	4,244	2,250	19,990
Huntington Secondary School - New Block			85	0	0	0	0	85
Universal Infant Free School Meals		-67	57	67	0	0	0	124
Fulford School Expansion		-800	5,070	1,250	0	0	0	6,320
Carr Junior Expansion			58	0	0	0	0	58
St Barnabas Primary Expansion			646	0	0	0	0	646
Schools Electrical Supply Upgrade			257	206	0	0	0	457
Family Drug & Alcohol Assess/Recovery Facility		-100	0	100	0	0	0	100
Knavesmire Classroom Expansion			28	0	0	0	0	28
Enhanced Resource Provision - SEN		-175	0	350	175	0	0	525
TOTAL GROSS EXPENDITURE	21	-3,123	10,259	7,812	12,710	6,368	4,267	41,416
TOTAL EXTERNAL FUNDING	21	-2,848	10,002	7,262	12,535	6,368	4,267	40,434
TOTAL INTERNAL FUNDING	0	-275	257	550	175	0	0	982
H&WB - Adult Social Services & Public Health								
Disabled Support Grant			170	180	190	200	210	950
Telecare Equipment			360	250	250	250	250	1,360
Health and Safety Works at Social Services Establishments			0	0	0	0	0	0
Adult Services Community Space			8	0	0	0	0	8
OPH Infrastructure Works		-162	30	162	0	0	0	192
Changing Lives Grant + Autism Grants			0	0	0	0	0	0
Older Person's Accommodation Review			542	382	422	360	0	1,706
Burton Stone Community Centre		-45	11	77	0	0	0	88
TOTAL GROSS EXPENDITURE	0	-207	1,257	1,156	967	915	565	4,860
TOTAL EXTERNAL FUNDING	0	-45	561	427	360	0	0	1,348
TOTAL INTERNAL FUNDING	0	-162	696	729	607	915	565	3,512
CANS - Communities, Culture and Public Realm								
Miffield Lane Comm Sports Centre			380	0	0	0	0	380
York Explore Phase 2			83	0	0	0	0	83
Barbican Auditorium			17	0	0	0	0	17
City Art Gallery Refurb and Extension			0	0	0	0	0	0
Parks and Open Spaces Development			120	0	0	0	0	120
Little Knavesmire Pavilion		-528	200	528	0	0	0	728
York Explore - Infrastructure Improvements			0	0	0	0	0	0
Museums Trust			500	0	0	0	0	500
War Memorial			0	28	0	0	0	28
Smarter York - Better Play Areas			5	290	0	0	0	295
York Art Gallery Gardens			350	0	0	0	0	350
Theatre Royal - Temporary Structure			0	0	0	0	0	0
York Theatre Royal			140	0	0	0	0	140
Public Conveniens Facilities		30	168	0	0	0	0	168
River Safety			50	0	0	0	0	50
Litter Bin Upgrade (solar powered)		-30	48	60	0	0	0	108
Knavesmire Arts			5	270	0	0	0	275
Newgate Market Area works - WCs storage		99	105	0	0	0	0	105
TOTAL GROSS EXPENDITURE	99	-588	2,171	1,176	0	0	0	3,347
TOTAL EXTERNAL FUNDING	0	-528	289	618	0	0	0	907
TOTAL INTERNAL FUNDING	99	-60	1,882	558	0	0	0	2,440
CES - Highways & Waste								
Highway Resurfacing & Reconstruction (Struct Maint)			3,081	2,831	2,768	2,577	2,577	13,834
Special Bridge Maintenance (Struct Maint)		-300	54	500	200	200	200	1,154
Replacement of Unsound Lighting Columns			179	0	0	0	0	179
LED Lighting Replacement Programme			1,327	0	0	0	0	1,327
City Centre Damaged Bins Replacement			0	0	0	0	0	0
Fleet Vehicles			430	0	0	0	0	430
Highways Improvements			173	0	0	0	0	173
Watercourse Restoration			100	0	0	0	0	100
Tour de France Highways Improvements			0	0	0	0	0	0
Highways Drainage Works			226	200	200	200	200	1,026
Highways, Road Adoption and Drainage Fund			250	0	0	0	0	250
Wheeled Bins in Back Lane and Terraced Areas			106	0	0	0	0	106
Built Environment Fund (Was Reinvigorate York)	100		100	2,062	0	0	0	2,162
TOTAL GROSS EXPENDITURE	100		13,229	20,527	9,831	8,472	9,812	61,871
TOTAL EXTERNAL FUNDING	32	0	5,302	5,563	5,524	5,608	5,866	27,863
TOTAL INTERNAL FUNDING	-132	-5,804	7,927	14,964	4,307	2,864	3,946	34,008
CES - Transport								
Better Bus Area Fund	308		920	0	0	0	0	920
Local Transport Plan (LTP)		-1,000	3,476	2,870	1,870	1,570	1,570	11,356
York City Walls - Repairs & Renewals (City Walls)			253	96	96	96	96	613
Access York			350	0	0	0	0	350
Leeman Road Flood Defences		-317	0	317	0	0	0	317
Alley Gating			58	0	0	0	0	58
Pay on Exit Car Parking Pilot			0	0	0	0	0	0
Highways Improvements			2,220	0	0	0	0	2,220
Scarborough Bridge			333	333	2,371	0	0	3,037
LCR Revolving Investment Fund	1,615	-1,615	0	1,615	0	0	0	1,615
Infrastructure Investment Plan for Growth	9,000	-9,000	0	9,000	0	0	0	9,000
Hungate and Peasholme Public Realm	175		175	0	0	0	0	175
Better Business Fund	773	240	533	240	0	0	0	773
TOTAL GROSS EXPENDITURE	11,871	-12,172	8,318	14,465	4,331	1,660	1,660	30,434
TOTAL EXTERNAL FUNDING	308	-1,000	3,633	2,870	3,907	1,570	1,570	13,550
TOTAL INTERNAL FUNDING	11,563	-11,172	4,685	11,595	424	90	90	16,884
CES - Community Stadium								
Community Stadium		-15,714	5,000	15,714	0	0	0	20,714
TOTAL GROSS EXPENDITURE	0	-15,714	5,000	15,714	0	0	0	20,714
TOTAL EXTERNAL FUNDING	0	-9,304	5,000	9,304	0	0	0	14,304
TOTAL INTERNAL FUNDING	0	-6,410	0	6,410	0	0	0	6,410
CBSS - Asset Management								
Fire Safety Regulations - Adaptations		-80	28	0	0	0	0	108
Removal of Asbestos		-24	32	24	0	0	0	56
Riverbank Repairs - Scarborough to Clifton Bridge			6	0	0	0	0	6
Riverbank Repairs - Blue Bridge Slipway			0	0	0	0	0	0
Riverbank Repairs - Marygate			251	0	0	0	0	251
Photovoltaic Energy Programme		-346	0	346	0	0	0	346
Parliament Street Toilet Demolition			0	0	0	0	0	0
29 Castlegate Repairs		-33	0	33	0	0	0	33
Decent Home Standards Works			11	0	0	0	0	11
Fishergate Postern			18	0	0	0	0	18
Holgate Park Land - York Central Land and Clearance			397	0	0	0	0	397
Hazel Court - Office of the Future Improvements			1	0	0	0	0	1
Asset Maintenance + Critical H&S Repairs		-180	167	200	200	200	200	967
Community Asset Transfer			-175	0	175	0	0	175
River Bank repairs		-300	58	0	0	0	0	358
Stonebow House Freehold			62	0	0	0	0	62
Critical Repairs and Contingency			290	66	290	0	0	356
Mansion House Restoration	180		285	1,719	0	0	0	2,004
Project Support Fund			100	100	0	0	0	500
Small Business Workshops		-30	28	30	0	0	0	58
Guildhall	1,141	-890	251	890	0	0	0	1,141
TOTAL GROSS EXPENDITURE	1,141	-2,975	1,742	4,187	300	300	300	6,829
TOTAL EXTERNAL FUNDING	0	-374	0	374	0	0	0	1,068
TOTAL INTERNAL FUNDING	1,141	-2,601	1,742	3,813	300	300	300	5,761
CBSS - IT								
IT Development plan			2,383	2,533	2,245	2,025	1,970	11,156
IT Superconnected Cities	218		218	0	0	0	0	218
TOTAL GROSS EXPENDITURE	218	0	2,601	2,533	2,245	2,025	1,970	11,374
TOTAL EXTERNAL FUNDING	0	0	0	0	0	0	0	0
TOTAL INTERNAL FUNDING	218	0	2,601	2,533	2,245	2,025	1,970	11,374
CBSS - West Offices (Admin Accommodation)								
West Offices - Admin Accom			512	0	0	0	0	512
TOTAL GROSS EXPENDITURE	0	0	512	0	0	0	0	512
TOTAL EXTERNAL FUNDING	0	0	0	0	0	0	0	0
TOTAL INTERNAL FUNDING	0	0	512	0	0	0	0	512
Capital Contingency								
Capital Contingency			423	0	0	0	0	423
TOTAL GROSS EXPENDITURE	0	0	423	0	0	0	0	423
TOTAL EXTERNAL FUNDING	0	0	0	0	0	0	0	0
TOTAL INTERNAL FUNDING	0	0	423	0	0	0	0	423
Corporate Schemes								
Corporate Schemes central fund -Unallocated			0	772	0	0	0	772
- External Funding	0	0	0	561	0	0	0	561
- Internal Funding	0	0	0	211	0	0	0	211
TOTAL GROSS EXPENDITURE	0	0	0	772	0	0	0	772
TOTAL EXTERNAL FUNDING	0	0	0	561	0	0	0	561
TOTAL INTERNAL FUNDING	0	0	0	211	0	0	0	211
Gross Expenditure by Department								
CSES - Children's Services, Education and Skills	21	-3,123	10,259	7,812	12,710	6,368	4,267	41,416
H&WB - Adult Social Services & Public Health	0	-207	1,257	1,156	967	915	565	4,860
CANS - Communities, Culture and Public Realm	99	-588	2,171	1,176				

This page is intentionally left blank



Executive

11 February 2016

Report of the Director of Customer and Business Support Services (Portfolio of the Leader and Deputy Leader of the Council)

Treasury Management Strategy Statement and Prudential Indicators for 2016/17 to 2020/21

Report Summary

1. The purpose of this report is to seek the recommendation of Executive to Full Council for the approval of the Treasury Management Strategy and Prudential Indicators for the 2016/17 financial year.

Recommendations

2. Executive are asked to recommend that Council approve:
 - The proposed Treasury Management Strategy for 2016/17 including the annual investment strategy and the minimum revenue provision policy statement;
 - The Prudential Indicators for 2016/17 to 2020/21 in the main body of the report;
 - The Specified and Non-Specified Investments schedule (Annex B)
 - The Scheme of Delegation and the Role of the Section 151 Officer (Annex D)
 - The Council's entry into the Framework Agreement and its accompanying schedules for the Municipal Bonds Agency, including the joint and several guarantee
 - Delegation of authority to the Director of Customer and Business Support Services as Section 151 Officer and the Assistant Director for Governance, ICT and Legal as Monitoring Officer to sign those documents, as appropriate, on behalf of the Council
 - Granting the Section 151 Officer delegated authority to agree amendments to the Framework Agreement as appropriate

Reason: To enable the continued effective operation of the Treasury Management function and ensure that all Council borrowing is prudent, affordable and sustainable.

Background

3. The Council is required to operate a balanced budget, which broadly means that cash raised during the year will meet cash expenditure. The first function of the treasury management operation is to ensure that this cash flow is adequately planned, with cash being available when it is needed. Surplus monies are invested in low risk counterparties or instruments commensurate with the Council's low risk appetite, providing adequate liquidity initially before considering investment return.
4. The second main function of the treasury management service is funding of the Council's capital programme. The capital programme provides a guide to the borrowing need of the Council, essentially the longer term cash flow planning to ensure that the Council can meet its capital spending obligations. This management of longer term cash may involve arranging long or short term loans, or using longer term cash flow surpluses. On occasion any debt previously drawn may be restructured to meet Council risk or cost objectives.
5. CIPFA (Chartered Institute of Public Finance and Accountancy) defines treasury management as:

"The management of the local authority's investments and cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks. "

Reporting requirements

6. The Council is required to receive and approve, as a minimum, three main reports each year, which incorporate a variety of policies, estimates and actuals. The three reports are:
 - **Treasury management strategy statement and prudential indicators report** (this report) – which covers the capital plans including prudential indicators, the minimum revenue provision policy, the treasury management strategy, the annual investment strategy;
 - **Mid Year Treasury Management Report** – updates members as to whether the treasury activities are meeting the strategy, whether any policies require revision, amending prudential indicators if necessary;
 - **Annual Treasury Report** – updates on treasury activity/ operations for the year and compares actual prudential indicators with estimates in the strategy.
7. These reports are required to be adequately scrutinised by committee before being recommended to the Council. This scrutiny role is undertaken by Audit & Governance Committee.

8. The CIPFA Code requires the responsible officer to ensure that members with responsibility for treasury management receive adequate training in treasury management. This especially applies to members responsible for scrutiny. The training needs of treasury management officers is also periodically reviewed.

Treasury Management Strategy for 2016/17

9. The treasury management strategy for 2016/17 covers two main areas:

Capital Issues

- The Capital Programme and Prudential Indicators;
- Minimum Revenue Provision (MRP) Policy Statement.

Treasury management Issues

- Prudential Indicators which will limit the treasury management risk and activities of the Council;
- the current treasury position;
- prospects for interest rates;
- the borrowing strategy;
- policy on borrowing in advance of need;
- debt rescheduling;
- creditworthiness policy;
- investment strategy;
- policy on use of external service providers;
- Scheme of delegation and the role of the S151 officer

10. These elements cover the statutory and regulatory requirements of the Local Government Act 2003, the CIPFA Prudential Code, the Communities and Local Government (CLG) Minimum Revenue Provision (MRP) Guidance, the CIPFA Treasury Management Code and the CLG Investment Guidance.

The Capital Prudential Indicators 2016/17 – 2020/21

11. The Council's capital expenditure plans are the key driver of treasury management activity and are the subject of a separate report on this agenda. The output of the capital programme is reflected in the capital prudential indicators, which are designed to assist member's overview of the council's capital programme to ensure that the capital expenditure plans are affordable, sustainable and prudent.

12. The capital prudential indicators (PI) along with the treasury management prudential indicators (PI) are included throughout the report:

- PI 1: Capital expenditure
- PI 2: Capital financing requirement
- PI 3: Ratio of financing cost to net revenue stream
- PI 4a&b: Incremental impact of capital investment decisions on council tax and housing rent
- PI 6a: Authorised limit for external debt
- PI 6b: Operational boundary for external debt
- PI 6c: Housing Revenue Account (HRA) debt Limit
- PI 7: Interest rate exposure for fixed and variable rated debt
- PI 8: Maturity structure of debt
- PI 9: Surplus funds invested >364 days

13. **Prudential Indicator 1 - Capital Expenditure.** This prudential Indicator is a summary of the Council's capital expenditure plans forming part of this budget cycle. 2015/16 is included as a comparator. Detailed information on the individual schemes is provided in the Capital Monitor 3 and Capital Strategy report.

Capital Expenditure	2015/16 Estimate £m	2016/17 Estimate £m	2017/18 Estimate £m	2018/19 Estimate £m	2019/20 Estimate £m	2020/21 Estimate £m
General Fund (Non HRA)	39.5	57.5	25.0	15.6	13.0	13.5
Housing Revenue Account	12.0	22.8	8.3	8.3	8.1	8.0
Total	51.5	80.3	33.3	23.9	21.1	21.5

Table 1: Capital Expenditure

14. Table 1 details the capital expenditure of the Council, based on the Capital Programme Strategy report, excluding other long term liabilities, such as PFI and leasing arrangements which already include borrowing instruments. There are no new PFI schemes forecast to be entered into in 2016/17.

15. **Prudential Indicator 2 - The Capital Financing Requirement (CFR) (Council's Borrowing Need);** the second prudential indicator is the Council's Capital Financing Requirement (CFR). The CFR is simply the total historic outstanding capital expenditure which has not yet been paid for from either revenue or capital resources. It is essentially a measure of the Council's underlying borrowing need for capital purposes. Any capital

expenditure above, which has not immediately been paid for and will be funded by borrowing, will increase the CFR.

16. The CFR does not increase indefinitely, because the minimum revenue provision (MRP) is a statutory annual revenue charge, which broadly reduces the borrowing need in line with each assets life. Therefore, the CFR is reduced by this provision to repay debt.

17. The CFR includes any other long term liabilities (e.g. PFI schemes, finance leases). Whilst these increase the CFR, and therefore the Council's overall borrowing requirement, these types of scheme include a borrowing facility and so the Council is not required to separately borrow for these schemes. The Council currently has a limit to cover such schemes of £20m included within the CFR. As set out in paragraph 37 table 7 the projected level of debt is significantly below the CFR over the 5 year period.

18. Table 2 below, shows the Capital Financing Requirement, excluding other long term liabilities:

Capital Financing Requirement	2015/16 Estimate £m	2016/17 Estimate £m	2017/18 Estimate £m	2018/19 Estimate £m	2019/20 Estimate £m	2020/21 Estimate £m
Non-HRA CFR	183.9	205.0	201.4	197.1	193.4	189.0
HRA pre settlement	18.8	18.8	18.8	18.8	18.8	18.8
HRA settlement	121.5	121.5	121.5	121.5	121.5	121.5
HRA CFR	140.3	140.3	140.3	140.3	140.3	140.3
Total CFR	324.2	345.3	341.7	337.4	333.7	329.3

Table 2: Capital Financing Requirement (CFR)

Minimum Revenue Provision (MRP) Policy Statement

19. The Council is required to pay off an element of the accumulated General Fund (non-HRA) capital expenditure each year (the CFR) through a revenue charge (the minimum revenue provision - MRP), although it is also allowed to undertake additional voluntary payments if required (voluntary revenue provision - VRP).

20. CLG Regulations require full Council to approve an MRP Statement in advance of each year. The guidance offers four main options under which MRP could be made, with an overriding recommendation that the Council should make prudent provision to redeem its debt liability over a period that is reasonably commensurate with that over which the capital expenditure is

estimated to provide benefits. The options presented are the same as in previous years and set out in paragraphs 21 & 23.

21. Full Council is requested to approve the following MRP Statement: For capital expenditure incurred before 1 April 2008 or which in the future will be Supported Capital Expenditure, the MRP policy will be:
 - **Existing practice** - MRP will follow the existing practice outlined in former CLG regulations.
22. This provides for an approximate 4% reduction in the borrowing need (CFR) each year.
23. From 1 April 2008 for all unsupported borrowing (including PFI and finance leases) the MRP policy will be
 - **Asset Life Method** – MRP will be based on the estimated life of the assets, in accordance with the regulations (this option must be applied for any expenditure capitalised under a Capitalisation Direction);
24. This option provides for a reduction in the borrowing need over approximately the asset's life. The asset life is an absolute maximum and wherever possible the debt should be repaid over a shorter period. Estimated asset life periods will be determined under delegated powers. It should be noted that with all debts, the longer the repayment period the higher the amount of interest incurred over the period of the loan accordingly, it is deemed as prudent to reduce the period over which the repayments are made.
25. There is no requirement on the HRA to make a minimum revenue provision but there is a requirement for a charge for depreciation to be made (although there are transitional arrangements in place).
26. Repayments included in annual PFI or finance leases are also applied as MRP.

Affordability Prudential Indicators

27. The prudential indicators mentioned so far in the report cover the overall capital programme and the control of borrowing through the capital financing requirement (CFR), but within this framework prudential indicators are required to assess the affordability of capital investment plans. These provide an indication of the impact of the capital programme investment plans on the Council's overall finances.
28. **Prudential Indicator 3 - Ratio of financing costs to net revenue stream.** This indicator identifies the trend in the cost of capital (borrowing and other

long-term obligation costs net of investment income) and compares it to the Council's net revenue stream.

Financing Costs	2015/16 Estimate %	2016/17 Estimate %	2017/18 Estimate %	2018/19 Estimate %	2019/20 Estimate %	2020/21 Estimate %
Non-HRA	11.40	12.34	13.45	13.51	12.43	12.20
HRA	13.56	13.56	13.58	13.58	13.58	13.58

Table 3: Ratio of financing costs to net revenue stream

29. The estimates of financing costs include current commitments and the proposals in the capital budget report also on this agenda.

30. Prudential Indicator 4 - Incremental impact of capital investment decisions on council tax. This indicator identifies the revenue costs associated with proposed changes to the five-year capital programme recommended in the budget report compared to existing approved commitments and plans. Assumptions are based on the budget figures as set out in the capital and financial strategy reports on this agenda.

Incremental Impact on Council tax – band D	2015/16 Estimate £	2016/17 Estimate £	2017/18 Estimate £	2018/19 Estimate £	2019/20 Estimate £	2020/21 Estimate £
Incremental impact	16.32	22.92	28.39	6.97	6.32	5.87

Table 4 - Incremental impact of capital investment decisions on the band D council tax

31. Prudential Indicator 5 - Incremental impact of capital investment decisions on housing rent levels. Similar to the council tax calculation, this indicator identifies the trend in the cost of proposed changes in the housing capital programme recommended in the capital strategy report compared to the Council's existing commitments and current plans, expressed as a discrete impact on weekly rent levels. This indicator is zero as the housing rent levels are set by Government and therefore not directly impacted by the Council's capital plans.

Incremental Impact	2015/16 Estimate £	2016/17 Estimate £	2017/18 Estimate £	2018/19 Estimate £	2019/20 Estimate £	2020/21 Estimate £
Weekly Housing Rents	0.00	0.00	0.00	0.00	0.00	0.00

Table 5 - Incremental impact of capital investment decisions on housing rent levels

Treasury Management Strategy

32. The capital prudential indicators set out above ensure that the Council's capital expenditure plans are affordable, sustainable and prudent. The treasury management function ensures that cash is available to meet the Council's requirements in accordance with the Local Government Act 2003 and relevant professional codes.

33. The treasury management function involves both the forecasting of the cash flow and, where capital plans require, the organisation of appropriate borrowing facilities. The strategy covers the prudential / treasury indicators, the current and projected debt positions and the annual investment strategy.

Current Portfolio Position

34. The Council's treasury portfolio position at 31st January 2016 is detailed below in table 6:

Institution Type	Principal	Average Rate
<u>Public Works Loan Board (PWLB)</u> – Money borrowed from the Debt Mgt Office (Treasury Agency)	£247.1m	3.6%
<u>Market Loans</u> Club Loan – A loan taken in conjunction with 2 other Authorities	£10.0m	7.2%
LOBO Loans (2) – Lender Option Borrower Option	£10.0m	3.7%
Total Gross Borrowing (GF & HRA)	£267.1m	3.7%
Total Investments	£106.3m	

Table 6: Current position at 31st January 2016

35. The Council had £267.1m of fixed interest rate debt, of which £140.3m was HRA and £126.8m General Fund. The cash balance available for investment was £106.3m.
36. Within the prudential indicators, there are a number of key indicators to ensure that the Council operates its activities within well-defined limits. One of these is that the Council needs to ensure that its total gross debt does not, except in the short term, exceed the total of the Capital Financing Requirement (CFR) in the preceding year plus the estimates of any additional CFR for 2016/17 and the following two financial years. This allows the flexibility to borrow in advance of need but ensures that borrowing is not undertaken for revenue purposes.
37. Table 7 shows that the estimated gross debt position of the Council does not exceed the underlying capital borrowing need. The Director of Customer Business & Support Services (S151 Officer) confirms that the Council complied with this prudential indicator and does not envisage difficulties for the future.

	2015/16 Estimate £m	2016/17 Estimate £m	2017/18 Estimate £m	2018/19 Estimate £m	2019/20 Estimate £m	2020/21 Estimate £m
Gross Projected Debt	272.6	287.4	295.3	290.1	289.0	283.8
Total CFR	324.2	345.3	341.7	337.4	333.7	329.3
Under/(over) Borrowed	Under	Under	Under	Under	Under	Under

Table 7: External Debt < Capital Financing Requirement

38. Table 7 shows a gap between actual borrowing and the CFR (driven by the use of internal funds to finance capital expenditure). The decision as to whether to continue to do this will take into account current assumptions on borrowing rates and levels of internal reserves and balances held by the Council. The figures above show an increase in the gap between CFR and external debt before a reduction at which point the gap remains broadly the same based on current estimates, however this will be determined by the S151 officer and the figure above is a current broad assumption. Actual borrowing will be determined by the circumstances that prevail at the time on borrowing rates and levels of cash balances.

Prudential Indicators: Limits on Authority to Borrow

39. **Prudential Indicator 6A – Authorised Borrowing Limit** - It is a statutory duty under Section 3 (1) of the Local Government Act 2003 and supporting

regulations, for the Council to determine and keep under review how much it can afford to borrow. This amount is termed the “Authorised Borrowing Limit”, and represents a control on the maximum level of debt. This is a limit beyond which external debt is prohibited, and this limit needs to be set or revised by the full Council. It reflects the level of external debt, which, while not desired, could be afforded in the short term, but is not sustainable in the longer term.

Authorised Limit	2015/16 Estimate £m	2016/17 Estimate £m	2017/18 Estimate £m	2018/19 Estimate £m	2019/20 Estimate £m	2020/21 Estimate £m
Borrowing	357.7	355.3	351.7	347.4	343.7	339.3
Other Long Term Liabilities	30.0	30.0	30.0	30.0	30.0	30.0
Total	387.7	385.3	381.7	377.4	373.7	369.3

Table 8: Authorised Borrowing Limit

40. Prudential Indicator 6B – Operational Boundary. In addition to the “Authorised Borrowing Limit”, the Operational Boundary is the maximum level of debt allowed for on an ongoing operational purpose. This would in reality only be breached because of in year cash flow movements. In most cases, this would be a similar figure to the CFR, but may be lower or higher depending on the levels of actual debt.

Operational Boundary	2015/16 Estimate £m	2016/17 Estimate £m	2017/18 Estimate £m	2018/19 Estimate £m	2019/20 Estimate £m	2020/21 Estimate £m
Borrowing	347.7	345.3	341.7	337.4	333.7	329.3
Other Long Term Liabilities	10.0	10.0	10.0	10.0	10.0	10.0
Total	357.7	355.3	351.7	347.4	343.7	339.3

Table 9: Operational Boundary

41. Separately, the Council is also limited to a maximum HRA CFR through the HRA self-financing regime, known as the HRA Debt Limit or debt cap. This limit is currently:

HRA Debt Limit £m	2015/16 Estimate £m	2016/17 Estimate £m	2017/18 Estimate £m	2018/19 Estimate £m	2019/20 Estimate £m	2020/21 Estimate £m
Total HRA	145.97	145.97	145.97	145.97	145.97	145.97

Table 10: HRA Debt Limit

Prospects for Interest Rates

42. Current interest rates and the future direction of both long term and short term interest rates have a major influence on the overall treasury management strategy and affects both investment and borrowing decisions. To facilitate treasury management officers in making informed investment and borrowing decisions, the Council contracts Capita Asset Services as its treasury adviser. Part of their service is to assist the Council in formulating a view on interest rates. Table 11 below gives Capita's central view:

	Bank Rate %	PWLB Borrowing Rates % (including certainty rate adjustment)		
		5 year	25 year	50 year
Mar 2016	0.50	2.00	3.40	3.20
Jun 2016	0.50	2.10	3.40	3.20
Sep 2016	0.50	2.20	3.50	3.30
Dec 2016	0.75	2.30	3.60	3.40
Mar 2017	0.75	2.40	3.70	3.50
Jun 2017	1.00	2.50	3.70	3.60
Sep 2017	1.00	2.60	3.80	3.70
Dec 2017	1.25	2.70	3.90	3.80
Mar 2018	1.25	2.80	4.00	3.90
Jun 2018	1.50	2.90	4.00	3.90
Sep 2018	1.50	3.00	4.10	4.00
Dec 2018	1.75	3.10	4.10	4.00
Mar 19	1.75	3.20	4.10	4.00

Table 11 – Capita's interest rate forecast

43. UK GDP growth rates in 2013 of 2.2% and 2.9% in 2014 were the strongest growth rates of any G7 country. The 2014 growth rate was also the strongest UK rate since 2006 and the 2015 growth rate is likely to be a leading rate in the G7 again. However, quarter 1 of 2015 was weak at +0.4% (+2.9% y/y) though there was a slight increase in quarter 2 to +0.5% (+2.3% y/y) before weakening again to +0.4% (2.1% y/y) in quarter 3. The November Bank of England Inflation Report included a forecast for growth to remain around 2.5 – 2.7% over the next three years, driven mainly by strong consumer demand as the squeeze on the disposable incomes of consumers has been reversed by a recovery in wage inflation at the same time that CPI inflation has fallen to, or near to, zero since February 2015. Investment expenditure is also expected to support growth. However, since the August Inflation report was issued, worldwide economic statistics have been weak and financial markets have been particularly volatile. The November Inflation Report flagged up particular concerns for the potential impact on the UK.

44. The Inflation Report was also notably subdued in respect of the forecasts for inflation which was expected to barely get back up to the 2% target within the 2-3 year time horizon. However, once the falls in oil, gas and food prices over recent months fall out of the 12 month calculation of CPI but a second, more recent round of falls in fuel and commodity prices will delay a significant tick up from the current zero rate to around 1 percent by the end of 2016. The increase in the forecast for inflation at the three year horizon was the biggest in a decade and at the two year horizon was the biggest since February 2013. There is considerable uncertainty around how quickly inflation will rise in the next few years and this makes it difficult to forecast when the MPC will decide to make a start on increasing Bank Rate.
45. In the Eurozone, the ECB unleashed a massive €1.1 trillion programme of quantitative easing in January 2015 to buy up high credit quality government and other debt of selected EZ countries. This programme of €60bn of monthly purchases started in March 2015 to run initially to September 2016 but now extended to March 2017. This programme of monetary easing has had a limited positive effect in helping a recovery in consumer and business confidence. GDP growth rose to 0.5% in quarter 1 2015 (1.3% y/y) but came in at +0.4% (+1.6% y/y) in quarter 2 and +0.3% in quarter 3 (+1.6% y/y). Financial markets were disappointed by the ECB's lack of more decisive action in December and it is likely that it will need to boost its QE programme if it is to succeed in significantly improving growth in the EZ and getting inflation up from the current level of around zero to its target of 2%.
46. During July, Greece finally capitulated to EU demands to implement a major programme of austerity and is now cooperating fully with EU demands. An €86bn third bailout package has since been agreed, though it did nothing to address the unsupportable size of total debt compared to GDP. However, huge damage was done to the Greek banking system and economy by the resistance of the Syriza Government, elected in January, to EU demands. The surprise general election in September gave the Syriza government a mandate to stay in power to implement austerity measures. However, there are major doubts as to whether the size of cuts and degree of reforms required can be fully implemented and so Greek exit from the euro may only have been delayed by this latest bailout.
47. Portugal and Spain. The general elections in September and December respectively have opened up new areas of political risk where the previous right wing reform-focused pro-austerity mainstream political parties have lost their majority of seats. An anti-austerity coalition has won a majority of seats in Portugal while the general election in Spain produced a complex result where no combination of two main parties is able to form a coalition with a majority of seats. It is currently unresolved as to what administrations will result from both these situations. This has created nervousness in bond

and equity markets for these countries which has the potential to spill over and impact on the whole Eurozone project.

- Investment returns are likely to remain relatively low during 2016/17 and beyond;
- Borrowing interest rates have been highly volatile during 2015 as alternating bouts of good and bad news have promoted optimism, and then pessimism, in financial markets. Gilt yields have continued to remain at historically phenomenally low levels during 2015. The policy of avoiding new borrowing by running down spare cash balances, has served well over the last few years. However, this needs to be carefully reviewed to avoid incurring higher borrowing costs in later times, when authorities will not be able to avoid new borrowing to finance new capital expenditure and/or to refinance maturing debt;
- There will remain a cost of carry to any new borrowing causing an increase in investments as this will incur a revenue loss between borrowing costs and investment returns.

Borrowing Strategy

48. As a result of the capital programme the net borrowing is projected to increase by £6.336m over the next 5 years. The CFR (the Council's actual need to borrow) does not necessarily increase by this same amount as a minimum amount of revenue provision is set aside every year in accordance with statutory requirement and this therefore reduces the actual amount that is required to be borrowed.
49. The borrowing strategy takes into account the borrowing requirement, the current economic and market environments and is also influenced by the interest rate forecast. The Council is currently maintaining an under-borrowed position. This means that the capital borrowing need (the Capital Financing Requirement), has not been fully funded with loan debt as cash supporting the Council's reserves, balances and cash flow has been used as a temporary measure. This strategy remains prudent as investment returns are low and counterparty risk is relatively high.
50. It is therefore beneficial to have a borrowing strategy where consideration is given to taking some longer term borrowing if favourable rates arise and also use some cash reserves. External borrowing will be considered throughout the financial year when interest rates seem most favourable. A target interest rate is 4.50%. This will enable borrowing to be taken through the year at different time periods. Consideration will also be given to the maturity profile of the debt portfolio so the Council is not exposed to the concentration of debt being in any one year.
51. Against this background and the risks within the economic forecast, caution will be adopted with the treasury operations. The Director of Customer

Business and Support Services will monitor interest rates in financial markets and adopt a pragmatic approach to changing circumstances:

- if it was felt that there was a significant risk of a sharp fall in long and short term rates, e.g. due to a marked increase of risks around relapse into recession or of risks of deflation, then long term borrowings will be postponed, and potential rescheduling from fixed rate funding into short term borrowing will be considered.
- if it was felt that there was a significant risk of a much sharper rise in long and short term rates than that currently forecast, perhaps arising from a greater than expected increase in world economic activity or a sudden increase in inflation risks, then the portfolio position will be re-appraised with the likely action that fixed rate funding will be drawn whilst interest rates were still relatively cheap.

52. The HRA strategy for borrowing will be the same as the borrowing strategy described above for the whole Council. The HRA Business Plan will guide and influence the overall HRA borrowing strategy.

53. All decisions will be reported to the appropriate decision making body (Executive and Audit and Governance Committee) at the next available opportunity.

Prudential Indicators – Limits on Borrowing Activity

54. There are three debt related prudential indicators. The purpose of these are to restrain the activity of the treasury function within certain limits, thereby managing risk and reducing the impact of any adverse movement in interest rates. However, if these are set to be too restrictive they will impair the opportunities to reduce costs / improve performance. The indicators are:

- Upper limits on variable interest rate exposure. This identifies a maximum limit for variable interest rates based upon the debt position net of investments
- Upper limits on fixed interest rate exposure. This is similar to the previous indicator and covers a maximum limit on fixed interest rates;
- Maturity structure of borrowing. This gross limit is set to reduce the Council's exposure to large fixed rate sums falling due for refinancing in a confined number of years.

Interest rate Exposure	2016/17 Estimate %	2017/18 Estimate %	2018/19 Estimate %	2019/20 Estimate %	2019/20 Estimate %
	Upper	Upper	Upper	Upper	Upper
Limits on fixed interest rates based on net debt	113	109	108	108	108

Limits on variable interest rates based on net debt	-13	-9	-8	-8	-8
--	------------	-----------	-----------	-----------	-----------

Maturity Structure of current borrowing 2015/16		
	Lower	Upper
Under 12 months	0%	30%
12 months to 2 years	0%	30%
2 years to 5 years	0%	40%
5 years to 10 years	0%	40%
10 years and above	30%	90%

Table 12: Limits on Interest rate exposure and the Maturity Structure of Borrowing

Policy on Borrowing in Advance of Need

55. Under the Local Authorities (Capital Finance and Accounting) (England) Regulations 2008, the Council can borrow in advance of need in line with its future borrowing requirements in accordance with the Capital Financing Requirement. Any decision to borrow in advance of need is considered carefully to ensure that value for money can be demonstrated, it is affordable, sustainable & prudent, that the treasury management revenue budget can support the borrowing finance costs in the longer term and that the Council can ensure the security of such funds if invested.
56. Borrowing in advance will be made within the constraints of the CIPFA Prudential Code that ensures total gross debt, does not, except in the short term, exceed the total of the CFR in the preceding year plus the estimates of any additional CFR for the following two financial years.
57. Risks associated with any borrowing in advance activity will be subject to prior appraisal and subsequent reporting through the mid-year or annual reporting mechanism.

Debt Rescheduling

58. As short term borrowing rates will be considerably cheaper than longer term fixed interest rates, there may be potential opportunities to generate savings by switching from long term debt to short term debt. However, these savings will be considered in the light of the current treasury position and the size of the cost of debt repayment (premiums incurred).
59. The reasons for any rescheduling to take place will include:
- the generation of cash savings and / or discounted cash flow savings;
 - helping to fulfil the treasury strategy;
 - to enhance the balance of the portfolio (amend the maturity profile and/or the balance of volatility).

60. Consideration will also be given to identify if there is any residual potential for making savings by running down investment balances to repay debt prematurely as short term rates on investments are likely to be lower than rates paid on current debt.
61. All rescheduling will be reported to the Executive / Audit & Governance Committee at the earliest meeting following its action.

Municipal Bond Agency

62. The establishment of the UK Municipal Bonds Agency was led by the Local Government Association (LGA) following the 2010 Autumn Statement which resulted in higher PWLB rates, greatly increasing the cost of new borrowing and refinancing. The purpose of the Agency is to deliver cheaper capital finance to local authorities. It will do so via periodic bond issues and by facilitating greater inter-authority lending. The Agency is wholly owned by 56 local authorities and the LGA. The Council is a shareholder in the Agency with a total investment of £40k.
63. The Agency requires that local authorities borrowing from it enter into its Framework Agreement. The Agreement includes an accession document confirming that the council has the necessary approvals to sign the agreement and the joint and several guarantee to those lending money to the agency in respect of the borrowing of all other local authorities from the Agency.
64. Although the Council has no immediate need to borrow or refinance, entering into the Framework Agreement enables the Council to access funding from the Agency as and when required. Access to the cheapest source of finance will reduce the costs of borrowing.

Annual Investment Strategy

Investment Policy

65. The Council's investment policy has regard to the CLG's Guidance on Local Government Investments ("the Guidance") and the revised CIPFA Treasury Management in Public Services Code of Practice and Cross Sectoral Guidance Notes ("the CIPFA TM Code"). The Council's investment priorities will be security first, liquidity second, then return.
66. In accordance with the above guidance from the CLG and CIPFA, and in order to minimise the risk to investments, the Council applies minimum acceptable credit criteria in order to generate a list of highly creditworthy counterparties which also enables diversification and thus avoidance of concentration risk. The key ratings used to monitor counterparties are the Short Term and Long Term ratings.
67. Ratings will not be the sole determinant of the quality of an institution; it is important to continually assess and monitor the financial sector on both a micro and macro basis and in relation to the economic and political environments in which institutions operate. The assessment will also take

account of information that reflects the opinion of the markets. To this end the Council will engage with its advisors to maintain a monitor on market pricing such as “credit default swaps” and overlay that information on top of the credit ratings.

- 68. Other information sources used will include the financial press, share price and other such information pertaining to the banking sector in order to establish the most robust scrutiny process on the suitability of potential investment counterparties.
- 69. Investment instruments identified for use in the financial year are listed in annex B under the ‘specified’ and ‘non-specified’ investments categories. Counterparty limits will be as set through the Council’s treasury management practices.
- 70. The Council continues to take a prudent approach to investing funds as set out in the Creditworthiness Policy below.

Creditworthiness Policy

71. This Council applies the creditworthiness service provided by Capita Asset Services. This service employs a sophisticated modeling approach with credit ratings from the three main credit rating agencies - Fitch, Moody’s and Standard and Poor’s. The credit ratings of counterparties are supplemented with the following overlays:

- credit watches and credit outlooks from credit rating agencies
- CDS spreads to give early warning of likely changes in credit ratings
- sovereign ratings to select counterparties from only the most creditworthy countries

72. This approach combines credit ratings, credit watches, credit outlooks in a weighted scoring system which is then combined with an overlay of CDS (Credit Default Swap) spreads for which the end product is a series of colour code bands, which indicate the relative creditworthiness of counterparties. These colour codes are also used by the Council to determine the duration for investments. The Council will therefore use counterparties within the following durational bands:

- Yellow* 5 years
- Purple 2 years
- Blue 1 year (only applies to nationalised or part nationalised UK Banks)
- Orange 1 year
- Red 6 months
- Green 100 days
- No colour not to be used

**The yellow category is for UK Government debt or its equivalent (government backed securities) and AAA rated funds*

73. The Capita Asset Services creditworthiness model uses a wider array of information than just primary ratings and by using a risk weighted scoring system, does not give undue weighting to just one agency's ratings.
74. Typically the minimum credit ratings criteria the Council use will be a short term rating (Fitch or equivalents) of F1 and Long Term rating A. There may be occasions when the counterparty ratings from one rating agency are marginally lower than these ratings but may still be used. In these instances consideration will be given to the whole range of ratings available, or other topical market information, to support their use.
75. All credit ratings are monitored on a daily basis. The Council is alerted to changes to ratings of all three agencies through its use of the Capita's creditworthiness service:
- If a downgrade results in the counterparty/investment scheme no longer meeting the Council's minimum criteria, its further use as a new investment will be withdrawn immediately.
 - In addition to the use of Credit Ratings the Council will be advised of information in movements in Credit Default Swap against the iTraxx benchmark and other market data on a weekly basis. Extreme market movements may result in downgrade of an institution or removal from the Councils lending list.
76. Although sole reliance is not placed on the use of this external service, as the Council uses market data and market information, information on government support for banks and the credit ratings of that supporting government, the suitability of each counterparty is based heavily on advice from Capita.
77. The Council has determined that it will only use approved counterparties from countries with a minimum sovereign credit rating of AA- from Fitch (or equivalent from other agencies if Fitch does not provide). The list of countries that qualify using this credit criteria as at the date of this report are shown in Annex C. This list will be added to or deducted from by officers should ratings change in accordance with this policy.

Investment Strategy

78. Investments will be made with reference to the core balance and cash flow requirements and the outlook for short-term interest rates (i.e. rates for investments up to 12 months). The Council uses matrices (determined by the maximum cash balance in a given year) that stipulate both time and financial limits in order to spread counterparty (credit) risk when investing

money with approved counterparties. The matrix is based on the projected average balance for the year.

79. For 2016/17 the average balance is forecast to be between a low point of £32m and high point of £112m. The matrix stipulates use of level 6 (maximum cash balance of between £50m - £60m, note this is the highest matrix Treasury officers feel is prudent to use) that results in a limit of £8m for counterparties with a durational band of 100 days and £15m for counterparties with a durational band of longer than 100 days.

80. Bank Rate is forecast to remain unchanged at 0.5% before starting to rise from December 2016. Bank rate forecasts for financial year ends (March) are:

2016/17	0.75%
2017/18	1.25%
2018/19	1.75%

81. For its cash flow generated balances, the Council will seek to utilise a combination of business reserve accounts (call accounts), short notice accounts, short dated fixed term deposits and money market funds. In addition, the Council will look for investment opportunities in longer dated term deals with specific counterparties that offer enhanced rates for Local Authority investment. All investment will be undertaken in accordance with the creditworthiness policy set out above.

82. The suggested budgeted investment earnings rates for returns on investments placed for periods up to 100 days during each financial year for the next four years are as follows:

2016/17	0.60%
2017/18	1.25%
2018/19	1.75%
2019/20	2.25%

83. Therefore for 2016/17, the Council has budgeted for an investment return target of 0.60% on investments placed during the financial year and uses the 7 day LIBID rate as a benchmark for the rate of return on investment.

84. **Prudential Indicator 9** - total principal investment funds invested for greater than 364 days. This limits is set with regards to the Council's liquidity requirements and are based on the availability of funds after each year-end. A maximum principal sum to be invested for greater than 364 days is £15m.

85. At the end of the financial year, the Council will report on its investment activity as part of its Annual Treasury Report. It should be noted that the Investment policy, creditworthiness policy and investment strategy are

applicable to the Council's overall surplus funds and are also applicable to the HRA.

Policy on the use of external service providers

86. The Council uses Capita Asset Services as its external treasury management advisors.
87. The Council recognises that responsibility for treasury management decisions remains with the organisation at all times and will ensure that undue reliance is not placed upon our external service providers.
88. It also recognises that there is value in employing external providers of treasury management services in order to acquire access to specialist skills and resources. The Council will ensure that the terms of their appointment and the methods by which their value will be assessed are properly agreed and documented, and subjected to regular review.

Scheme of Delegation and the Role of the Section 151 Officer

89. Those charged with governance are responsible for the treasury management activities and are clearly defined within the organisation. Attached at Annex D are the Treasury Management Scheme of Delegation and also the Treasury Management role of the section 151 officer (Director of Customer & Business Support Services).

Consultation and Options

90. The treasury management function of any business is a highly technical area, where decisions are often taken at very short notice in reaction to the financial markets. Therefore, to enable effective treasury management, all operational decisions are delegated by the Council to the Director of Customer & Business Support Services, who operates within the framework set out in this strategy and through the Treasury Management Policies and Practices. In order to inform sound treasury management operations the Council works with its Treasury Management advisers, Capita Asset Services. Capita Asset Services offers the Council a comprehensive information and advisory service that facilitates the Council in maximising its investment returns and minimise the costs of its debts.
91. Treasury Management strategy and activity is influenced by the capital investment and revenue spending decisions made by the Council. Both the revenue and capital budgets have been through a corporate process of consultation and consideration by the elected politicians. The revenue budget and capital budget proposals are included within this agenda.
92. At a strategic level, there are a number of treasury management options available that depend on the Council's stance on interest rate movements. The report sets out the Council's stance and recommends the setting of

key trigger points for borrowing and investing over the forthcoming financial year.

Council Plan

93. The Treasury Management Strategy Statement and Prudential Indicators are aimed at ensuring the Council maximises its return on investments and minimises the cost of its debts whilst operating in a financial environment that safeguards the Council's funds. This will allow more resources to be freed up to invest in the Council's priorities, values and imperatives, as set out in the Council's Plan.

Implications

Financial

94. The revenue implications of the treasury strategy are set out in the Revenue Budget report also on this agenda. The capital implications that drive the CFR are set out in the Capital Programme Budget report.

Human Resources (HR)

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

Equalities

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

Legal Implications

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

Other implications

98. There are no crime and disorder, information technology or property implications as a result of this report

Risk Management

99. The treasury management function is a high-risk area because of the volume and level of large money transactions. As a result of this the Local

Government Act 2003 (as amended), supporting regulations, the CIPFA Prudential Code and the CIPFA Treasury Management in the Public Services Code of Practice (the code) are all adhered to as required.

Report authors:	Chief Officer responsible for the report:		
Debbie Mitchell Finance & Procurement Manager Tel: 01904 554161	Ian Floyd Director of Customer & Business Support Services		
Sarah Kirby Principal Accountant Tel 01904 551635	Report Approved	x	Date 29 th January 2016
Wards Affected: Not Applicable			

For further information please contact the author of the report

Background Papers

Capital Strategy 2016/17 to 2020/21 report + annexes.

Annexes

Annex A – Interest Rate Forecast

Annex B – Specified and Non-Specified Investments categories Schedule

Annex C – Approved countries for investments

Annex D – Scheme of Delegation and the Role of the Section 151 Officer

Annex A - Interest Rate Forecast 2016-2019

Capita Asset Services Interest Rate View													
	Mar-16	Jun-16	Sep-16	Dec-16	Mar-17	Jun-17	Sep-17	Dec-17	Mar-18	Jun-18	Sep-18	Dec-18	Mar-19
Bank Rate View	0.50%	0.50%	0.50%	0.75%	0.75%	1.00%	1.00%	1.25%	1.25%	1.50%	1.50%	1.75%	1.75%
3 Month LIBID	0.50%	0.50%	0.60%	0.80%	0.90%	1.00%	1.10%	1.30%	1.40%	1.50%	1.60%	1.80%	1.90%
6 Month LIBID	0.70%	0.70%	0.80%	0.90%	1.00%	1.20%	1.30%	1.50%	1.60%	1.70%	1.80%	2.00%	2.20%
12 Month LIBID	1.00%	1.00%	1.10%	1.20%	1.30%	1.50%	1.60%	1.80%	1.90%	2.00%	2.10%	2.30%	2.40%
5yr PWLB Rate	2.00%	2.10%	2.20%	2.30%	2.40%	2.50%	2.60%	2.70%	2.80%	2.90%	3.00%	3.10%	3.20%
10yr PWLB Rate	2.60%	2.70%	2.80%	2.90%	3.00%	3.10%	3.20%	3.30%	3.40%	3.50%	3.60%	3.60%	3.70%
25yr PWLB Rate	3.40%	3.40%	3.50%	3.60%	3.70%	3.70%	3.80%	3.90%	4.00%	4.00%	4.10%	4.10%	4.10%
50yr PWLB Rate	3.20%	3.20%	3.30%	3.40%	3.50%	3.60%	3.70%	3.80%	3.90%	3.90%	4.00%	4.00%	4.00%
Bank Rate													
Capita Asset Services	0.50%	0.50%	0.50%	0.75%	0.75%	1.00%	1.00%	1.25%	1.25%	1.50%	1.50%	1.75%	1.75%
Capital Economics	0.50%	0.75%	0.75%	0.75%	1.00%	1.00%	1.00%	1.25%	-	-	-	-	-
5yr PWLB Rate													
Capita Asset Services	2.00%	2.10%	2.20%	2.30%	2.40%	2.50%	2.60%	2.70%	2.80%	2.90%	3.00%	3.10%	3.20%
Capital Economics	2.60%	2.70%	2.80%	3.00%	3.10%	3.20%	3.30%	3.50%	-	-	-	-	-
10yr PWLB Rate													
Capita Asset Services	2.60%	2.70%	2.80%	2.90%	3.00%	3.10%	3.20%	3.30%	3.40%	3.50%	3.60%	3.60%	3.70%
Capital Economics	3.35%	3.45%	3.45%	3.55%	3.65%	3.75%	3.85%	3.95%	-	-	-	-	-
25yr PWLB Rate													
Capita Asset Services	3.40%	3.40%	3.50%	3.60%	3.70%	3.70%	3.80%	3.90%	4.00%	4.00%	4.10%	4.10%	4.10%
Capital Economics	3.35%	3.45%	3.45%	3.55%	3.65%	3.75%	3.85%	3.95%	-	-	-	-	-
50yr PWLB Rate													
Capita Asset Services	3.20%	3.20%	3.30%	3.40%	3.50%	3.60%	3.70%	3.80%	3.90%	3.90%	4.00%	4.00%	4.00%
Capital Economics	3.40%	3.50%	3.50%	3.60%	3.70%	3.80%	3.90%	4.00%	-	-	-	-	-

Specified and Non-Specified Investments Categories

Annex B

A variety of investment instruments will be used, subject to the credit quality of the institution, to place the Council's surplus funds. The criteria, time limits and monetary limits applying to institutions or investment vehicles are listed in the tables below.

Accounting treatment of investments. The accounting treatment may differ from the underlying cash transactions arising from investment decisions made by this Council. To ensure that the Council is protected from any adverse revenue impact, which may arise from these differences, treasury officers will review the accounting implications of new transactions before they are undertaken.

Specified Investments:

All such investments will be sterling denominated, with maturities up to maximum of 1 year, meeting the minimum 'high' rating criteria where applicable.

Institution / Counterparty	Minimum 'High' Credit Criteria	Use
Debt Management Agency Deposit Facility	UK Sovereign rating	In-house
Term deposits – Local Authorities	UK Sovereign rating	In-house
Term deposits – banks and building societies	Coded: Orange on Capitas Matrix.	In-house
UK Part nationalised banks	Coded: Blue on Capitas Matrix.	In-house and Fund Mangers
Banks part nationalised by high credit rated (sovereign rating) countries – non UK	Coded: Blue on Capitas Matrix.	In-house and Fund Mangers
Collateralised deposit	Coded: Orange on Capitas Matrix	In-house and Fund Mangers
Certificates of deposits issued by banks and building societies covered by UK Government guarantee	Coded: Orange on Capitas Matrix	In-house and Fund Mangers
Certificates of deposits issued by banks and building societies	F Coded: Orange on Capitas Matrix	In-house and Fund Mangers
UK Government Gilts	Coded: Yellow on Capitas Matrix	In-house buy and hold and Fund Managers
Bonds issued by multilateral development banks	Coded: Orange on Capitas Matrix	In-house buy and hold and Fund Managers

Bonds issued by a financial institution which is guaranteed by the UK government	Coded: Orange on Capitas Matrix	In-house buy and hold and Fund Managers
Sovereign bond issues (other than the UK govt)	Coded: Orange on Capitas Matrix	In-house buy and hold and Fund Managers
Treasury Bills	Coded: Yellow on Capitas Matrix	Fund Managers
Collective Investment Schemes structured as Open Ended Investment Companies (OEICs): -		
1. Government Liquidity Funds	AAA	In-house and Fund Managers
2. Money Market Funds	AAA	In-house and Fund Managers
3. Enhanced cash funds	AAA	In-house and Fund Managers
4. Bond Funds	AAA	In-house and Fund Managers
5. Gilt Funds	AAA	In-house and Fund Managers
6. Property Funds	AAA	In-house and Fund Managers
UK Nationalised Banks	UK sovereign rating	In-house and Fund Managers
UK Part nationalised Banks	UK sovereign rating	In-house and Fund Managers

NON-SPECIFIED INVESTMENTS:

A maximum of 100% can be held in aggregate in non-specified investment

1. Maturities of ANY period

Institution / Counterparty	Minimum Credit Criteria	Use	Max % of total investments	Max. maturity period
Term deposits – banks and building societies	Coded: red (6mths) and green (3mths) on Capitas Matrix.	In-house	100%	3-6 Months
Fixed term deposits with variable rate and variable maturities: -Structured deposits	Coded: orange (1yr) red (6mths) and green (3mths) on Capitas Matrix.	In-house	40%	1 Year
Certificates of deposits issued by banks and building societies NOT covered by UK Government guarantee	Coded: orange (1yr) red (6mths) and green (3mths) on Capitas Matrix.	In-house buy and hold and Fund Managers	30%	1 Year
Commercial paper issuance covered by a specific UK Government guarantee and issued by banks covered by the UK bank support package	UK Sovereign rating	In-house and Fund Managers	30%	1 Year
Commercial paper other	Coded: orange (1yr) red (6mths) and green (3mths) on Capitas Matrix.	In-house	30%	1 Year

Corporate Bonds	Coded: orange (1yr) red (6mths) and green (3mths) on Capitas Matrix.	In-house and Fund Managers	30%	1 Year
Other debt issuance by UK banks covered by UK Government guarantee	UK Government explicit guarantee	In-house and Fund Managers	30%	
Floating Rate Notes: the use of these investments would constitute capital expenditure unless they are issued by a multi lateral development bank	Long-term AAA	Fund Managers	N/A – Capital Expenditure	N/A – Capital Expenditure
Property fund: the use of these investments would constitute capital expenditure	--	Fund Managers	N/A – Capital Expenditure	N/A – Capital Expenditure
Local Authority mortgage guarantee scheme	Coded: orange (1yr) red (6mths) and green (3mths) on Capitas Matrix.	In-house		

2. Maturities in excess of 1 year

Term deposits – local authorities	--	In-house	10%	> 1 year
Term deposits – banks and building societies	Coded: Purple(2yrs) or Yellow (5yrs) on Capitas Matrix.	In-house	10%	> 1 year
Certificates of deposits issued by banks and building societies covered by UK Government guarantee	UK Sovereign	In house and Fund Managers	10%	> 1 year
Certificates of deposits issued by banks and building societies covered by the UK government banking support package	UK Sovereign	In house and Fund Managers	10%	> 1 year
Certificates of deposits issued by banks and building societies NOT covered by the UK government banking support package	Coded: Purple(2yrs) or Yellow (5yrs) on Capitas Matrix	In house and Fund Managers	10%	> 1 year
UK Government Gilts	UK Sovereign rating	In-house and Fund Managers	10%	> 1 year
Bonds issued by multilateral development banks	Long term AAA	In-house and Fund Managers	10%	> 1 year
Sovereign bond issues (i.e. other than the UK govt)	Long term AAA	In-house and Fund Managers	10%	> 1 year
Collective Investment Schemes structure as open Ended Investment Companies (OEICs)				

1. Bond Funds	Long-term AAA	In-house and Fund Managers		
2. Gilt Funds	Long-term AAA	In-house and Fund Managers		

Approved countries for investments

Annex C

AAA

- Australia
- Canada
- Denmark
- Germany
- Luxembourg
- Netherlands
- Norway
- Singapore
- Sweden
- Switzerland

AA+

- Finland
- U.K.
- U.S.A.

AA

- Abu Dhabi (UAE)
- France
- Qatar

AA-

- Belgium

Treasury Management Scheme of Delegation**Annex D****(i) Executive / Full Council**

- receiving and reviewing reports on treasury management policies, practices and activities
- approval of annual strategy and annual outturn

(ii) Executive

- approval of/amendments to the organisation's adopted clauses, treasury management policy statement and treasury management practices
- budget consideration and approval
- approval of the division of responsibilities

(iii) Audit & Governance Committee

- receiving and reviewing reports on treasury management policies, practices and activities
- reviewing the annual strategy, annual outturn and mid year review.

(iv) Director of Customer and Business Support (Section 151 Officer)

- reviewing the treasury management policy and procedures and making recommendations to the responsible body.
- all operational decisions are delegated by the Council to the Director of Customer & Business Support Services, who operates within the framework set out in this strategy and through the Treasury Management Policies and Practices
- Approving the selection of external service providers and agreeing terms of contract in accordance with the delegations in financial regulations.

The Treasury Management Role of the Section 151 Officer

- recommending clauses, treasury management policy/practices for approval, reviewing the same regularly, and monitoring compliance
- all operational decisions delegated by the Council to the Director of Customer & Business Support Services (S151 Officer), who operates within the framework set out in this strategy and through the treasury management policies and practices
- submitting regular treasury management policy reports
- submitting budgets and budget variations
- receiving and reviewing management information reports
- reviewing the performance of the treasury management function
- ensuring the adequacy of treasury management resources and skills, and the effective division of responsibilities within the treasury management function
- ensuring the adequacy of internal audit, and liaising with external audit
- recommending the appointment of external service providers.

This page is intentionally left blank



Executive**11 February 2016**

Report of the Director of Customer and Business Support Services
(Portfolio of the Leader and Deputy Leader of the Council)

FINANCIAL STRATEGY 2016/17 to 2020/21**Summary**

1. This report presents the financial strategy 2016/17 to 2020/21, including detailed revenue budget proposals for 2016/17, and asks Members to recommend to Council approval of the proposals. Following on from consultation with taxpayers, business and interest groups, the financial strategy delivers a balanced budget for 2016/17 with savings proposals totalling £6.5m equivalent to 5.5% of the net budget. There are separate reports on the agenda covering the capital budget and the treasury management strategy.
2. Key issues included in the proposals are as follows;
 - A proposed council tax increase of 1%. In addition an increase of 2% in 2016/17 in line with the Government's social care precept, which will be used exclusively to fund adult social care cost pressures
 - Revenue savings of £6.5m in 2016/17
 - A reduced Settlement Funding Assessment (SFA) of £8.0m, which includes a loss of £1.9m of specific grants which are now included within SFA
 - Additional estimated specific grant losses of £0.9m in 2016/17, relating to the Public Health Grant and Education Services Grant
 - Ensuring a financially prudent budget by addressing known budget pressures, including likely pay awards and inflationary pressures

- Growth of £1.9m in children's social care for 2016/17 to ensure continuation of proper safeguarding arrangements and adequate provision for children looked after (CLA)
- Growth of 338k for Haisthorpe House residential home which requires additional investment to ensure adequate standards for vulnerable residents.
- Growth of £400k to fund projected increase in costs in supported living schemes as a result of the Whittlestone legal judgement.
- Growth of £115k in winter maintenance to ensure the base budget has sufficient provision to cover an average winter
- Growth of £5k to support the completion of York's Local List
- Growth of £234k to fund additional Community Safety Hub officers to cover additional enforcement around dog fouling, street drinking, licensing infringement and noise enforcement. a reactive service for street services to deal with fly-tipping, graffiti, litter and weeds
- Growth of £100k to increase investment in mental health services
- One off investment of £350k to fund completion of the Local Plan
- One off investment of £60k to fund a strategic flood risk assessment
- One off investment of £70k to increase the contingency budget, further details of which are set out in the report
- A net revenue budget of £117.9m, which will be funded by:
 - i. Council tax income of £77.1m
 - ii. Government grant of £14.9m
 - iii. Retained business rates of £24.3m
 - iv. One off income of £1.6m
- Alongside these proposals, elsewhere on the agenda the Capital Strategy Report details significant capital investment in highways, ICT and housing.

Recommendations

3. Members are asked to approve the average rent decrease of 1.0% to be applied to all 'social housing rents' for 2016/17, as required by legislation. This is shown in table 13 and described in paragraphs 110 to 112.
4. Members are asked to approve the average rent increase of 0.9% to be applied to all rents which fall outside the definition on 'social housing rents' for 2016/17, as described in paragraph 113.

Reason: to ensure the ongoing financial stability of the HRA and allow work on improving the quality of the council's affordable housing to continue.

5. Members are asked to consider the appropriate levels of council tax that they wish to see levied by the City of York Council for 2016/17. In doing so they should pay due regard to factors such as;
 - Expenditure pressures facing the council as set out in the report
 - Impacts of savings proposals set out in annex 2
 - Medium term financial factors facing the council as outlined in the report
 - Projected levels of reserves as set out in the report
 - Statutory advice from the Director of CBSS
6. In light of the considerations outlined in the paragraph above, Members are asked to recommend to Council approval of the budget proposals as outlined in this report. In particular;
 - The net revenue expenditure requirement of £117.900m
 - A council tax requirement of £77.072m
 - The revenue growth proposals as outlined in the body of the report
 - The 2016/17 revenue savings proposals as outlined in annex 2
 - The fees and charges proposals as outlined in annex 4
 - The Housing Revenue Account (HRA) budget set out in annex 5 and the HRA savings proposals set out in annex 6

- The dedicated schools grant proposals outlined in paragraphs 114 to 122

Reason: To ensure a legally balanced budget is set

7. The effect of approving the income and expenditure proposals included in the recommendations would result in a 3% increase in the City of York element of the council tax, 2% of which would relate to the social care precept. It is intended that the total council tax increase including the parish, police and fire authority precepts, will be agreed at the full Council meeting on 25 February 2016.

Background

National Context and Funding Issues

8. York has the 13th lowest band D council tax, the 2nd lowest spend per head of population and the 9th lowest government funding per head of any unitary council in England. Annex 9 includes the relevant background data from all unitary authorities.
9. All aspects of the public sector are continuing to face challenging times. In recent years the Council has had to deal with large reductions in funding, combined with a range of significant pressures.
10. The 2015 comprehensive spending review (CSR) was announced on 25 November 2015 which set out government spending plans to 2019/20.
11. The provisional local government finance settlement for 2016/17 was announced on 17 December 2015. The settlement funding assessment (SFA), comprises revenue support grant (RSG) and a business rates baseline.
12. The provisional SFA for 2016/17 is £39.2m. This corresponds to a loss of £8.0m or 17%, compared to the funding received in 2015/16. Provisional figures were provided for the year 2017/18 to 2019/20 which confirms that central government support to local authorities will continue to be reduced in coming years.
13. The figures announced for York were broadly in line with the forecasts made within the Council's financial strategy.
14. Further details of the CSR, the provisional settlement and medium term outlook are provided later in the report.

15. In relation to council tax, the proposals in this report are predicated on a council tax increase in 2016/17 of 1%, plus an additional increase of 2% in line with the Government's Social Care precept. Further information on council tax and the social care precept is included later in the report.

Local issues and challenges

16. Locally demand for council services continues to increase, with an ageing population and increased complex needs in respect of elderly care. Rising costs such as landfill tax and inflation are driving costs up, and there is continued pressure on many of the council's income budgets. There are also significant challenges in the health sector, including challenging financial positions for health partners which are in turn a significant financial risk to the Council.
17. There are also potential risks associated to welfare reform, in particular in relation to council tax support, which is now funded locally. Whilst devolution of business rates presents opportunities for the council, there are also associated risks with business rates appeals.
18. In shaping the budget these issues have been carefully considered to ensure we set a budget that is both prudent and protects vulnerable people. Ensuring that there is the capacity to invest has been a critical part of the budget deliberations.

Medium Term Financial Strategy

19. By 2019/20, the Council will be self funded from council tax and business rates. Therefore, a successful economy is critical to the council's financial future, with strong and growing business rates.
20. Inevitably, savings will need to be found during that period to deal with further reductions in funding and growth pressures.
21. As part of the budget strategy, there has been consideration of the likely savings required over the next four years, and services are developing plans which will change the way services are provided, and deliver budget reductions over that period.
22. Annex 3 sets out the strategic direction towards achievement of savings proposals for each directorate over the 4 year period from 2016/17 to 2019/20. This includes the directorate approach to protecting priority

areas, safeguarding key statutory services and further details of the type of savings or efficiencies under consideration for the medium term.

23. The medium term strategy will focus on a transformational approach, particularly in the area of adult social care and a significant amount of savings will be delivered by restructuring services.

Principles that have shaped the budget

24. At a time of significant reductions in grants and rising demand it is absolutely essential to set a prudent, stable and achievable budget. In response to a shift in demand led expenditure pressures and reductions in grant funding, the Council is taking steps to enable itself, residents and communities to work together as equal partners to meet their future needs and priorities.
25. We are a council recognising at a time of significant budget reduction that keeping children safe and resourcing services appropriately is an absolute priority.
26. The council has been working with residents and businesses to identify the services that matter most to them and to understand their priorities for spending the council budgets.
27. In order to collect a variety of views, an online consultation delivered through the council website has been open during December and January, and has been promoted through social media, resident and business forums and through all council publications and communication channels. The survey has been open to businesses and residents but in order to further our understanding of business views, it is our intention to continue to engage with the York Economic Partnership where we will have access to the key business stakeholders in the city.
28. The key messages from the consultation to date, were;
 - 224 Residents (56%) were more in favour of increased council tax levels than providing fewer services
 - 192 Residents (48%) were more in favour of increased fees and charges than providing fewer services
 - The majority of current service users would be willing to pay more for planning services (63%), community centres (56%), and adult education courses (59%)

- The majority of current service users would not be willing to pay more for parking (61%), waste collection (54%), use of public toilets (61%), and home care fees (71%)
 - Residents prioritised the following areas to have their funding increased; Road and footpath maintenance, adults social services, housing and homelessness; children's social care services, and public health.
 - Residents prioritised the following areas to have their funding decreased; Sport and leisure facilities, theatres and museums, stimulating the economy, libraries, and funding for public transport.
29. All views and data gathered during the consultation will in due course be published on the York's open data platform www.yorkopendata.org
30. In terms of investment, the council spends a significant amount of its budget on protecting vulnerable people through its social care services. In 2015/16, the gross cost of adult social care was £70.7m compared to total council tax income of £72.7m.
31. The scale of the budget reductions required will inevitably affect all services and all residents to some extent. In considering what savings can be made we have taken long term approaches to the development of future services, which are provided in further detail in annex 3. This approach will help to protect the needs of the most vulnerable people in York.
32. The 2% increase in council tax raised from the social care precept will be used entirely to fund adult social care services. The 2% generates additional income of £1.5m. Growth in this budget for adult social care includes £388k for additional investment in Haisthorpe House, £400k to cover additional costs in supported living schemes as a result of the Whittlestone legal judgement and a significant share of the £800k prices contingency and £1,440k pay award.
33. Alongside the revenue budget, set out in the separate capital strategy report are proposals for further major investment in a variety of schemes. These continue the Councils approach to prioritise investment in the economy, housing, transport, and to invest to save. In addition, the Council is continuing to make a significant investment in ICT, recognising that the need for high quality technology will be crucial to delivering services in the most effective manner in the future, particularly in relation to adult and children's services and customer services.

Budget analysis

34. The budget setting process has taken into account the following issues, (which are considered in more detail in following paragraphs);
- i. Consideration of the 2015/16 position.
 - ii. Consideration of unavoidable cost increases, priority areas, how to create the capacity in priority areas and creating the capacity to allow for service improvement and innovation.
 - iii. Consideration of reductions in grant funding.
 - iv. Ensuring that the budget is robust and prudent and is based upon the strategic financial advice of the Director of CBSS as s151 officer.
 - v. Ensuring there is a strong link between the capital and revenue budgets and that the delivery of priorities fully considers the two budgets hand in hand.

2015/16 position

35. As outlined earlier in the report, and in a separate report elsewhere on this agenda, the latest finance and performance report identifies a range of budget pressures with the expectation that these will be contained within the approved budget by the end of the financial year.
36. The most significant pressures in 2015/16 have occurred due to underlying budget pressures in children looked after (CLA). There are also pressures within adult social care supported living schemes and an overspend in some areas of residential and nursing care placements. A detailed analysis of these pressures has been conducted and additional resources have been allocated for areas where it was considered essential to invest.
37. The Better Care Fund (BCF) is a £12m pooled budget between CYC and Vale of York Clinical Commissioning Group (VYCCG), and is a government initiative to transform local health and social care services so that they work together to provide better joined up care and support. A significant proportion of the pooled budget is earmarked to be spent on protecting adult social care services. There are significant challenges in the health sector, and this brings with it significant financial risks for the Council.

38. Paragraphs 43 to 45 sets out specific growth which is included in 2016/17 to deal with the ongoing pressures.

Unavoidable cost increases, priority areas and creating capacity

39. The following paragraphs set out the areas where additional investment is being made;
40. Pay costs - **£1,440k** is included for pay costs in 2016/17. An assumption of 1% had been made for a pay award in 2016/17. Capacity is also created to provide recurring funding for the Living Wage for permanent and casual employees.
41. Business Improvement District (BID) Levy - **£28k** to cover the additional levy on business rates relating to Council properties.
42. Member Allowances - **£74k** was recommended by an Independent Remuneration Panel and was approved by Council in December 2015.
43. As highlighted earlier in this report, **existing areas of service delivery** have also been assessed and areas identified where there is a need for additional investment to deliver council priorities, to ensure budgets are prudent and to protect vulnerable people. The specific allocations are as follows;
- Contractual price increases **£800k** – set aside for unavoidable contractual price increases in 2016/17, such as energy costs, concessionary fares and adult social care.
 - Community Safety Hub Officers **£234k** – to fund officers to cover additional enforcement around dog fouling, street drinking, licensing infringement, noise enforcement and a reactive service for Street Services to deal with fly-tipping, graffiti, litter and weeds.
 - Local List **£5k** – to support the completion of York's Local List in 16/17, including administrative and officer support for the newly established Local List sub-group of the York Environment Forum.
 - Neighbourhood Plan Assistance **£33k** – direct funding support to communities who wish to develop a Neighbourhood Plan.
 - Children's social care **£1,930k** - although significant work has been undertaken in this area to address budget pressures, the children looked after (CLA) budget requires investment to align budgets to

actual spend as identified on the budget monitoring report elsewhere on this agenda.

- Mental Health Services **£100k** – additional investment in mental health services.
- Adult social care **£788k**- budget pressures identified in 2015/16 require further investment in this area, as identified in the budget monitoring report elsewhere on this agenda. Haisthorpe House residential home requires additional investment of £388k to ensure adequate standards for vulnerable residents. The Whittlestone legal judgement has resulted in a £400k projected increase in costs in supported living schemes.

44. There is no growth this year in respect of the impact of the capital programme. The overall growth in the capital programme proposed, combined with low interest rates, and the updated capital programme position, means that a reduction of £250k is proposed as a corporate saving.

One off Investment

45. In addition to the ongoing expenditure pressures set out above one off growth totalling £480k is required. This will be funded from New Homes Bonus grant.

- Local Plan **£350k** - Work on the Local Plan will be ongoing in 2016/17 and therefore additional budget of £350k is required to support delivery.
- Drainage – Strategic Flood Risk Assessment **£60k** – To comply with the national Planning Framework Policy a review and update is required.
- Increase in Contingency **£70k** – Due to potential costs arising due to flooding, and risks associated with adult care funding, it is appropriate to provide an increased contingency as a one off supplement for 16/17. This is critical in terms of the setting of a prudent budget. This will increase the contingency from £449k to £519k.

Expenditure Pressures Summary

46. The expenditure pressures described above are set out in the following table;

Expenditure Pressures	2016/17 £'000
Unavoidable cost increases, priority areas and creating capacity	
- Pay Costs	1,440
- Prices Contingency	800
- Business Improvement District	28
- Members Allowances	74
- Winter Maintenance	115
- Local List	5
- Neighbourhood Plan Assistance	33
- Community Safety Hub Officers	234
- Mental Health	100
15/16 Expenditure Pressures	
- Children's Social Care	1,930
- Adult Social Care	788
One off Investment	
- Local Plan	350
- Drainage	60
- Contingency	70
Total Expenditure Changes	6,027

Table 1 – Summary of expenditure pressures

Grant Funding Changes

47. Table 2 shows the components that make up the Council's change in grant funding.

48. The first line of Table 2 shows the £6.049m reduction in SFA that the council will receive from central government as part of its continued programme of Local Government funding cuts. SFA comprises RSG and a business rates baseline. The 2016/17 figures can be assumed to be the final figure and is inclusive of a 2% RPI uplift in the business rates baseline.

49. The second line of Table 2 shows a further reduction in funding as a result of the Government's inclusion of some specific grants into the SFA settlement. This figure includes £787k Council Tax Freeze grant and £1.1m Care Act Funding, which is now included in the SFA settlement in 2016/17.
50. The third line of Table 2 shows the loss in other specific grants. The most significant reduction in specific grants will be applied to Public Health Grant, estimated at £600k. There is a reduction of £268k to Education Services Grant which funds central services provided to schools. In total, specific grants are estimated to reduce by £868k in 2016/17.
51. In summary, for 2016/17 the council has reduced grant funding available of £8,844k compared to that received in 2015/16.

Funding Changes	2016/17 £'000
- Reduction in SFA	6,049
- Reduction in SFA - inclusion of specific grants	1,927
- Reduction in specific grants	868
Net Funding Changes	8,844

Table 2 – Grant Funding changes

Council Tax Funding Changes

52. Table 3 shows the net changes to council tax funding.
53. The first line in Table 3 shows the 3% increase in council tax which will generate additional income of £2.2m on the existing taxbase.
54. A further £2.2m council tax is generated due to an increase in taxbase as shown in the second line of Table 3. The taxbase is calculated by the Director of CBSS each year and represents the total number of Band D equivalent properties in the city. In 2016/17, this has grown by approximately 1,800 properties due to a number of factors including new homes and changing patterns in the number and types of discounts taxpayers are able to receive or apply for.
55. The third line is the collection fund surplus from 2015/16 of £1.633m, relating to council tax. The council tax collection fund surplus for the full year 2015/16 is estimated on 15 January 2016, based on current year actual figures. The surplus is a result of an increase in taxbase,

compared to estimates made last year. The collection fund surplus is only available as one off funding.

56. In summary the Table 3 shows an estimated £6.0m additional income from Council Tax in 2016/17.

	2016/17
Council Tax	£'000
- 3% increase in charge	-2,182
- Increase in taxbase	-2,154
- Collection Fund Surplus	-1,633
Net Council Tax Changes	-5,969

Table 3 – Council Tax Funding changes

Business Rates Income

57. Table 4 shows £1m retained income from the localisation of business rates, based on estimated growth in 2016/17. Members are reminded that of every pound of business rates growth, the council only keeps c.25.5p after shares have been paid to Central Government and the Leeds City Region business rates pool.
58. The Government have confirmed that Council's will be able to keep a greater share of Business Rates in the future, although this does not come into effect until after 2016/17. This is covered in further detail later in the report.

	2016/17
Business Rates Income	£'000
- Business Rates Growth	-1,000
Change in income	-1,000

Table 4 –Changes in Business Rates Income

Savings Proposals

59. Directorates have identified over £6.2m to contribute towards the 2016/17 savings target in addition to a corporate saving of £250k. These proposals, outlined in annex 2, include increases in income, reductions in administration costs and removal of vacant posts.

60. The savings proposals included in annex 2 provide the details of the 2016/17 impact totalling £6.5m, which in some cases is a part year effect. The second column (17/18 impact) includes the remaining saving to be achieved based on the acceptance of savings proposals recommended in this budget. The Total savings column highlights the cumulative saving over years 2016/17 to 2017/18 for savings proposals approved in this budget.
61. Table 5 summarises the 2016/17 savings to be delivered by each directorate and corporate services.

Savings	2016/17 £'000
- Children's Services, Education and Skills	-1,315
- City and Environmental Services	-559
- Communities and Neighbourhoods	-1,518
- Customer and Business Support Services	-1,406
- Adult Social Care	-1,135
- Office of the Chief Executive	-300
- Corporate	-250
Total Savings Changes	-6,483

Table 5 –2016/17 Savings Proposals

New Homes Bonus (NHB) Grant

62. The New Homes Bonus was introduced to provide an incentive for local authorities to encourage housing growth in their areas. NHB funding is currently provided over a 6 year period and is not ring fenced.
63. A further round of funding was announced in December 2015, totalling £1,030k per annum. The total funding available in 2016/17 is £4.6m. £3.2m of NHB funding is already allocated as determined by previous Council decisions. These are set out in Table 6 below.
64. There is a £1.9m contribution to various schemes within the EIF programme. There are no further allocations to the EIF programme in 2017/18.
65. An allocation of £1.3m was agreed by Council in July 2015 to fund budget amendments. This included ensuring there was no further charging for green bins and increased investment in community centres

and ward grants. The majority of this funding will be required on an ongoing basis. Council have also previously approved a sum of £1.5m over a 5 year period towards support for Yearsley Pool, however this will not be required in 2016/17.

66. It is proposed that a further £1.349m of NHB funding will be used to fund ongoing expenditure in 2016/17. The remaining £70k is allocated to fund a one off increase in contingency. This will be used to fund the cost of the flood enquiry and other unbudgeted costs arising from flood related issues. Further details of the contingency budget are provided in paragraphs 88 and 89.
67. As set out in paragraph 95, consultation is currently underway to change the operation of New Homes Bonus funding from 2017/18. Should the operation or value of NHB grant change significantly, the funding of ongoing expenditure will be subject to further consideration. Any such change is likely to be implemented alongside other changes, such as a greater retention of business rates.

New Homes Bonus	£'000
- Total available 2016/17	4,648
- Previous Council Decisions	
Funding EIF schemes	-1,865
July 2015 Budget Amendments	-1,364
- Allocated in this budget (ongoing expenditure)	-1,349
- Allocated in this budget (one off)	-70
NHB remaining	0

Table 6 – New Homes Bonus Funding

Net Budget Composition

68. Taking into account funding changes summarised in Table 2 and 3, Table 7 below summarises the funding available from council tax, government funding and business rates for 2016/17.

	2016/17 £'000
Council Tax	77,072
Collection Fund Surplus	1,633
RSG	14,892
Business Rates Baseline	24,303
Total Net Budget	117,900

Table 7 – Net budget composition for 2016/17

Summary of Budget Changes

69. The following table shows the budget position after taking account of the expenditure and funding changes outlined.

Summary	2016/17 £'000
Total expenditure pressures (Table 1)	6,027
Total net funding changes (Table 2)	8,844
Total changes in council tax (Table 3)	-5,969
Total changes in other income (Table 4)	-1,000
Total savings and income generation (Table 5)	-6,483
New Homes Bonus funding (Table 6)	-1,349
New Homes Bonus funding (Table 6)	-70
Budget gap	0

Table 8 – Budget position summary

Fees and charges

70. Detailed proposals for any changes to fees and charges are attached at annex 4. The proposals have taken account of such factors as current consumer price indices, possible impact on customer numbers, knowledge of business and current market conditions and benchmarking exercises. Any increased income from this review of charges is included within the overall list of savings attached at annex 2.

71. One of the major areas of income generated is from car parking fees and charges. Car parking charges for off street and on street parking are, in the main, being frozen. It should be noted that there is a proposed fee increase for parking scratchcard provision to hotels to bring the charge more in line with general parking charges, although still at a competitive price to avoid a detrimental impact on hoteliers.

Council Tax and the Collection Fund

72. The council tax referendum limit remains at 2%. Local authorities with responsibilities for adult social care have been given the flexibility to charge a further 2% in addition to the 2% referendum threshold. The additional 2% must be used entirely to fund adult social care.

73. Should local authorities decide to take up the offer to charge the adult social care precept they are required to provide certain information to the government and undertake a number of actions.

74. There will not be a Council Tax Freeze Grant available in 2016/17. Council Tax freeze grant relating to 2015/16 is now included in the SFA.

75. The existing components of the current (2015/16) band D council tax for a CYC resident are shown in Table 9 below. It should be noted that these figures exclude parish precepts which are an additional charge in some areas.

	£
City of York Council	1,165.54
North Yorkshire Police Authority	212.77
North Yorkshire Fire Authority	64.59
TOTAL	1,442.90

Table 9 - Make Up of 2015/16 Council Tax

76. As referred to earlier in this report, the recommendation made in these papers is that from April 2016 the CYC element of the council tax will increase by 3%. This includes a 2% element relating to the social care precept will be used entirely to fund adult social care.

77. The collection fund is the ring-fenced account where all council tax is credited. This account can either be in surplus or deficit at the year-end, depending on whether the authority has managed to collect more or less than it originally anticipated and the growth in property numbers. This year, the CYC element of the council tax surplus is estimated to be £1.633m and this is included in the budget assumptions.

Precepts

78. In addition to the council tax to be charged by the City of York, the overall charge must include the precepts from the North Yorkshire Police, Fire Authority and parish councils. Due to the timing of this report these precepts are not yet available but will be included in the report which is considered by full Council on 25 February.
79. Table 10 demonstrates both the cash and percentage increase in 2015/16 for these which resulted in a total band D council tax for a York property of £1,442.90.

	2014/15 Charge (£)	2015/16		
		Increase (£)	Increase (%)	Council Tax (£)
CYC	1,165.54	0.00	0%	1,165.54
Police	208.62	4.15	1.99%	212.77
Fire	63.33	1.26	1.99%	64.59
Total	1,437.49	5.41	0.38%	1,442.90

Table 10 – Headline 2015/16 Council Tax Figures for City of York Area

80. There are 31 parish councils within the City of York Council area. It should be noted that the council will provide each parish with a support grant to ensure that they do not experience any loss on their equivalent funding as a result of changes due to the localisation of council tax support.

National Non Domestic Rates (NNDR)

81. In April 2015 the two NNDR multipliers were 49.3p in the pound for normal properties and 48.0p in the pound for smaller properties (based upon the total rateable values of all properties held by a single owner). It has been provisionally announced that in April 2016 the multipliers will increase to 49.7p and 48.4p (by 0.8%) respectively.
82. The council is projecting provisional business rates income in 2016/17 of £102.649m, as well as retained growth of £1m above its business rates baseline.

Leeds City Region (LCR) Pool

83. The Business Rates Retention scheme allows groups of authorities to join together to form business rates pools. Pooling allows groups of 'tariff' and 'top-up' authorities to gain financial advantage by enabling levy payments to be paid to the pool rather than central government. City of York Council will continue its membership of the Leeds City Region Business Rates pool in 2016/17.
84. The estimated amount available for distribution from 2015/16 growth is £4.1m which is expected to be used to support Economic Development projects. It should be noted that under proposals for local authorities to retain a greater proportion of business rates, the benefits of remaining in a regional pool may be significantly reduced.

Reserves and Contingency

85. Table 11 shows the position on the general fund reserve which, it is anticipated, will be £6.896m by the end of 2015/16. The projected reserves at the end of 2015/16 are based on the assumption that Members agree no usage of reserves in 2015/16 as part of the final recommendations to Council. It should be noted that the figures below also assume that there will be no requirement to fund an overspend against the 2015/16 budget.

	2015/16 Projected Out-turn £'000	2016/17 Budget £'000
General Reserve at start of year	6,896	6,896
In Year use of reserves	0	0
General Reserve at end of year	6,896	6,896
Prudent minimum reserves	6,400	6,400
Headroom (+)/Shortfall (-) in Reserves	496	496

Table 11 – Projected General Reserves

86. In line with best practice, the council has undertaken a review of risks and known commitments in order to determine its minimum general reserve level. In considering this, it has been determined by the Director of CBSS that a level of £6.4m remains an appropriate figure. However in light of the risks facing the council, in particular the scale of future reductions on top of those already made, it is considered that headroom should remain above the minimum level. This would then allow, if

needed, a draw on reserves without the immediate breach of the minimum level. If reserves were maintained at minimum levels, any use would immediately require the restatement back to minimum in the following year.

87. Taking the above reductions into account, the budgeted level of reserves with £496k headroom above the minimum would be acceptable. This will maintain an element of flexibility which is essential in ensuring prudent financial management.
88. In addition to general fund reserves, the budget includes a £449k general contingency. In recent years this has always been required.
89. As mentioned earlier in the report, due to potential costs arising due to flooding, and risks associated with adult care funding, it is appropriate to provide an increased contingency as a one off supplement for 16/17. This is critical in terms of the setting of a prudent budget. This will increase the contingency budget from £449k to £519k.

Medium term planning

Comprehensive Spending Review (CSR) 2015

90. The CSR 2015 was announced on 25 November which set out government spending plans for the length of this parliament. The key issues are set out below.
91. The government confirmed their commitment to achieve a national surplus position by 2019/20. As expected this will result in funding reductions for local government over the next 4 years.
92. The CSR confirmed that Revenue Support Grant (RSG) will be phased out by 2019/20 and will be replaced by a system which allows local government to retain 100% of business rates; although a system of tariffs and top ups will remain. Councils will have the power to reduce business rates to boost growth or give elected city region mayors the power to levy a premium on business rates to fund infrastructure projects. This devolved system will be in place by 2019/20 but it is not yet known when this will come into effect or how it will operate. Consultation will take place with local authorities in Summer 2016.
93. As part of the funding reform, additional responsibilities will transfer to local government, potentially the administration of housing benefits for pensioners and funding of public health. The announcement to allow council's greater flexibility in council tax increases as covered in

paragraph 72 will provide greater freedom to address ongoing pressures in adult social care.

94. Additional funding will be available for the Better Care Fund (BCF) by 2019/20 which should increase budget available for adult social care.
95. Consultation is currently underway to change the operation of New Homes Bonus (NHB) funding from 2017/18. Funding may reduce from a 6 year to a 4 year period and may also be linked to delivery of a Local Plan. The expectation is that there will be a reduction in NHB of at least £800m nationally to fund social care.
96. Local authorities will have the flexibility to spend capital receipts (excluding Right to Buy receipts) from asset sales on the revenue costs of reform projects, subject to certain conditions.

Provisional Settlement

97. On 17 December the provisional local government settlement was announced which provides provisional figures over the 4 year period from 2016/17.
98. Under the current process the government will confirm the 2016/17 figures in early February 2016 and the subsequent years figures remain provisional and are subject to change the following year. In an attempt to improve stability and aid medium term planning the government have offered councils that wish to take it up a 4 year funding settlement if they publish an efficiency plan. However, it is possible that these funding determinations may still be subject to change when the final settlement is announced each year. This initiative is currently under consultation.
99. The provisional 4 year settlement indicates a reduction of £19m in SFA over the 4 year period to 2019/20. Until further details emerge in relation to business rates devolution and additional burdens it is difficult to put this figure into context. The scale of savings that will be required in the future will be driven by government funding reductions and the outcomes of the devolution agenda, alongside the extent to which spending pressures affect the council.

100. Table 12 below sets out the provisional settlement from 2016/17 to 2019/20.

	16/17 £m	17/18 £m	18/19 £m	19/20 £m
RSG	14.892	8.580	4.934	1.947
Business Rates Baseline	24.303	24.781	25.512	26.327
Total SFA	39.195	33.360	30.446	28.274

Table 12 – Provisional Settlement figures

Four Year Strategy and Approach to Savings

101. Other factors that will affect the council will include potential increased costs in elderly care, inflationary pressures, implications of the capital programme and the thresholds to increase council tax.

102. By 2019/20, the Council will be self funded from council tax and business rates. Therefore, it is critical that the Council continues to support Economic growth, recognising the significant financial benefits in the form of retained business rates, and creation of jobs.

103. What is clear however is that further savings will need to be found, as further reductions in overall funding are inevitable. Estimated savings required are in the region of £23m over the period from 2016/17 to 2019/20.

104. The financial planning process has considered the scale of the challenge over the next 4 years, and services have been reviewing opportunities for changing the delivery of services

105. Annex 3 sets out the strategic direction towards achievement of savings proposals for each directorate over the 4 year period from 2016/17 to 2019/20. This includes the directorate approach to protecting priority areas and the type of savings or efficiencies under consideration for the medium term.

106. Specific details of future years (2017/18 onwards) savings proposals will be covered in future budget reports.

Housing Revenue Account (HRA)

Budget

107. Local Authorities are required, by legislation, to keep a HRA. The Local Government and Housing Act 1989 stated that items of income and expenditure only relating to council housing must be contained within the account. Authorities have a duty to ensure that the HRA balances, to keep the budget under review and to take all reasonable steps to avoid a deficit.
108. The HRA budget at annex 5 results in an in-year surplus of £3,683k. Together with the budgeted brought forward working balance of £17,152k this leaves a working balance of £20,835k on the account. This balance is in line with that forecast in the HRA business plan and is committed towards the repayment of the debt allocation taken on through self-financing. The longer term forecast for the HRA is considered elsewhere on the agenda in the HRA Business Plan report.
109. In order to manage the HRA with the reduced levels of income as a result of the rent decreases for the next four years and the increased levels of sales forecast, cost savings totalling £1.5m have been identified. The savings to be achieved in 2016/17 total £560k are detailed in annex 6 of the report.

Rent Increase 2016/17

110. Since April 2002, the rent increase has been calculated with the key aim of converging rents across all social housing providers whether local authority landlord or other registered provider. This involved a phased change in rents, known as rent restructuring, based on a formula for rent setting created by central government. This government formula rent took account of various factors including the number of bedrooms a property has, property valuation, average earnings and the date at which all rents were expected to converge.
111. Central government policy has now changed and rent restructuring has been brought to an end. The subsequent policy of increasing rents by the Consumer Prices Index (CPI) + 1% that was applied for last year's increase was due to apply for ten years but in July 2015 further changes to social rents were announced in the Welfare Reform and Work Bill 2015. All social housing rents are required to be reduced by 1% for the next four years.
112. The expected effect on rent levels over the next 4 years is shown in table 13 below.

Year	Estimated Average Rent Per week	Estimated Average Decrease per week
2016/17	£79.80	£0.81
2017/18	£79.00	£0.80
2018/19	£78.21	£0.79
2019/20	£77.43	£0.78

Table 13 – HRA Rent decreases

113. All rents that do not fall within the definition of “social housing rents” for the purposes of the Welfare Reform and Work Bill 2015 will have the previous policy applied of increasing by CPI + 1% which will be an increase of 0.9%. This will include Gypsy, Roma and Traveller Community sites, garages and cookers, as well as any supported housing that is exempt from the rent reduction legislation.

Dedicated Schools Grant (DSG) and the schools budget

114. The DSG is ring-fenced for funding the provision of education for pupils in schools (maintained, PRUs, PVI nurseries or externally purchased places). As such it covers funding delegated to individual LA maintained schools, academies and PVI providers through the LMS & Early Years Funding Formula, plus funding for other pupil provision which is retained centrally by the LA (e.g. SEN, Behaviour Support, Home & Hospital Tuition, School Contingencies etc.). It is distributed according to a formula that guarantees a minimum per pupil increase for each LA (0% for York in 2016/17).

115. The LA by itself cannot use the DSG for any purpose other than schools block funding, although with the permission of the York Schools Forum limited contributions are being made to the following areas:

- Combined budgets supporting ‘statutory children’s specialist services’ objectives where there is a clear educational benefit.
- Prudential Borrowing, where overall net savings to the Schools Budget have been demonstrated.
- Some SEN transport costs, again only where there is a net Schools Budget saving.

116. There are also strict limits (Central Expenditure Limits) on the amount of the DSG that the LA can retain centrally to either fund pupil costs outside

of mainstream schools, or use to provide targeted allocations during the financial year to maintained schools. The recent funding reform changes have tightened these regulations, continuing to reduce LA flexibility.

117. To some degree the government has attempted to protect schools from the full effect of their spending reductions when compared to other parts of the public sector, and the remainder of local government services in particular. The key features of the Schools Settlement for 2016/17 are:

- Another one-year only settlement for 2016/17.
- Only a small number of minor additional changes to the system of allocating funding to schools and other providers (for both mainstream and high needs pupils) as part of the journey towards a full national funding formula for schools.
- A continued flat cash per pupil allocation for York's entire core school funding.
- A minimum funding guarantee of -1.5% per pupil for school formula funding

Schools Budget Projection for 2016/17

118. A summary of the overall schools budget position is shown in Table 14 below. The Schools Budget proposals have been consulted on with the York Schools Forum and endorsed by the forum at its meeting on 14 December 2015.

	£000
2015/16 Current Approved Budget	122,686
Provision for Pay Increases	+ 75
LA Centrally Retained Budget Efficiencies	- 75
LMS Funding Formula Requirements	+ 955
High Needs SEN & Alternative Provision	+ 258
2016/17 Budget Projection	123,899
Funding Available:	
Dedicated Schools Grant	113,338
EFA Post 16 Grants	5,567
Pupil Premium	4,994

DSG Balance b/f from 2015/16	Nil
2016/17 Total Estimated Available Funding	123,899

Table 14- Schools Budget Projection for 2016/17

119. The £75k provision for pay increases relates to centrally employed LA staff only. This will be funded by a corresponding efficiency savings requirement within central DSG funded services, resulting in no net impact on the level of funding available to support expenditure on pupils in schools and other settings.
120. The additional budget of £955k required to support the LMS Funding Formula allocations to schools reflects an increase in pupil numbers of 258fte (mainly in primary schools). This increase has also enabled the Age Weighted Pupil Unit (AWPU) funding values to be increased by 1% for all key stages. For 2016/17 the Minimum Funding Guarantee (MFG) per pupil has been set at -1.5%, with the cap on gains (to help fund the MFG) being set at +1.5% per pupil.
121. Additional funding of £258k is required in 2016/17 to support increased demands for expenditure on high needs SEN pupils. This reflects a general increase in numbers, increasing autism diagnoses and further pressures following the transfer of responsibility for post 16 SEN funding to the LA in 2013.

Funding Available within the DSG

122. The funding available includes the estimated 2016/17 DSG allocation of £113,338k, the existing allocation of funding for post 16 pupils from the EFA of £5,567k and the estimated level of the pupil premium for York schools of £4,994k. Table 15 sets out the latest estimate of the DSG for 2016/17.

	2015/16	2016/17
5-16 Year Old Pupil Numbers	21,680	21,941
DSG Per 5-16 Year Old Pupil	£4,201.73	£4,201.83
5-16 Year Old Allocation	£91.094m	£92.192m
3&4 Year Old Early Years Pupil Numbers	1,608	1,608
DSG Per 3&4 Year Old Early Years Pupil	£3,443.79	£3,443.79
3&4 Year Old Early Years Allocation	£5.538m	£5.538m

2 Year Old Early Years Pupil Numbers	207	207
DSG Per 2 Year Old Early Years Pupil	£4,607.50	£4,607.50
2 Year Old Early Years Allocation	£0.954m	£0.954m
New Early Years Pupil Premium	£0.103m	£0.103m
High Needs Allocation	£14.213m	£14.519m
NQT Induction Transfer	£0.033m	£0.032m
Estimated DSG Total for 2015/16	£111.935m	£113.338m

Table 15 – Estimated DSG Funding 2016/17

Impact assessment of the 2015/16 budget proposals

123. The budget aims to tackle a variety of issues. Clearly it aims to be prudent and to set medium term plans which are set out in the report. However, a financial plan is also about how resources are allocated and what impact that allocation has upon a range of issues. The following sections explore the consultation feedback and the equalities impact.

Feedback from Consultation

124. An integral part of the development of the financial strategy has been to undertake engagement with a diverse range of stakeholders. Our approach of discrete consultation streams delivering specific and relevant feedback on budget priorities has ensured that decisions on the strategy have been informed by the views of key groups across the community.

Scrutiny

125. In accordance with constitutional practice Corporate Scrutiny and Management Policy Scrutiny Committee considered at its meeting on 11 January 2016 what level of budget it considered appropriate in the coming year to support scrutiny reviews. The Committee took into account existing levels of spend in 2015/16 and the councils overall financial position. In the light of those considerations the Committee agreed to maintain the current funding level of £5k and not request any increase.

Equalities

126. A communities impact assessment (CIA) has been completed on the overall impact of the budget proposals and this is available at annex 7.

The impact assessment considers risks associated with savings proposals to ensure any negative impact for a particular group, sector or community is eliminated or counterbalanced. Where a screening of the potential implications has identified it appropriate, a full CIA will be completed for individual proposals.

127. The financial strategy will impact on all residents and has carefully considered the local demand for services whilst also ensuring the budget set is prudent, protects vulnerable people and has capacity to invest. The strategy could have a negative impact on the following communities;

- Age
- Disability
- Carers

128. This negative impact can be mitigated by investment targeted to these same communities. The key approaches to achieving savings whilst avoiding impacts on communities of identity include;

- Ensuring that savings are made from back office functions and universal services
- Protecting statutory services and other key services for vulnerable residents
- Increasing community involvement in service redesign and delivery
- Making services self-financing wherever practicable, including external trading
- Maximising the return from externalised service provision
- Redesign of existing services and external contracts
- Placing a focus on prevention and ceasing service provision only where this is least impact
- Streamlining services to provide focussed support and reduce areas of duplication
- Supporting carers
- Integrated working with health
- Focussing growth where it is expected to have a positive effect on older or disabled people and their carers

129. By reviewing and reshaping services for young people, particularly those in relation to prevention and early intervention, the route into identifying support will be made simpler for customers and the services more tailored to the needs to each community. This will have a positive impact on young people and promote equality of opportunity for those growing up in the city.

130. Funding for carers will continue with a project starting in May 2016 to provide more comprehensive set of support, reflecting the significant role of carers in allowing people to remain in their own homes and live independently as far as possible.
131. The changes within a new operating model for adult social care seek to reduce people's dependency on social care support through the provision of information and advice and earlier intervention to support, maintain or regain independence for those who are able. These changes are designed improve outcomes for customers, including those with one or more protected characteristic (particularly Age and Disability). For those who require ongoing support, the offer will be made more flexible and tailored to their needs.

Specialist Implications

132. This report has the following implications;

Financial

133. The financial implications are contained within the body of the report.

Human Resources (HR)

134. The council currently employs 2,800 non school staff. The budget proposals which are contained within this report highlight the likely reduction of 93 FTE posts in 2016/17. However based on the experience of previous years to achieve budget reductions of this scale is likely to mean that this figure is exceeded.
135. As implementation plans to achieve these post reductions are produced the specific staffing implications will be clear and staff consulted on the proposals. The type of change affecting staff in 2016/17 is likely to be a mixture of post reductions and working for redesigned services, some of which may no longer be delivered by the council.
136. The HR implications of change are managed in accordance with established council procedures. As part of this process consultation with trade unions and affected staff will continue to be undertaken and every opportunity will be explored to mitigate compulsory redundancies, such as vacancy controls, flexible working, voluntary redundancy / early retirement and extended redeployment. Where consideration is being given to the transfer of services to another provider TUPE will apply which will protect the terms and conditions of employment of transferring staff.

137. A programme of support for staff who are going through change is in place which will help staff adapt to changes to the way they will need to work or to prepare for a move into a new role.

Legal

138. The Council is required to set a council tax for 2016/17 before 11 March 2016. It may not be set before all major precepts (i.e. precepts from the Police and Fire Authorities) have been issued or before 1st March 2016, whichever is the earlier. This decision is reserved to Council and cannot be taken by Executive or delegated to officers, although Executive has to recommend a budget to the Council. These comments are intended to apply to both the Executive meeting and the subsequent Council meeting.

139. Before determining the level of the tax, the Council must estimate its proposed revenue expenditure, taking into account amounts required by way of contingency, any need to raise reserves and any other amounts which the Council is legally required to transfer between funds. It must also estimate its anticipated income, any relevant transfer between funds and any proposed use of reserves. It must then calculate the difference between the two which is the council tax requirement.

140. The Council's Chief Financial Officer (under s151 Local Government Act 1972) is required to report to the Council on the robustness of the estimates made for the purposes of the calculations, and the adequacy of the proposed financial reserves. The Council must have regard to the report when making decisions about the calculations in connection with which it is made. The Chief Financial Officer has a statutory duty under section 114 of the Local Government Finance Act 1988 to issue a written report if he considers that a decision taken by the Council would be unlawful and likely to cause a financial deficiency.

141. In reaching decisions on these matters, Members are bound by the general principles of administrative law. Lawful discretions must not be abused or fettered and all relevant considerations must be taken into account. No irrelevant considerations may be taken into account, and any decision made must be one which only a reasonable authority, properly directing itself, could have reached. Members must also balance the interests of service users against those who contribute to the Council's finances. The resources available to the Council must be deployed to their best advantage. Members must also act prudently. Members must also bear in mind their other statutory duties to have regard to certain matters when making decisions. In particular the

“equalities duty” to have ‘due regard’ to the need to eliminate discrimination and to promote equality when making decisions and the need to consider any crime and disorder implications of the decision. A failure to follow these principles could open the Council to judicial review.

142. Members have a fiduciary duty to the council tax payers and others in the local authority’s area. This means that members must behave responsibly in agreeing the budget. Members have no authority to make anything other than a balanced budget.
143. Among the relevant considerations which Members must take into account in reaching their decisions are the views of business ratepayers and the advice of officers. The duty to consult representatives of non-domestic ratepayers on the Council’s expenditure plans is contained in Section 65 of the Local Government Finance Act 1992.
144. In considering the advice of officers, and the weight to be attached to that advice, Members should have regard to the personal duties placed upon the Director of Customer and Business Support Services as Chief Financial Officer. Members are obliged under the Code of Conduct to have regard to the advice of the Chief Finance Officer and Monitoring Officer. The Council may take decisions which are at variance with his advice, providing there are reasonable grounds to do so. However, Members may expose themselves to risk if they disregard clearly expressed advice, for example as to the level of provision required for contingencies, bad debts and future liabilities. In addition, if Members wish to re-instate savings recommended by the Director of Customer and Business Support Services in order to balance the budget, they must find equivalent savings elsewhere.
145. The Director of Customer and Business Support Services is required by Section 151 of the Local Government Act 1972 and by the Accounts and Audit (England) Regulations 2011 (as amended) to ensure that the council’s budgeting, financial management, and accounting practices meet relevant statutory and professional requirements. He is in addition subject to the requirements set out in paragraph 139 above.
146. Members must also have regard to, and be aware of, the wider duties placed upon the council by various statutes governing the conduct of its financial affairs. These include the distinction between revenue and capital expenditure and the requirement to set prudential indicators in line with capital investment plans that are prudent, affordable and sustainable.

147. Section 106 of the Local Government Finance Act 1992 makes it a criminal offence for any Member with arrears of council tax which have been outstanding for two months or more to attend any meeting at which a decision affecting the budget is to be made, unless the Member concerned declares at the outset of the meeting that he or she is in arrears and will not be voting on the decision for that reason. The Member concerned must not vote but may speak. The application of Section 106 of the 1992 Act is very wide and Members should be aware that the responsibility for ensuring that they act within the law at all times rests solely with the individual Member concerned.

Crime and Disorder

148. There are no crime and disorder implications to this report.

Information Technology (IT)

149. There are no information technology implications to this report.

Property

150. There are no property implications to this report.

Other

151. There are no other implications to this report.

Statutory Advice from the Director of Customer and Business Support Services/Comments

Introduction

152. The Local Government Act 2003 places responsibilities upon the council's Chief Finance Officer to advise the council on the adequacy of its **reserves** and **the robustness of the budget proposals** including the estimates contained in this document. This section also addresses the **key risks** facing the council in relation to current and future budget provision. The following paragraphs give my views on the budget (both 2016/17 and beyond), reserves and general robustness of the process.

Overall Assessment

153. The proposals in this budget give a balanced budget for 2016/17 and an overview of future years. The council has well established effective financial management, effective monitoring, and has received very favourable external audit reports in respect of its financial management.

The council has managed expenditure within its overall budget in recent years, and the overall financial planning process remains sound.

154. Full scrutiny of the budget proposals for 2016/17 has taken place, in terms of their deliverability, and a proper risk assessment of a range of issues has been conducted.
155. There are significant savings contained within the budget proposals, reflecting the scale of the challenge facing the council. There should be no understatement of the scale of this challenge, both in terms of next year and beyond. Clearly, there are risks in the achievement of some of the proposed savings and, in assessing the risk of the savings proposed, I cannot guarantee that every single proposal will be achieved. I do however consider the overall package to be prudent, and I am assured of the robustness of the projected savings, and the extent of rigour in their calculation. They do however represent a major challenge to deliver, one that will only be achieved through full commitment across the organisation. Very careful monitoring of the progress of the savings programme will be essential. A risk assessment related to the individual savings proposals has been conducted, and discussed with senior management. Where savings are not delivered, services are fully aware of the need to find compensating savings.
156. I consider that the overall estimates in the budget are sound and that the proposals to achieve a balanced budget are achievable, albeit demanding. The council has made provision for a number of corporate financial pressures. In addition provision is included for a contingency sum of £519k, and I consider this an important factor in the overall budget assessment. This overall package is a realistic approach in dealing with the financial pressures facing the council next year. In addition the major financial pressures being experienced during 2015/16 have been addressed through significant additional investment provided for Adult Social Care and Children's Social Care. There is provision made for the estimated 1.0% pay award.

Looking Ahead

157. Looking ahead there remains a range of very significant pressures for the future. It is almost certain that there will be further reductions in government funding, and the major challenge facing the council in coming years will be to secure further savings and for cost pressures to be managed effectively. In doing so, the council will also need to provide capacity for additional investment in unavoidable costs and priorities.

158. In previous years the Council has set a two year budget, which has significantly aided in terms of long term planning. Last year's budget was for one year only. The proposals in this report set out details for next year, but also set out the strategic direction, and key issues facing services for the three years following. There has been significant consideration of the medium terms planning issues, and I am entirely satisfied with the extent to which the Council is aware of the challenges it faces, and the actions it will need to consider over coming years.

Reserves

159. In terms of reserves, the proposals seek to keep reserves to an amount of £496k above their minimum levels. This recognises that in difficult financial times, and alongside general uncertainty regarding the economy, it is advisable to ensure sufficient reserves are in place.

160. I believe that the council will come in on budget for 2015/16 and this is reflected in the budget monitoring report presented to Executive at this same Executive meeting.

161. The recommended minimum reserves for 2016/17 are £6.4m. This is considered within the report. I strongly advise Council to ensure there is some headroom between minimum reserves and actual reserves. The budget proposals seek to achieve this.

162. The decision on the adequacy of the level of reserves is linked to the general robustness of the budget process and the council's systems of budgetary control and risk management. These need to ensure that the Council will not be exposed to any unforeseen major financial problem requiring the use of reserves to resolve. In considering the overall budget position, I have taken assurance over the recent track record of the Council to manage expenditure within budget, and the fact that in very recent times financial pressures have been identified early in the financial year and through concerted action across the council the position has been brought in line with budget.

Other Issues

163. The council tax referendum limit remains at 2% but local authorities with responsibilities for adult social care will be given an additional 2% flexibility on the current council tax referendum threshold to be used entirely for adult social care. Council Tax Freeze Grant is not available in 2016/17. Council Tax freeze grant relating to 2015/16 is now included in the SFA.

164. It is for members to determine the level of council tax increase, and to decide whether to set a council tax increase up to the 2% referendum limit or to take advantage of the government offer to set a tax at a higher level to be used for adult social care. Members naturally need to consider the implications of the different options very carefully.
165. I also would highlight the separate capital strategy report, and the issues that are set out within that. I would stress however that the overall balance in terms of capital investment, levels of borrowing, and revenue implications (and the impact on revenue expenditure) is something that is for Members to determine.
166. There is the potential for significant changes to the system of local government finance in coming years. Changes may occur in particular to New Homes Bonus, and to Business Rates. The operational details of the recent announcement on the devolution of the business rates system still need to be determined by government, and there remain a number of areas that will need to be addressed before the full implications will be known.
167. I am aware that as with all budgets there is the potential for amendments to be proposed/agreed which could change the overall package of proposals. In that respect, I would highlight that I would amend/add to my statement if a decision was proposed that lead to the council's reserves falling below the minimum level (assuming the current budget comes in line with budget). In addition, any other amendments I would consider against the scale of the overall budget and depending upon the extent of the amendment I may revise my statement.

Risk Management

168. A summary of risks attached to the budget is contained in annex 8. They will be monitored regularly throughout the year.

Contact Details

Author:

Ian Floyd
Director of Customer and
Business Support Services

Chief Officer Responsible for the report:

Ian Floyd
Director of Customer and Business Support
Services

Debbie Mitchell
Finance Manager

**Report
Approved**



Date 3 February 2016

Sarah Kirby
Principal Accountant

Specialist Implications Officer(s)

Legal – Andy Docherty
HR – Mark Bennett

Wards Affected: List wards or tick box to indicate all

All

For further information please contact the authors of the report

Background Papers:

Budget Consultation available at www.yorkopendata.org

Annexes:

- 1 – 2016/17 Budget Summary**
- 2 – 2016/17 Savings Proposals**
- 3a – Adult Social Care 4 year Plan**
- 3b – Communities and Neighbourhood 4 year Plan**
- 3c – City and Environmental Services 4 year Plan**
- 3d – Customer and Business Support Services 4 year Plan**
- 3e – Children’s Services, Education and Skills 4 year Plan**
- 4 – Fees & Charges**
- 5 – HRA Budget 2016/17**
- 6 – HRA 2016/17 Savings Proposals**
- 7 – Communities Impact Assessment**
- 8 – Risk Analysis**
- 9 – Background Information**

Annex 1 Summary of 2016/17 Budget

	2016/17 £000's
<u>Expenditure</u>	
Net Expenditure Brought Forward	119,760
Deduct 2015/16 Expenditure funded from one off sources	(1,780)
Net Expenditure Brought Forward	117,980
Expenditure Pressures	
Unavoidable Cost Increases, Priority Areas and Creating Capacity:	
- Pay Costs	1,440
- Prices Contingency	800
- Business Improvement District (BID)	28
- Members Allowances	74
- Winter Maintenance	115
- Community Safety Hub Officers	234
- Local List	5
- Neighbourhood Plan Assistance	33
- Children's social care	1,930
- Mental Health	100
- Haisthorpe House	388
- Whittlestone Judgement	400
	5,547
One off Investment (funded by New Homes Bonus)	
- Local Plan	350
- Drainage - Strategic flood risk assessment	60
- Increase in contingency	70
	480
Total Expenditure Pressures	6,027
Expenditure Reductions:	
- Children's Services, Education and Skills	(1,315)
- City and Environmental Services	(559)
- Communities and Neighbourhoods	(1,518)
- Customer and Business Support Services	(1,406)
- Adult Social Care	(1,135)
- Office of the Chief Executive	(300)
- Corporate Savings	(250)
Total Expenditure Reductions	(6,483)

Changes in Income

- Losses in Specific Grants	868
- Specific Grants rolled into SFA	1,927
- Business Rates Retained Growth	(1,000)
Total Changes in Income	1,795

One off Income

- New Homes Bonus	(1,419)
-------------------	---------

Revised Projected Budget Requirement **117,900**

Funding**Funding Streams:**

- Council Tax	(77,072)
- Revenue Support Grant	(14,892)
- Business Rates	(24,303)
Projected Funding	(116,267)

One off Funding Streams:

- Collection Fund Surplus (funding ongoing budget)	(1,633)
	(1,633)

Total Funding **(117,900)**

Overall Funding Gap **0**

Annex 2 2016/17 Savings Proposals

Ref	Proposal Description	2016/17 Impact £'000	2017/18 Impact £'000	Total Saving Impact £'000
Communities and Neighbourhoods				
CAN1	Housing Options / Homelessness Reduce staffing levels within the Housing Options by 0.5fte in light of changes in demand patterns	15	0	15
CAN2	Housing Options / Homelessness Review policies and redesign operational delivery across the Housing Options Team	15	0	15
CAN3	Housing Options / Homelessness Reduction in SLA to Salvation Army following accommodation efficiencies	5	0	5
CAN4	Yorhome / Housing Association Stock Transfer management of Housing Association stock from HRA to General Fund alongside integration of management functions	40	5	45
CAN5	Empty Homes Seek to undertake work on behalf of other Local Authorities creating internal saving	20	10	30
CAN6	Private Sector Housing Review of enforcement policy providing in-house savings	15	0	15
CAN7	Private Sector Housing Proposal to fund one Occupational Therapist from Housing Revenue Account in regards to work undertaken on HRA properties	40	0	40
CAN8	Housing Development Charge Housing Development Manager to HRA following increase in workload related to new council house building programme	23	0	23
CAN9	Housing Commercial Properties Transfer HRA commercial properties into the General Fund. This will provide a net income to the General Fund.	200	14	214
CAN10	Crematorium Additional income anticipated following January 2016 2.5% fee increase	40	0	40
CAN11	Registrars Office Proposed staffing restructure to deliver operational savings	30	0	30
CAN12	Registrars Office Additional income anticipated following January 2016 2.5% fee increase	10	0	10
CAN13	Make It York Anticipated dividend in 2016/17 from Make it York	25	0	25
CAN14	Neighbourhood Working - Grounds Maintenance Reduction in Gardener roles within the Grounds Maintenance Service	72	80	152
CAN15	Neighbourhood Working - Management Rationalisation of Management roles across the overall service	29	27	56
CAN16	Neighbourhood Working - Trees Review the Tree service with savings targeted at 15%	25	0	25

Annex 2 2016/17 Savings Proposals

Ref	Proposal Description	2016/17 Impact £'000	2017/18 Impact £'000	Total Saving Impact £'000
CAN17	Neighbourhood Working - Allotments To work with the community to pass over administration of the service, allowing for the release of the requirement for an allotment officer (part year saving in 2016/17)	12	12	24
CAN18	York Learning Efficiencies across the service reducing the need for council subsidy	38	0	38
CAN19	Parking Services Working with City and Environmental Services - review parking operations to deliver efficiencies (part year saving 2016/17)	25	75	100
CAN21	York Theatre Royal As part of the capital budget it is proposed to make a one off capital payment of £760k to support the Theatre become more Commercial. Revenue support to the Theatre Royal is proposed to be withdrawn.	124	0	124
CAN22	Welcome to Yorkshire The continued funding of Welcome to Yorkshire from the Leeds City Region Business Rates Pool allows for a saving within the Directorate.	50	0	50
CAN23	Sexual Health Savings arising from newly commissioned service. The target saving is to reduce the budget by £448k by 2017/18.	400	48	448
CAN24	Substance Misuse - Drugs Targeted savings within drugs misuse service of 5% to be delivered prior to retendering for 2017/18.	100	150	250
CAN25	Substance Misuse - Alcohol Targeted savings within alcohol misuse service of 10% to be delivered prior to retendering for 2017/18	50	50	100
CAN26	Smoking Cessation Redesign of smoking cessation service bringing elements of the service in house to provide savings. The target saving is to reduce the budget by £100k by 2017/18.	50	50	100
CAN27	Dental Health Reduction in service to provide only the mandatory epidemiological survey. The target saving is to reduce the budget by £20k by 2017/18.	8	12	20
CAN28	Health Checks Improved targeting of the health check programme to focus the service on individuals who will benefit from the service	45	0	45
CAN29	Other Public Health Minor savings from project related budgets	12	0	12

Total Communities and Neighbourhoods	1,518	533	2,051
--------------------------------------	-------	-----	-------

Annex 2 2016/17 Savings Proposals

Ref	Proposal Description	2016/17 Impact £'000	2017/18 Impact £'000	Total Saving Impact £'000
City and Environmental Services				
CES1	Bus Subsidies Review of bus subsidies with target for two year reduction of £350k. Proposals are to rationalise subsidies on evenings , Sundays and also to withdraw support to the orbital service 20. Detailed proposals will be consulted on and contained within a future report.	200	150	350
CES2	Quality Bus Contract No formal contract is being proposed therefore budget can be withdrawn.	50	0	50
CES3	Transport Planning Reduction in staffing levels across the service area	60	0	60
CES4	Parking Income Respark charge to increase with the first car permit to increase by 3.2% Increase income from Contract Parking and increasing cost of Hotel Scratch-cards	55	0	55
CES5	Highway Regulation Additional income from fees and charges reducing the net cost of the service to the council.	45	25	70
CES6	Development Management Additional income anticipated from Government increase in planning charges	30	0	30
CES7	Building Control Additional income arising from increase in fees and charges	10	0	10
CES8	Land Charges Additional income arising from increase in fees and charges	14	0	14
CES9	Design & Conservation Reduction in overall capacity across the design and conservation function	45	0	45
CES10	Economic Development Efficiencies across remaining Economic Development budgets	50	0	50
Total City and Environmental Services		559	175	734

Annex 2 2016/17 Savings Proposals

Ref	Proposal Description	2016/17 Impact £'000	2017/18 Impact £'000	Total Saving Impact £'000
Adult Social Care				
ASC1	Residential Care Promote alternatives to residential care, such as extra care and community services, to support customers and reduce the number needing residential care by 10%, saving £101k over the next three years	34	34	68
ASC2	Nursing Care Promote alternatives to nursing care, such as residential and extra care support, as well as intervening earlier to prevent and delay people needing nursing care, reducing the percentage of customers needing nursing care by 10% and saving £467k over the next four years	78	156	234
ASC3	Community Support Improve reablement (intensive short term support) and increase the use of assistive technology to support customers to retain their independence without the need for ongoing support, or reduced support. The target is to reduce the volume of formal community support provided by 10% saving £696k over four years	116	232	348
ASC4	Transforming Care – Learning Disability customers Delivering innovative day support, accommodation and support solutions for learning disability customers in response to the Transforming Care agenda and the Winterbourne Concordat, bringing individuals back to the city from out of area. This will include the provision of a specialist activity base, developing supported living and implementation of Individual Service Funds (ISF) to encourage personalisation of care for these customers. The target is to reduce the cost of services by £1.575m over three years	672	472	1,144
ASC5	Transport of customers to services Reducing use of taxis and the fleet by working with individuals to support them to use public, voluntary and other forms of transport. The target is to reduce travel costs by £272k over four years	89	48	137
ASC6	Older Person's Homes residential care fees Increase weekly care home fees charged to 31 residents with means from £543 per week to £601 per week as the council moves towards recovering the full cost of the care it provides in its own homes.	68	23	91
ASC7	Small Day Services staffing Remodel staff group supporting those accessing in house day support	43	0	43
ASC8	Contracted Services Review current contracts and assist those providers where funding reduces/ceases to access other sources of income. The target is to reduce the cost to the council by £110k over two years	35	75	110

Annex 2 2016/17 Savings Proposals

Ref	Proposal Description	2016/17 Impact £'000	2017/18 Impact £'000	Total Saving Impact £'000
	Total Adult Social Care	1,135	1,040	2,175

Annex 2 2016/17 Savings Proposals

Ref	Proposal Description	2016/17 Impact £'000	2017/18 Impact £'000	Total Saving Impact £'000
-----	----------------------	-------------------------	-------------------------	------------------------------

Children's Services, Education and Skills

CSES1	Childcare Strategy / Business Management Team Restructure the team to focus on statutory duties related to childcare sufficiency	50	0	50
CSES2	Prevention and Early Intervention Services - New Operating Model Working with Schools and other organisations to develop a new place-based operating model which incorporates all current prevention and early intervention services for children, young people and families. Services in scope are Children's Centres, Children's Trust Unit, Children's Advice Team, Family Information Service, Family Focus, Parenting Support, Early Intervention Fund, Personal Support and Inclusion Services, Castlegate, Connexions, the Counselling Service, Youth and Community Development Team (in CANS). This saving is net of additional investment of £135k.	866	519	1,385
CSES3	Early Years Learning and Welfare Team Cease funding of this service from the General Fund. The Continuing Professional Development Programme and Quality Assurance Service would need to be commissioned by schools and settings using the remaining DSG budget of £147k (from September 2016).	56	96	152
CSES4	School And Business Support Services Team Restructure the service resulting in the deletion of a contract manager post	43	0	43
CSES5	Home to School Transport Implement the previously agreed withdrawal of bus transport to Manor School from September 2017. Explore a reduction in the number of vehicles in total by use of larger vehicles, review the use of passenger transport assistants / escorts for SEND children, provide more support to enable SEND children to travel independently, and increase the use of personal budgets to parents for their children's transport.	100	200	300
CSES6	Looked After Children Invest to Save project utilising funding already approved in the CSES capital programme to develop more specialised services in the city for the small cohort of young people with very high needs currently placed in high cost settings outside York.	150	200	350
CSES7	The Glen Respite Care Centre Develop an alternative new model of provision to provide targeted specialist care for children with the most complex needs, to support them to remain in the care of their own families. This could become a regional resource to generate income.	50	75	125

Total Children's Services, Education and Skills	1,315	1,090	2,405
---	-------	-------	-------

Annex 2 2016/17 Savings Proposals

Ref	Proposal Description	2016/17 Impact £'000	2017/18 Impact £'000	Total Saving Impact £'000
Customer and Business Support Services				
CBSS1	External use of West Office floor space to generate additional income With reduction of Council wide budgets over the next four years and a corresponding reduction in the workforce, it is estimated that within 4 years time one floor of West Offices will be available for rental to external partner organisations.	175	325	500
CBSS2	Increase the return of the commercial portfolio by: i) Consider establishing a wholly owned Commercial Development Company to develop CYC assets as commercial schemes, giving a long term revenue yield ii) Review of the commercial portfolio to dispose of less profitable assets and invest in higher yield assets The target is to generate significant additional income over the next 4 years.	125	125	250
CBSS3	Reduce management capacity across Facilities Management, Asset Management and Design Services Reduction of 1 fte	65	0	65
CBSS4	Internal Audit Reduction in fee Recharge of the Internal Audit time to the HRA and negotiate a reduction in audit fee and work	30	30	60
CBSS5	Finance and Procurement staff restructure General restructure of service and review of processes	210	0	210
CBSS6	Review of services across the Legal service area Increased income from charges to capital schemes/external work, reductions in staff (including likely reduction in solicitor posts), restructuring within the service, and general review of operational efficiencies	51	154	205
CBSS7	Information Governance General Efficiencies across a range of budgets	5	0	5
CBSS8	Election Services General Efficiencies across a range of budgets	5	0	5
CBSS9	ICT General Efficiencies General Efficiencies including: development and further expansion of a commissioning model, shared service opportunities, renewal of microsoft estate, application consolidation, reduction in support and maintenance contract levels and hours, reduction of service level agreement support hours and a review of print and mfd provision.	200	100	300
CBSS10	ICT Additional Income Increased income through external sales opportunities	75	25	100
CBSS11	York Financial Assistance Scheme (YFAS) Reduction of YFAS budget. Council have agreed to increase council tax support from 70% to 77.5%.	200	0	200

Annex 2 2016/17 Savings Proposals

Ref	Proposal Description	2016/17 Impact £'000	2017/18 Impact £'000	Total Saving Impact £'000
CBSS12	Health & Safety shared service with North Yorkshire County Council Initial sharing of H&S Manager with NYCC to be developed further. Option to develop a Shared Service via City of York Trading or independently, which could eventually become self funded from growth in commercial activity	47	0	47
CBSS13	HR Strategic Development and Directorate Support Stop in-house provision and buy in as and when required. Option to trade the advisory service within the public sector. Major restructure of HR Services focussed around the delivery of the org's priorities to create a core team. All non core or outside of SLA will be funded separately and the function resourced accordingly. The target is to reduce the overall budget by £290k.	100	190	290
CBSS14	HR Training and Workforce Delivery Unit (WDU) Change model of delivery to target a 50% reduction in staffing non-grant funded training budgets.	40	50	90
CBSS15	Business Support Services Staff Restructure Once digitalisation and consolidation has been completed and work embedded, further reviews can be conducted to drive out greater efficiencies. As more services are placed online and processes become more automated there will be a less of a need for admin support	78	22	100

1,406	1,021	2,427
-------	-------	-------

Office of the Chief Executive

OCE1	Office of the Chief Executive (OCE) Staff Restructure The abolition of the OCE directorate, resulting in a general restructure of service, review of processes and transfer of staff to other directorates. The target saving is £956k over 4 years.	300	200	500
------	--	-----	-----	-----

Corporate Services

CORP1	Treasury Management Reduced cost of borrowing	250	0	250
-------	---	-----	---	-----

Total 2016/17 Savings	6,483	4,059	10,542
------------------------------	-------	-------	--------

4 Year Financial Strategy - Adult Social Care

Introduction

1. Adult social care and health are facing significant challenges to make care and support sustainable for the future. A growing, ageing population with increasingly complex conditions are putting pressure on services.
2. The current model of delivery isn't sustainable. The first contact a customer usually has is when something has gone wrong leading to greater dependency on long term support such as home or residential care.
3. The department is developing a model which shifts the support from the end of the customer journey when a crisis point is reached to intervening earlier and, where possible, preventing it being reached in the first place.
4. The department will "invert the triangle" of the care and support model currently adopted by firstly looking at the capacity of the individual and their community to maintain their independence. Social Care services will be there once all other solutions have been tried. The model in broad terms is:
 - Stage 1 – Provide information and advice to customers to help them before they need Social Care. Develop communities to support the individuals living there. Provide advice to customers on changing their lifestyle to support them in retaining their independence
 - Stage 2 – Assist customers to maintain their independence. Encourage and expand use of technology and equipment (eg alarm response service)
 - Stage 3 – Provide short term intensive support (reablement) to customers to secure their independence. Work with Health to ensure both health and social care needs are addressed
 - Stage 4 – Encourage take up of personal budgets to allow customers to assess for themselves what they need to achieve their outcomes
 - Stage 5 – Provide support for those needing complex and long term packages of care

5. The new model places greater emphasis on preventative services and intervening early. The department will work with partners, communities and individuals to address issues about:
 - Social Isolation and loneliness
 - Preventing Falls
 - Older and vulnerable people's nutrition
 - Accessibility to their community with accessible and affordable transport options
 - Low level, practical support to maintain their households and independence
 - Supporting carers to maintain their caring role
6. A successful model will have responsive and supportive communities helping people remain independent, fulfilling their lives and reducing the need for social care intervention
7. The Government also announced in the settlement its intention to continue and expand health and social care integration using the Better Care Fund as its vehicle. The fund nationally will increase from £3.9bn in 2016/17 to £5.4bn by 2019/20.
8. The Better Care Fund in York is a £12.1m pooled budget between the Vale of York Clinical Commissioning Group (VoYCCG) and the Council which must have a plan to meet the following national conditions:
 - maintained social care provision
 - seven-day services provision to prevent unnecessary non-elective admissions
 - better data sharing
 - a joint approach to assessment and care planning
 - agreement on impact of changes to some providers
 - agreement to invest in out-of-hospital services
 - agreement on a local action plan to reduce delayed transfers of care.
9. The integration with health over the coming years will be a key driver in improving the support offered to residents currently and the council will have to work with key partners, such as the NHS and Public Health to make it successful. However, this ambition needs

to be set against the significant and mounting financial pressures in the VoY CCG, which may hamper progress.

Approach to Protecting Priority Areas

10. The Directorate has reviewed all service areas and some areas have been protected in 2016/17. Services will continue to be reviewed and any improvement to the benefit of the customers or users of the service will be considered. Protected services in 1617 include:
 - The supported employment workshops and offering customers work experience in other settings
 - Several commissioned contracted services offering a range of support as they are considered critical in delivering the early interventions and prevention approach
 - Early intervention and prevention contracts

Medium Term Efficiencies and Savings

11. Budget reductions over the next four years will rely on the successful implementation of the new operating model. The majority of the savings in 1617 will generate more savings over the following three years but there are other areas which will be reviewed and expected to deliver future savings.
12. Assessment and Care Management – The new operating model intends to reduce the volume of customers accessing social care and this will impact on the size of the assessment and care management function needed to support customers. Review in this area will also:
 - Simplify and standardise practice and process, sharing best practice where appropriate
 - Use technology to improve the productivity with which staff work
 - Encourage self assessment so customers can determine for themselves whether they are likely to be eligible for services
 - Explore opportunities for joint working with Health Colleagues where appropriate

13. The support to carers will be further developed. A project starting in May 2016 will improve the support the council offers carers. £150k will be invested from budget set aside for implementing the Care Act 2014. It is widely acknowledged that carers are a vital component in the health and social care economy and investing in support to carers has been shown nationally to generate savings in other care budgets
14. Savings will be generated from the approved Older Person's Accommodation Programme (OPAP) by re-providing the care and support currently given in our homes. Phase 1 is nearing completion in March 2016; although investment is needed in the early years to facilitate the programme, the annual budget saving should be in excess of £400k by 2019/20. Members will continue to receive reports at crucial decision points.
15. In house small day services will be reviewed and remodelled where appropriate to provide better outcomes for individuals attending these services.
16. Existing contracts will be reviewed to determine if there are any efficiencies to be achieved by retendering, commissioning with Health or exploring any other opportunities which may present themselves.

Decisions Required

17. The decisions that are set out in the 16/17 savings provide the basis for moving forward over the next four years. The key decision needed in the coming year will be on adopting a new operating model.
18. This will describe in more detail how the principles and intentions above will be turned into a practical way of delivering social care in the city. Investment will be needed in terms of capacity and resources to develop and implement the fundamental change in the way services are currently delivered.

Risks and Impact Assessment

19. Current customers will be impacted by changes to the services. Customers will be fully informed and where changes make a difference to services received, the transition will be a managed process. The benefits to all current and future customers of moving to a sustainable model which promotes independence are based on the likelihood of better outcomes as well as financial sustainability. It is considered that the mitigated impacts on customers are necessary to move to a sustainable model.
20. The level of change needed will require significant resource in the transition to the new model of working. If this is not available, there is risk around the deliverability of these proposals, which could impact on services to customers.

This page is intentionally left blank

4 Year Financial Strategy - Communities and Neighbourhoods

Introduction

1. Communities and Neighbourhoods has undertaken an extensive programme of remodelling services over recent years leading to a wide variety of new forms of service delivery including trust, social enterprise, local authority company and private sector led models. These approaches have yielded significant efficiency savings.
2. The efficiency savings realisable from these approaches have now been fully exploited and it is therefore necessary to go beyond these approaches to instigate more radical service reduction and/or redesign.
3. Public Health budgets have now been integrated into the council requiring the Council to understand and evaluate inherited contracts and examine how better value for money can be obtained.
4. Whilst the many of the services within CANs are not statutory and could therefore be discontinued many are equally highly visible, front-line preventative services that are in demand from residents and have a long term impact of reducing costs elsewhere in the Council. Care is therefore required to ensure that valued services are able to continue but with less reliance on Council funding.

Approach to Protecting Priority Areas

5. All areas of the Directorate have been reviewed and certain service areas have been protected in 2016/17. It is envisaged that this will remain the case over the medium term. Protected services include:
 - Emergency Planning as the number of staff (2) are already at minimum levels to plan and co-ordinate the Council's response to significant events and emergencies
 - Community Safety which includes management and delivery of the Council's response to anti social behaviour. Additional funding of £234k is provided in 2016/17.
 - Voluntary sector grants have been reviewed to ensure that all funding aligns to the Council's priorities. Reductions in grants have already taken place and further savings are proposed. However core grant funding to organisations such as Citizen's Advice Bureau, Council for Voluntary Services and Welfare Benefits Unit

will remain protected as this would damage the capacity to make the necessary transition. There is, however, scope to refocus this expenditure.

- Ward Committee funding will remain unchanged
- Reductions to some cultural services will be necessary as outlined below, but funding for some smaller scale cultural services will remain unchanged. This is a small budget which if removed would jeopardise the ability of the organisations to attract funding from other sources and threaten the survival of the organisations
- In Public Health there is a requirement to review all budgets whilst maintaining a focus on key Public Health priorities. The key to successful Public Health outcomes is mainstreaming the priorities across all council services and health services.

Medium Term Efficiencies and Savings

General Fund Savings

6. Key approaches to achieving general fund budget reductions over the next four years will be:
 - a) Increasing community involvement in service redesign
 - b) Making services self-financing wherever practicable including external trading
 - c) Maximising the return from externalised service provision
 - d) Redesign of existing services and external contracts
 - e) Realignment of charges between Housing Revenue Account / General Fund
 - f) Ceasing service provision

a) Increasing community involvement - This continues and deepens the current approach under which, in the area of environment, we currently support over 100 community environment projects and, in the area of neighbourhood youth facilities are approach focuses on supporting community led projects. Key savings proposals include:

- A reduction from grounds maintenance and cleansing budgets by transferring spaces increasingly to community management. This will entail setting clear standards for core Council regimes, e.g.

street cleansing whilst entering into a detailed discussion with wards about any enhanced level of activity they wish to organise through community activity over and above this standard, as well as tasks that can be transferred to the community or ceased. This approach will be supported through enhanced ward funding to support community approaches and through the deployment of staff trained to support communities

- Contribute savings towards the review of building based provision, including for children and young people's services
- A reduction in support to youth premises seeking to support instead an increase in community capacity

b) Making services self-financing wherever practicable including external trading - key proposals include:

- Removing the last element of direct CYC funding to York Learning Services
- A saving through reviewing the management of YorHome, the councils social lettings agency and management of housing stock on behalf of housing associations
- A saving from undertaking work on Empty Homes for other LA's
- Potential to externally trade the councils housing repairs service to deliver income

c) Maximising the return from externalised service provision- key proposals include:

- A saving through a reduction in the Yorkshire Museum Trust (YMT) grant contribution as YMT explore alternative funding and income generation options. This includes a £100k saving agreed by Executive in September 2015, which has been deferred to 17/18 to allow for discussion with YMT on their capital plans. Some continuation of grant contribution from the Council is advisable in order to i) avoid other key funders withdrawing, ii) continue to give the Council some influence iii) reflect the fact that YMT undertakes tasks for the city e.g. storage that have no commercial potential.
- A saving through reduction in Theatre Royal grant. The Council are proposing to provide a one off capital grant to complete the refurbishment and there will be no further ongoing revenue support.

- A reduction of grant over time to Make it York (MIY). It is expected that MIY will deliver additional income streams and efficiencies
 - A significant saving through re-tendering the library service. The current contract runs to March 2019. It is expected that Explore York will deliver new models of community provision and new income streams allowing a viable reduced cost service in the next contract period
 - A saving through reviewing the management of the council's three travellers sites
- d) Realignment of charges / budgets between Housing Revenue Account (HRA) & General Fund (GF)**
- Savings will be achieved through realignment / transfer of services between HRA & GF
- e) Redesign of existing services & external contracts- key proposals include:**
- A saving from a review of how parking is operated and managed across the city.
 - A £50k saving through ceasing funding to Welcome to Yorkshire
 - Savings will be achieved through the redesign of public health contracts
 - A saving through redesign of homeless / strategic housing functions
 - A saving through restructure of registry office
- f) Ceasing service provision - key proposals include:**
- A reduction in aspects of public health delivery
 - Savings through reductions in aspects of the homelessness service.
 - Savings through reduction in service and stopping delivering non statutory services within trading standards, food safety & environmental health, such as implementation of an 'intelligence led' approach to inspections and enforcement.

HRA savings

7. In order to manage the HRA with the reduced levels of income as a result of the rent decreases for the next four years and the increased levels of sales forecast, cost savings totalling £1.5m have been identified. The savings to be achieved in 2016/17 total £560k are detailed in annex 5b of the report.
8. There remains £940k target to be delivered and it is proposed that these are found from reviewing all HRA budgets. This will include discussions with Residents Associations about the future availability and use of capital and revenue budgets for the Associations. There will also need to be consideration of the cost of support to tenants that the HRA currently subsidises. Consultation will be undertaken with all interested groups before savings are proposed.
9. The Business Plan includes a number of assumptions particularly regarding the number and value of “High Value Sales” that will impact the overall account and therefore the value of savings in future years will need to be closely monitored and additional proposals brought forward where necessary.

Decisions Required

10. The decisions that are set out in the 2016/17 savings provide the basis for moving forward over the next four years, as the majority of savings themes originate in 2016/17. Specific reports over the coming months will need to be considered including the future management of Traveller sites.

Risks and Impact Assessment

11. Voluntary sector capacity (both organisations and individuals) is essential to deliver the budget reduction in many service areas. If this resource is not available this may lead to a reduction in service provision.
12. It is believed that reduction in funding to external organisations will not affect the service provision as those organisations may continue to operate with a more commercial focus. This may include additional charges to the public.

This page is intentionally left blank

4 Year Financial Strategy - City and Environmental Services

Introduction

1. City and Environmental Services like all Directorates has undergone significant reductions in staffing and budgets in recent years whilst maintaining some of the Councils most visible frontline services, including 6 million refuse/ recycling collections, 4 million Park and Ride Journeys and maintaining and investing in the highways and transport infrastructure. From a regulatory perspective the Directorate delivers Planning, Development control and Highway Regulation functions thereby have a significant impact on the wider economy and people of York beyond the directly delivered services.

Approach to Protecting Priority Areas

2. All areas of the Directorate have been reviewed and certain service areas have been protected in 2016/17. It is envisaged that this will remain the case over the medium term. Protected services include:
 - There will be no introduction of additional charges or any significant changes in operations for domestic waste customers
 - No additional charges will be applied to services operating from Household Waste Recycling Centres (HWRC's) and opening times will remain as they are currently
 - As a Lead Local Flood Authority under the Flood and Water Management Act, the Council are required to deliver a range of responsibilities for flood risk management
 - The Highways budget for day to day highway maintenance for potholes, gully emptying and bridge maintenance
 - The Winter Maintenance (gritting) budget will be protected and will also receive additional funding of £115k
 - The Dial and Ride service which is the public transport provision for the most vulnerable in society

- School Crossing Patrols
- The Concessionary Fares scheme will remain unchanged

Medium Term Efficiencies and Savings

3. As a result of the savings made to date the Highways function has been reduced to a small revenue budget which covers day to day maintenance with the potential for only incremental savings through operational efficiencies. The Highways Capital Programme including maintenance and development delivers our statutory duties to maintain the highway network. The workforce has recently being reduced to ensure that a sustainable core of skills and knowledge is retained with a degree of job security and then as the Capital Programme fluctuates from year to year sub contractors are being used to complement this core staff. For this reason there are no further significant reductions in the Highways budget.
4. The Waste service will be concentrating on operational efficiencies and containing cost growth. Cost pressures on the service are principally existing budget overspends, recycle costs and income from green waste additional bin services. There are no savings planned in 2016/17 for Waste Services but in the medium term Market testing of the Waste Service will be considered in order to ensure collection services are as efficient as possible.
5. Planning, Development Management, Building Control and Highway regulation are all moving towards a model in which a core of knowledge and skills is retained from anticipated fee revenues with significant fluctuations in workload managed through the use of external providers and where possible through the use of shared staff resources with other Local Authorities. This approach allows key staff to be retained. The exception to this approach is the Local Plan development for which no direct fee revenue is attributable.
6. The most significant revenue in the Transport area is parking income totalling £6.8 million. Car parking charges will be frozen in 2016/17. Any future increases in charges will be considered at a later stage following a strategic review and consideration of the Council wide objectives. Having consulted with the Parking industry,

increased income can be achieved through increased volume, in conjunction with flexible pricing to aim for full capacity during both peak and non peak periods. The approach will be to consider how the private sector could bring their expertise to York to help achieve this ambition.

7. Another area of potential significant revenue is civil (camera) enforcement of bus lanes. This is not a growth target, but merely revenue reinstatement following re-introduction of active enforcement over the next 18 months.
8. Every other significant area of Transport (with the exception of network control/essential traffic management) will be considered over the medium term. This will include a reduction in bus subsidies and additional income requirements to continue operation of the CCTV centre. In addition it should be noted that Transport will lose £1 million of external revenue in 2016/17 and staffing reduction plans are being planned in advance of 31st March 2016 to prevent any revenue pressures.

Decisions Required

9. The decisions that are set out in the 2016/17 savings provide the basis for moving forward over the next four years, as the majority of savings themes originate in 2016/17. Specific reports over the coming months will need to be considered including the review of Parking services and reintroduction of enforcement cameras

Risks and Impact Assessment

10. Within Waste Services, general efficiency savings across staffing, fleet and collection methods are required to address the current projected overspend within the waste collection budget. This will include introducing more efficient rounds (fewer staff and vehicles) but will not deliver additional future savings. There is a risk that if these efficiencies cannot be achieved this would necessitate the requirement to increase charges to balance the budget. Furthermore, any delay or failure to achieve efficiency savings

would jeopardise any potential benefit which may be achieved from market testing.

11. The impact on Design and Conservation will depend precisely where the saving is made. The team comprises a number of environmental specialists across a range of different professions. The saving would either result in the loss of a single specialist officer such as: archaeology, or landscape /tree advice , heritage or alternative would reduce a number of full time posts to part time. The consequences would be felt by the Development Management team, applicants and service users as specialist advice may not be available when sought.
12. Additional income from Development Management will be dependent on Government increasing charges or devolving to local authorities. The income received will also be dependent on application numbers.
13. Additional parking income represents a significant saving for the directorate. However, there have been recent reductions in parking transactions and income and continuation of this trend would impact this savings target. This saving can only be achieved if the city centre remains buoyant and council policies do not adversely impact usage.
14. The impact of the reduction in bus subsidies are likely to reduce the opportunities for people to travel around the city particularly in the evening or on Sundays unless the routes are taken up by commercial operators.

4 Year Financial Strategy- Customer and Business Support Services

Introduction

1. The Directorate delivers a range of professional support (finance, legal, HR), the Councils ICT infrastructure, a wide range of customer services (customer centre, benefits,) collects income (council tax, NNDR, service related issues e.g. adult care) and manages a range of assets/facilities management.
2. The majority of services are non statutory, though there are some functions such as production of the accounts, production of a budget which are statutory responsibilities. In addition both the Chief finance officer, and the monitoring officer have statutory roles, and both require adequate resources to conduct those roles. The Chief Finance officer role has statutory powers to ask Council to provide resources sufficient to deliver the role. There are clearly also functions such as benefits, collection of council tax/NNDR which are also statutory activities.

Approach to Protecting Priority Areas

3. All areas of the Directorate have been reviewed, and all areas will contribute to savings. Certain areas have been protected wherever possible and this includes;
 - In legal services, work relating to childcare will be protected from any significant savings
 - In financial procedures work relating to financial assessments in relation to vulnerable adults will be protected
 - Core statutory services such a financial accounts, and general legal work will be protected, though there will be efficiencies in these areas over the next four years
 - Information Governance e.g. FOI's, Data Management, has been protected recognising the need for this work to be maintained across the whole Council

- In Customer services, whilst there are significant savings the service has achieved in recent years. Savings going forward will be deferred to later years, with the expectation that work around the new website, and customer system will allow for efficiencies without impacting on service levels.

Medium Term Efficiencies and Savings

4. As the main cost within the Directorate is staffing, a large proportion of savings will be delivered through restructures within services. This applies across most areas of activity of the Directorate. This will have varying issues and implications, but will inevitably result in fewer staff being employed and a need to consider how service delivery can be prioritised with a view to managing staffing reductions. Clearly in many respects the need for support services is actually increased during a period of significant change/transformation. There may be a need to consider the provision of specialist support work on major projects purely on a chargeable basis.
5. As the Council over the next four years will change in terms of shape and size, there will be opportunities to generate additional income through West Offices, renting space out to further external organisations. There may also be a need to push further on flexible/home working across all areas to release office space which can also contribute to income targets.
6. Maximising our total Asset Portfolio – opportunities will be reviewed over the 4 years to rationalise assets, generate additional income, and achieve additional capital receipts (which could in turn reduce debt). This will require quite a radical review of assets, and consideration of opportunities to work with the private sector, and/or to establish a wholly owned development company.

Decisions Required

7. The decisions that are set out in the 16/17 savings provide the basis for moving forward over the next four years. There will be a need to consider some specific reports over the coming months, for example around the potential to establish a Development company.

Risks and Impact Assessment

8. Impact on support services (finance, legal, ICT HR) during a period of significant transformation and change when Council services will need high degree of support staff – this is an inevitable risk in terms of being able to support the range of projects the Council may embark upon. A flexible approach to resourcing may be needed, with additional resource (financed by the specific project) being brought in at appropriate times.
9. Release of West offices space does not happen as required – this will require careful monitoring, and the release of space not just from general reductions in staffing, but through more radical approaches to flexible working.
10. Asset Portfolio does not release revenue/capital receipts – early consideration of a development company is required, and some additional external resource may be needed to achieve radical review of commercial portfolio.

This page is intentionally left blank

4 Year Financial Strategy - Children's Services, Education and Skills

Introduction

1. Children's Services, Education and Skills in York are highly regarded and high performing. Benchmarking data shows that York are one of the cheapest children's services in the country and currently spend the least per capita on looked after children services in the country.
2. The service has effective and appropriate structures in place to deliver our statutory responsibilities and also has a range of non statutory services that prevent the need for a greater spend on more expensive specialist services. Social worker caseload sizes are appropriate and there is the correct ratio of social workers to managers to ensure effective case management and professional supervision. Any reduction to these current staffing levels would result in an unacceptable level of risk.
3. There is a small central team that commissions and quality assures school improvement, any reduction of this would present a risk to effectively performing our statutory responsibilities.
4. CSES budgets are allocated into three categories that broadly describe the focus of the services that each budget funds:
 - Achieving
 - Safer
 - Resilient

Approach to Protecting Priority Areas

5. All areas of the Directorate have been reviewed and certain service areas have been protected in 2016/17. It is envisaged that this will remain the case over the medium term. Protected services include:
 - The Education Psychology service which is the statutory assessment service for SEN children
 - Whilst there are some minor restructure savings proposed within children's social care services, any reductions to social care staffing levels have been ruled out as this may place vulnerable children at risk.

- The early intervention fund provides a range of small grants to voluntary sector organisations who support the Children and Young People Plan priorities
- Investment in 'Troubled Families' programme that ensures the Council achieves its payment by results target

Medium Term Efficiencies and Savings

6. Key approaches to achieving general fund budget reductions over the next four years will be as follows:

Achieving

7. The Childcare strategy team focuses on delivering the Council's statutory duty to ensure sufficient places in early years provision. This service will be restructured to ensure no duplication of work with other areas.
8. A saving from the Connexions service which provides career advice and support for young people aged 13 to 19. Connexions advisor support teams will be deployed within specialist areas including SEN, Leaving Care the, YOT and to support the NEET group and by doing so achieve efficiencies.
9. Remodel the Castlegate service which provides advice and guidance for 16 to 25 year olds. This will include prioritisation of counselling services and removal of duplication of work with other service areas.
10. Savings can be achieved in the early years learning and welfare team which provides support and advice to schools, private and voluntary settings, as schools and other early years providers can commission (and fund) the services they require directly.
11. A review of Home to School Transport Provision will take place. Options may include withdrawal of some services, further developing independent travel skills where appropriate and provision of more efficient transport options.

Safer

12. Supporting the development of local specialist foster carer capacity that will enable us to 'Make York Home' for most of our looked after children, although some initial investment will be required.
13. Capital and revenue investment is required to transform the focus and remit of current short breaks residential provision at The Glen respite care home. This proposal would see development of an alternative provision that provides targeted specialist care for children with the most complex needs to support them in the long term care of their families.
14. To refocus and remodel Children's Centre services, to ensure that impact on improving outcomes for vulnerable children and families is maximised.

Resilient

15. To reconfigure the service arrangements of Children's Trust Unit, merging the Family Information Service with Advice and Early Intervention and a remodelling of the parenting support.

Decisions Required

16. The decisions that are set out in the 2016/17 savings provide the basis for moving forward over the next four years, as the majority of savings themes originate in 2016/17. Specific reports over the coming months will need to be considered. These will include proposals to reshape early help and prevention services for children and young people.

Risks and Impact Assessment

17. Restructuring of the Childcare strategy team requires that the team continue to ensure sufficiency of places. There may be new pressures on the childcare market in September 2017 following the extension of free childcare places.
18. There is a potential risk of gaps in the provision to support the transition to adult life for a small cohort of vulnerable young people, including those who are NEET, due to potential changes in the Connexions and Castlegate Services.

19. There is a risk of challenge via tribunal, external challenge and significant reputational risk around changes to home to school transport provision
20. The merger of the Family Information Service and Early Intervention Service will limit the FIS offer for the City as the increasing early help demands coupled with a reduced team will draw a significant proportion of this resource.
21. The remodelling of Children's Centre services may result in gaps in services for families currently accessing support.

STANDARD CHARGES FOR RESIDENTIAL CARE HOMES

Type of Service		Current Charge 2015/16 £		Charge 2016/17 £	
	Residential Homes				
		Day Care	Overnight Care	Day Care	Overnight Care
	Residential Homes for Children with Learning Disabilities (The Glen)	200.00	400.00	200.00	400.00

Specific rates can be agreed for longer
term contracts/placements

FOSTER CARE ALLOWANCES
PAYABLE FROM 1st APRIL 2016

Age	Current Weekly Allowance 2015/16 £	Weekly Allowance 2016/17 £	
0-4	£126.00	£128.52	Assumed 2% Increase National Minimum rates are payable and these haven't been published as yet
5-10	£139.02	£141.82	
11-15	£159.04	£162.19	
16-17	£185.01	£188.72	

Foster Carer Fees and Capacity Payments for 2016/17

Grade	Skill Fee £	Capacity - Total payments		Level on Remittance
		2 £	3+ £	
Accredited/I	30.97	15.48	30.97	2
Experienced/II	61.93	15.48	30.97	3
Enhanced/III	165.16	20.65	41.29	4
Advanced/IV	482.05	60.26	120.51	5

No pay increase for CYC staff agreed = No rate increase

ADDITIONAL FOSTER CARERS ALLOWANCES
PAYABLE FROM 1st APRIL 2016

Foster carer allowances and fees

The weekly allowance

The foster carer weekly allowance is intended to cover the average costs of looking after a child as part of the foster carer's family. No specified amounts for particular items are given since expenditure will vary from one foster household to another. The fostering allowance is designed to

- Food and accommodation (including a contribution towards heating and lighting costs)
- Clothing
- Pocket money
- Transport usually associated with any child living in a family including to and from a local
- Leisure activities
- Keeping a record of events and memories about the child
- School meals

Birthday, Festival, Holiday allowances

It is accepted that there are important events which incur additional costs for foster carers. Accordingly, a payment equivalent to one week's fostering allowance is automatically paid prior to the child's birthday and also prior to the festival period. A further amount equivalent to 3 weeks fostering allowance can be made to cover the cost of holidays through the year. This should be

Costs not covered by the foster carer weekly allowance

There may be other costs which are not covered by the weekly fostering allowance. These additional costs fall into two broad categories – those related to the child or young person in

Child related costs

a) Activities and interests

Children are encouraged to enjoy out of school activities, which enrich their leisure and play. Examples have been drama, horse riding, singing, instrument lessons, sport, swimming, dance, A foster carer can request support with the costs of an exceptional enrichment activity for an amount up to £500 per child per annum. If there is a greater cost, this should be discussed as part The cost of hobbies is usually expected to be covered by the fostering allowance. If however a hobby includes an exceptional cost for an event, for example a piece of equipment, then a foster carer may request an additional payment to cover the cost. The maximum sum will be £250 per

b) Clothing allowance (start up)

A child or young person who arrives in a new foster placement without adequate clothing is likely to incur additional clothing costs. A foster carer can claim a clothing allowance at the commencement of the placement of a newly looked after child up to a maximum equivalent to 3x

c) Clothing allowance (exceptional circumstance)

A foster carer may identify a situation in which a looked-after child has an exceptional need for clothing allowance. This might be for a special event such as a wedding or other celebration. For older teenagers this might include school proms or job interviews. Such exceptional needs should be discussed with the supervising social worker (fostering) who will forward a request to the

d) School uniform allowance

A foster carer may request a school uniform grant for a looked-after-child who has recently commenced at a new school. For planned changes in school uniform, for example in moving from

e) Work clothing and equipment

A foster carer may request a grant towards the cost of work clothing that a young person requires at the commencement of training or employment. The maximum sum will be £200 per young

ADDITIONAL FOSTER CARERS ALLOWANCES
PAYABLE FROM 1st APRIL 2016

f) Tuition

Private tuition will not be funded by the Department as it is recommended that this is dealt with in personal education planning. If there is general agreement that additional tuition will be beneficial, this will be addressed by the child's social worker in conjunction with the school and education

g) School trips

All young people will have the opportunity to take part in school trips; the cost ultimately will be supported and covered by children's services.

h) Holiday supplement

A foster carer, in common with other parents and carers must ensure that all looked after children attend school during the school term. It is noted that parents, carers and foster carers may therefore face increased costs for booking holidays during the designated school holidays. In recognition of this increased cost, a supplement is available for each looked-after-child up to a A request for payment of a holiday supplement will need to include evidence that the cost of the holiday for each child is greater than the existing holiday allowance provision.

A foster carer can claim for the costs incurred in purchasing a passport for the child and any visa, which may be required for holiday travel.

i) Nursery fees, after-school, holiday clubs

If a looked after child attends a nursery, after-school club or holiday club, consideration will be given to reimbursing additional costs incurred by foster carers. Agreement for children or young people to attend any of these settings must be made in consultation with the child's social worker and relate to the benefits for the child's educational and social interaction rather than the foster

j) Contact expenses

A foster carer may claim the reasonable costs incurred to facilitate young people maintaining and promoting contact with their parents, siblings or other significant family members

k) Health care expenses

Health care for children are generally exempt from charges under the NHS. In exceptional circumstances, foster carers may request the reimbursement of unavoidable costs, for items which

l) Other exceptional expenses

The above list cannot be exhaustive. A foster carer may request a contribution to cover the costs which may be incurred for a looked after child's participation in a special event family wedding, If a foster carer is aware of any exceptional expense, they may discuss this with their supervising social worker (fostering) in order for the Service Manager (Fostering) to consider the implications. A foster carer should not enter into the commitment to an exceptional expense without checking

Household related costs

Foster carers are expected to have the necessary physical resources within their home to enable them to provide a good quality of service to the children and young people they look after. It is expected that the need for additional equipment and the replacement of any equipment, furniture

a) Equipment and furniture

Foster carers may need additional furniture and equipment before having looked after children placed with them. This may include beds, bedding, storage for clothes, car seats, baby equipment (where applicable). Other equipment costs may be incurred when new long-term placements are organised. These might include the decoration of a bedroom or the provision of new bedding.

b) Equipment, furniture, repairs and replacement

ADDITIONAL FOSTER CARERS ALLOWANCES
PAYABLE FROM 1st APRIL 2016

Over time a foster carer there may be wear and tear on furniture, equipment and furnishings. Foster carers may request a grant towards the cost of renewing such items Where specific damage has been caused by a looked-after child then this should be reported to the supervising

c) Exceptional adaptations

A foster carer may, in exceptional circumstances request financial support for the adaptations to their house to help meet those needs such as providing a long-term placement for children with

Transport

a) Travel and transport arrangements are expected to be discussed as part of the initial planning of all placements. Where circumstances change significantly then foster carers are expected to discuss those changes with their colleagues. There is general assumption that looked after children and foster carers will undertake most journeys in their day-to-day fostering lives, by walking, cycling, and using public transport or in the foster family's car. The cost of local and family

b) Public transport and bus passes

It is assumed that young people aged 12 and over will make use of public transport where necessary for school and leisure activities. Accordingly, all young people are now eligible for an all-day bus pass for First York within the City of York area. For young people placed outside the York

c) Mileage allowance

A foster carer may request reimbursement of their mileage allowance for exceptional journeys, which are above and beyond the local school and family journeys e.g. school journeys greater than 3 miles (each way) transport to contact, hospital or other clinic appointments.

d) Bicycles

For young people aged 11 and over, the purchase of a bicycle with all safety equipment, is eligible for reimbursement if this will enable them to cycle safely to school and for their leisure time. Any proposed bicycle purchase should be fully considered and cost agreed by the Service Manager (Fostering) prior to any foster carer committing to a purchase. Provision of a bicycle should be

e) Mopeds

For young people 16 and over the purchase of a provisional driving licence for mopeds up to 50cc, Compulsory Basic Training (CBT), appropriate safety equipment can be supported. Requests for the support and funding of these items and for a contribution towards the purchase of a moped should be fully considered with relevant parties as part of the travel/transport plan and cost agreed

f) Driving lessons

For young people 17 and over the purchase of a provisional vehicle driving licence and starter pack of 10 driving lessons can be supported but should be considered with relevant parties and cost agreed by the Service Manager (Fostering) prior to any commitment to purchase is given.

ADDITIONAL FOSTER CARERS ALLOWANCES
PAYABLE FROM 1st APRIL 2016

Foster Carer Fees

After initial approval, a foster carer is assessed and reviewed under the accreditation scheme to determine the grade within the fee structure (accredited, experienced, enhanced and advanced) All foster carers on an accredited or higher level are paid a fee when they have a child or young person in placement. Payments of the fee can continue when a foster carer is temporarily without

- i) When a foster carer does not have a child in placement the fee will continue to be paid for up to 2 weeks.
 - ii) When a foster carer takes a holiday break without the foster children the fee may continue to be paid for up to 2 weeks. Foster carers are expected to give a minimum of 1 month's notice to the supervising social worker.
 - iii) Foster carers may request two weeks additional fostering fee at any point in the financial year.
 - iv) A maximum of 4 weeks in total in any year will be covered by these payments.
- Foster carers who is undergoing an investigation that prevents them having children placed with them will continue to be paid a fee until the investigation is completed.

Process for claiming an additional payment

In order to ensure consistency in the application of the guidance, it is proposed that all requests for additional payments will be dealt with by the foster carer's supervising social worker. A foster carer will be expected to provide evidence of the cost incurred through receipts or estimates. This can be provided by the foster carer. When social workers, other service managers or independent reviewing officers become aware of an exceptional need or cost for a looked after child placed with a foster carer, they must refer the matter to the supervising social worker (fostering) for their consideration. The authorisation (or not) will be given by the supervising social worker.

ADOPTION ALLOWANCES
RESIDENCE ORDER ALLOWANCES
PAYABLE FROM 1st APRIL 2016

Age	Current Weekly Allowance 2015/16 £	Weekly Allowance 2016/17 £
0-4	60.38	60.38
5-10	73.67	73.67
11-12	83.92	83.92
13-15	90.28	90.28
16+	120.61	120.61

SHORT BREAKS ALLOWANCES**PAYABLE FROM 1st APRIL 2016**

Time Band	Standard Sharing Care Current Weekly Allowance 2015/16 £	Standard Sharing Care Proposed Weekly Allowance 2016/17 £	Allowance paid to carer of child with additional health needs (i.e.std allow. + 70% enhancement) Proposed Weekly Allowance 2016/17 £	Allowance paid to carer of child with more complex care needs (i.e.std allow. + 60% enhancement) Proposed Weekly Allowance 2016/17 £
0-4 hours	17.60	17.95	30.51 (i.e. 17.92 + 12.56)	28.72 (i.e. 17.95 + 10.77)
4-8 hours	26.34	26.86	45.67 (i.e. 26.86 + 18.80)	42.98 (i.e. 26.86 + 16.12)
8-12 hours	35.13	35.83	60.91 (i.e. 35.83 + 25.08)	57.33 (i.e. 35.83 + 21.50)
12-24 hours	52.65	53.71	91.30 (i.e. 53.71 + 37.59)	85.93 (i.e. 53.71 + 32.22)

Assumed 2% increase

Contract Care Scheme

	Current Weekly Allowance 2015/16 £	Proposed Weekly Allowance 2016/17 £
Contract Carers	357.49	357.49

No pay increase for CYC staff agreed = No rate increase

SPECIAL GUARDIANSHIP ALLOWANCES
PAYABLE FROM 1st APRIL 2016

Age	Current Weekly Allowance 2015/16 £	Weekly Allowance 2016/17 £	
0-4	£126.00	£128.52	Assumed 2% Increase
5-10	£139.02	£141.82	National Minimum rates
11-15	£159.04	£162.19	are payable and these haven't
16-17	£185.01	£188.72	been published as yet

Note: An amount equivalent to the Child Benefit entitlement will be deducted from this allowance.

ENVIRONMENTAL HEALTH	2015/16	2016/17	
	Charge (Before VAT)	Charge (Before VAT)	Increase
	£	£	£
<u>HEALTH & SAFETY</u>			
<u>SKIN PIERCERS</u>			
a) Tattoosists	336.00	154.00	-182.00
b) Skin Piercers	336.00	154.00	-182.00
c) Premises	336.00	154.00	-182.00
¼ly payment available by Standing Order			
<u>FOOD & SAFETY UNIT</u>			
Export Certificates	60.00	61.50	1.50
<u>ANIMAL HEALTH</u>			
Pet Shop	224.00	137.00	-87.00
Animal Boarding	224.00	137.00	-87.00
Home Boarding Licence	103.00	112.00	9.00
Dog Breeding Establishment	224.00	137.00	-87.00
Dangerous Wild Animals - valid for 2 years (excluding vet fees)	348.00	229.00	-119.00
Riding Establishments (excluding vet fees)	257.00	205.00	-52.00
Performing Animals Registration	77.00	88.00	11.00
Zoos Licence Grant (4 Year Licence)	214.00	214.00	0.00
Zoos Licence Renewal (6 Year Licence)	263.00	263.00	0.00
<u>Stray Dogs</u>			
Reclaim Fee (Statutory fee)	63.00	63.00	0.00
Kennels Fees - Statute only allows the local authority to recover the costs of kennelling the stray	10.20	10.20	0.00

TRADING STANDARDS	2015/16	2016/17	
	Charge	Charge	Increase
	£	£	£
FEES FOR THE TESTING AND VERIFICATION OF WEIGHING AND MEASURING INSTRUMENTS			
Standard Hourly Charge	57.60	61.00	3.40
<u>Poisons Act</u>			
Initial registration in the Council's list of persons entitled to sell Part II Poisons	n/a	n/a	n/a
Re-registration in subsequent year	n/a	n/a	n/a
Change in details of registration.	n/a	n/a	n/a
<u>Explosives Licensing \ Registration</u> (Statutory Charges)			
Licence Fee (as a fireworks retailer) outside traditional selling periods	500.00	n/a	n/a
Licence Fee (as a fireworks retailer) within traditional selling periods	52.00	n/a	n/a
grant - min separation distance of greater than 0 metres prescribed			
1 year	178.00	178.00	0.00
2 years	234.00	234.00	0.00
3 years	292.00	292.00	0.00
4 years	360.00	360.00	0.00
5 years	407.00	407.00	0.00
renewal - min separation distance of greater than 0 metres prescribed			
1 year	83.00	83.00	0.00
2 years	141.00	141.00	0.00
3 years	198.00	198.00	0.00
4 years	256.00	256.00	0.00
5 years	313.00	313.00	0.00
grant - where no min separation distance is prescribed			
1 year	105.00	105.00	0.00
2 years	136.00	136.00	0.00
3 years	166.00	166.00	0.00
4 years	198.00	198.00	0.00
5 years	229.00	229.00	0.00
renewal - where no min separation distance is prescribed			
1 year	52.00	52.00	0.00
2 years	83.00	83.00	0.00
3 years	115.00	115.00	0.00
4 years	146.00	146.00	0.00
5 years	178.00	178.00	0.00
vary the name of license or address of site	35.00	35.00	0.00
transfer licence	35.00	35.00	0.00
replacement of licence if lost	35.00	35.00	0.00
<u>Petroleum Certificates / Licences</u> (statutory charges)			
storage certificates			
not exceeding 2,500 litres	42.00	42.00	0.00
exceeding 2,500 litres but not exceeding 50,000 litres	58.00	58.00	0.00
exceeding 50,000 litres	120.00	120.00	0.00
licence to keep petrol			
not exceeding 2,500 litres	42.00	42.00	0.00
exceeding 2,500 litres but not exceeding 50,000 litres	58.00	58.00	0.00
exceeding 50,000 litres	120.00	120.00	0.00
<u>Court Cases</u>			
Court Costs awarded as the result of a successful case - all teams (based on a hourly charge per officer hour)			
Officer (Grade 8)	46.20	50.00	3.80
Officer (Grade 10)	57.60	61.00	3.40
Officer (Grade 11)	65.40	69.00	3.60
Officer (Grade 12)	n/a	77.00	n/a

REGULATORY SERVICES	2015/16	2016/17	
	Charge (Before VAT)	Charge (Before VAT)	Increase
	£	£	£
LICENSING ACT 2003 (Statutory Fee)			
<u>PREMISES LICENCE</u>			
a) Annual Maintenance			
Rateable Value Band :-			
A - nil to £4300	70.00	70.00	0.00
B - £4301 to £33000	180.00	180.00	0.00
C - £33001 to £87000	295.00	295.00	0.00
D - £87001 to £125000	320.00	320.00	0.00
E - £125001 and above.	350.00	350.00	0.00
b) Premises Primarily Serving Alcohol in :-			
Rateable Value Band :-			
D - annual maintenance fee * 2	640.00	640.00	0.00
E - annual maintenance fee * 3	1,050.00	1,050.00	0.00
c) Grant of Licence/variation			
Rateable Value Band :-			
A - nil to £4300	100.00	100.00	0.00
B - £4301 to £33000	190.00	190.00	0.00
C - £33001 to £87000	315.00	315.00	0.00
D - £87001 to £125000	450.00	450.00	0.00
E - £125001 and above.	635.00	635.00	0.00
d) Grant/variation of premises Primarily Serving Alcohol in :-			
Rateable Value Band :-			
D - licence fee * 2	900.00	900.00	0.00
E - licence fee * 3	1,905.00	1,905.00	0.00
e) Minor Variations	89.00	89.00	0.00
<u>PERSONAL LICENCES, TEMPORARY EVENTS AND OTHER FEES</u>			
a) Application for a grant or renewal of personal licence	37.00	37.00	0.00
b) Temporary event notice	21.00	21.00	0.00
c) Theft, loss, etc. of premises licence or summary	10.50	10.50	0.00
d) Application for a provisional statement	315.00	315.00	0.00
e) Notification of change of name or address prem lice	10.50	10.50	0.00
f) Application to vary DPS	23.00	23.00	0.00
g) Application for transfer of premises licence	23.00	23.00	0.00
h) Interim authority notice following death, etc. of licence holder	23.00	23.00	0.00
i) Theft, loss, etc. of certificate of summary	10.50	10.50	0.00
j) Notification of change of name or alteration of rules of club	10.50	10.50	0.00
k) Change of relevant registered address of club	10.50	10.50	0.00
l) Theft, loss, etc. of temporary event notice	10.50	10.50	0.00
m) Theft, loss, etc. of personal licence	10.50	10.50	0.00
n) Duty to notify change of name and address personal lic	10.50	10.50	0.00
o) Right of freeholder, etc. to be notified of licensing matters	10.50	10.50	0.00
p) Supply of copies of information contained in register	10.50	10.50	0.00
q) Mandatory alcohol condition for DPS to be disappplied - new fee	23.00	23.00	0.00

REGULATORY SERVICES	2015/16	2016/17	
	Charge (Before VAT)	Charge (Before VAT)	Increase
	£	£	£
<u>EXCEPTIONALLY LARGE EVENTS</u>			
Number in attendance at any one time, additional fee :-			
5000 to 9999	1,000.00	1,000.00	0.00
10000 to 14999	2,000.00	2,000.00	0.00
15000 to 19999	4,000.00	4,000.00	0.00
20000 to 29999	8,000.00	8,000.00	0.00
30000 to 39999	16,000.00	16,000.00	0.00
40000 to 49999	24,000.00	24,000.00	0.00
50000 to 59999	32,000.00	32,000.00	0.00
60000 to 69999	40,000.00	40,000.00	0.00
70000 to 79999	48,000.00	48,000.00	0.00
80000 to 89999	56,000.00	56,000.00	0.00
90000 and over	64,000.00	64,000.00	0.00

REGULATORY SERVICES	2015/16	2016/17	
	Charge (Before VAT)	Charge (Before VAT)	Increase
	£	£	£
GAMBLING ACT			
a) Bingo			
Grant	2,800.00	2,800.00	0.00
Variation	1,400.00	1,400.00	0.00
Transfer	960.00	960.00	0.00
Reinstatement & Conversion of Provisional Statement	960.00	960.00	0.00
Provisional Statement	2,800.00	2,800.00	0.00
Annual Charge	840.00	840.00	0.00
b) Adult Gaming Centre			
Grant	1,600.00	1,600.00	0.00
Variation	800.00	800.00	0.00
Transfer	960.00	960.00	0.00
Reinstatement & Conversion of Provisional Statement	960.00	960.00	0.00
Provisional Statement	1,600.00	1,600.00	0.00
Annual Charge	840.00	840.00	0.00
c) Betting (track)			
Grant	2,000.00	2,000.00	0.00
Variation	1,000.00	1,000.00	0.00
Transfer	760.00	760.00	0.00
Reinstatement & Conversion of Provisional Statement	760.00	760.00	0.00
Provisional Statement	2,000.00	2,000.00	0.00
Annual Charge	840.00	840.00	0.00
d) Family Entertainment Centre			
Grant	1,600.00	1,600.00	0.00
Variation	800.00	800.00	0.00
Transfer	760.00	760.00	0.00
Reinstatement & Conversion of Provisional Statement	760.00	760.00	0.00
Provisional Statement	1,600.00	1,600.00	0.00
Annual Charge	635.00	635.00	0.00
e) Betting (Other)			
Grant	2,400.00	2,400.00	0.00
Variation	1,200.00	1,200.00	0.00
Transfer	960.00	960.00	0.00
Reinstatement & Conversion of Provisional Statement	960.00	960.00	0.00
Provisional Statement	2,400.00	2,400.00	0.00
Annual Charge	515.00	515.00	0.00
a) Gaming Machines in Alcohol Licensed Premises			
Automatic Entitlement	50.00	50.00	0.00
b) Licensed Premises Gaming Machine Permits			
Grant	150.00	150.00	0.00
Variation	150.00	150.00	0.00
Transfer	25.00	25.00	0.00
Annual Fee	50.00	50.00	0.00
c) Club Gaming & Club Machine Permits			
Grant	200.00	200.00	0.00
Renewal	200.00	200.00	0.00
Renewal for holder of Club Prem Cert under Lic Act 03	100.00	100.00	0.00
Annual Fee	50.00	50.00	0.00
Copy of Permit	15.00	15.00	0.00
Lotteries			
a) Registration	40.00	40.00	0.00
b) Annual Fee	20.00	20.00	0.00

REGULATORY SERVICES	2015/16	2016/17	
	Charge (Before VAT)	Charge (Before VAT)	Increase
	£	£	£
<u>STREET TRADING CONSENTS</u>			
INSIDE CITY WALLS			
Artists	2,100.00	2,100.00	0.00
Buskers (annual)	n/a	n/a	n/a
Buskers 1 day	20.00	20.00	0.00
Buskers 5 days	60.00	60.00	0.00
Buskers 10 days	100.00	100.00	0.00
Buskers 1 month	198.00	198.00	0.00
OUTSIDE CITY WALLS			
Ice Cream	1,680.00	1,680.00	0.00
Food	1,575.00	1,575.00	0.00
Non Food	750.00	750.00	0.00
OCCASIONAL			
Food	55.00	55.00	0.00
Non Food	40.00	40.00	0.00
Charities	15.00	15.00	0.00
INDIVIDUALLY ASSESSED SITES	140,000.00	140,000.00	0.00
<u>CAR BOOT SALES (commercial)</u>			
Less than 15 traders	75.00	75.00	0.00
15 - 50 traders	148.00	148.00	0.00
50 - 100 traders	300.00	300.00	0.00
More than 100 traders	410.00	410.00	0.00
Charities	15.00	15.00	0.00
<u>SEX ESTABLISHMENTS</u>			
Grant sex shop/cinema	645.00	911.00	266.00
Grant sexual entertainment venue	785.00	1,457.00	672.00
Renewal sex shop/cinema	560.00	613.00	53.00
Renewal sexual entertainment venue	777.00	1,080.00	303.00
Trans/Vary sex shop/cinema	560.00	613.00	53.00
Trans/Vary sexual entertainment venue	777.00	1,080.00	303.00
<u>Scrap Metal Dealers - renewable 3 yearly</u>			
Grant / renewal site licence	450.00	460.00	10.00
Grant / renewal site licence (2 sites)	600.00	612.00	12.00
Grant / renewal site licence (3 sites)	755.00	770.00	15.00
Grant / renewal collectors licence	250.00	255.00	5.00
Variation	120.00	122.50	2.50
Variation change of name / address	55.00	56.50	1.50
<u>Miscellaneous - new charges</u>			
Hypnotism Licence	70.00	70.00	0.00
Film Classification	83.00	85.00	2.00
Replacement Charitable Collection Permit	10.50	10.50	0.00

TAXI LICENSING	2015/16	2016/17	
	Charge £	Charge £	Increase £
PRIVATE HIRE LICENCE FEES			
Driver's licence - new application (3 Year Licence)	100.00	255.00	155.00
Knowledge test fee	15.00	18.00	3.00
Driver's licence - renewal (3 Year Licence) and (applications over 3 months late charged at new app fee)	60.00	167.00	107.00
Fee for holders of current H.C. drivers licence on first application - note: subsequent renewals are at the normal renewal cost	40.00	42.00	2.00
Vehicle licence - new application	154.00	162.00	8.00
Vehicle licence - renewal (applications over 3 months late charged at new app fee)	122.00	128.00	6.00
Vehicle licence - new plate renewal (change every 3 years)			
Vehicle inspection	40.00	45.00	5.00
Vehicle re-test	28.50	30.00	1.50
Change of vehicle fee	28.50	30.00	1.50
Drivers badge - replacement charge	6.00	10.00	4.00
Internal vehicle plate - replacement charge	6.00	8.00	2.00
Vehicle plates - cost to new apps (includes internal plate)	45.00	48.00	3.00
Vehicle plates - replacement charge (set of 2)	28.50	30.00	1.50
Operator's licence - Up to and including 3 vehicles	50.00	n/a	n/a
- Up to and including 10 vehicles	70.00	n/a	n/a
- Up to and including 20 vehicles	86.00	n/a	n/a
- Up to and including 30 vehicles	106.00	n/a	n/a
- Up to and including 40 vehicles	128.00	n/a	n/a
- More than 40 vehicles	156.00	n/a	n/a
operator's licence 1 - 10 vehicles (5 Year Licence)	n/a	131.00	n/a
11 - 30 vehicles (5 Year Licence)	n/a	187.00	n/a
31 - 50 vehicles (5 Year Licence)	n/a	243.00	n/a
51 - 70 vehicles (5 Year Licence)	n/a	300.00	n/a
71 - 90 vehicles (5 Year Licence)	n/a	356.00	n/a
90+ vehicles (5 Year Licence)	n/a	413.00	n/a
change of company name	n/a	25.00	n/a
transfer of licence	n/a	25.00	n/a
Vehicle licence transfer fee	23.50	25.00	1.50
Duplicate licence fee	14.50	15.00	0.50
Change of name or address	n/a	15.00	n/a
Administration charge for various activities including bounced cheques	25.00	30.00	5.00
HACKNEY CARRIAGE LICENCE FEES			
Driver's licence - new application (3 Year Licence)	110.00	255.00	145.00
Knowledge test (new charge)	15.00	18.00	3.00
Driver's licence - renewal (3 Year Licence) and (applications over 3 months late charged at new app fee)	67.00	167.00	100.00
Hackney carriage fee for holders of current private hire driver's licence on first application - note: subsequent renewals are at the normal renewal cost	40.00	42.00	2.00
Vehicle licence - new application	174.00	183.00	9.00
Vehicle licence - renewal (applications over 3 months late charged at new app fee)	133.00	140.00	7.00
Horse drawn hackney carriage vehicle licence	122.00	128.00	6.00
Vehicle inspection	40.00	45.00	5.00
Vehicle re-test	28.50	30.00	1.50
Change of vehicle fee	28.50	30.00	1.50
Driver's badge - replacement charge	6.00	10.00	4.00
Internal vehicle plate - replacement charge	6.00	8.00	2.00
Vehicle plate - replacement charge	25.50	27.00	1.50
Vehicle licence transfer fee	23.50	25.00	1.50
Duplicate licence fee	14.50	15.00	0.50
Change of name or address	n/a	15.00	n/a
Administration charge for various activities including bounced cheques	25.00	30.00	5.00

HOUSING		2015/16	2016/17	
		Current Charge	Charge	Increase
		£	£	£
Garages				
Normal	Council tenant	6.94	7.00	0.06
	Private **	8.33	8.41	0.08
High Demand	Council tenant	8.35	8.43	0.08
	Private (local connection) **	19.51	19.69	0.18
	Private (no local connection) **	24.53	24.75	0.22
Low Demand	All tenures	3.51	3.54	0.03
Cookers				
Charges are based on current prices plus a %. No new cookers are rented to tenants		2014/15 charge plus 2.2%	2015/16 charge plus 0.9%	0.90%

** Charges include VAT

SPORTS		2015/16	2016/17	
		Current Charge	Charge	Increase
Price Type		£	£	£
Open, Lane, Adult, Deep End, Women Waterfun & 50+ Swim sessions	Adult Adult YorkCARD Concession Conc YorkCARD	4.95 3.95 3.50 2.70	4.95 3.95 3.50 2.70	0.00 0.00 0.00 0.00
Under 5 policy	Kids go free			
Family Saver	Yorkcard 2 adults 2 kids	10.60	10.60	0.00
Family Sav. Plus	Yorkcard 1 adult 2 kids non york 2 adults 2 kids non york 1 adult 2 kids	6.65 13.40 8.45	6.65 13.40 8.45	0.00 0.00 0.00
Swim lessons	Kids 30 mins Kids 45 mins Adults 30 mins Adults 45 mins 1:1 course of 5 1:1 individual Video Analysis (new)	5.35 6.85 5.35 6.85 103.00 22.60 N/A	5.65 7.00 5.65 7.00 103.00 22.60 95.00	0.30 0.15 0.30 0.15 0.00 0.00
Aquafit & Aquanatal	Adult Adult YorkCARD Concession Conc YorkCARD	5.80 4.60 4.45 3.70	5.85 4.85 4.65 3.85	0.05 0.25 0.20 0.15
Loyalty Swim Card	Adult Adult YorkCARD Concession Conc YorkCARD	39.60 31.60 28.00 21.60	39.60 31.60 28.00 21.60	0.00 0.00 0.00 0.00
Loyalty Aquafit/ Work Out Card	Adult Adult YorkCARD Concession Conc YorkCARD	N/A N/A N/A N/A	46.80 38.80 37.20 30.80	
CLUB POOL HIRE RATES WHICH INCLUDE 2 LIFEGUARDS AS STANDARD				
Whole Pool Hire	incl vat 1 hour	117.00	122.88	5.88
Half Pool Hire	incl vat 1 hour	58.50	61.44	2.94
Lane Hire	incl vat 1 hour	29.25	30.72	1.47
SCHOOL POOL HIRE RATES WHICH INCLUDE 2 LIFEGUARDS & 2 TEACHERS AS STANDARD (based on 10 wks)				
School Pool Hire	1/2 hr Per term	721.00	725.00	4.00
Additional Teacher per week per half hour		10.50	15.50	5.00
BeActive	12 mth contract DD 3 mth contract DD Corp/student mth	33.00 38.00 28.00	33.00 38.00 28.00	0.00 0.00 0.00

TRANSPORT	2015/16	1st April 2016	
	Charge (exc VAT) £	Proposed Charge (exc VAT) £	Increase £
Bus Stop			
Installation & removal of temporary bus stop	92.40	92.40	0.00
Removal of permanent bus stop during work	174.00	174.00	0.00
Damage to bus stop or unauthorised removal	174.00	174.00	0.00
Road Safety			
Local Authority School Children: (cost per child)			
Pre Basic Cycle Training Level 1	3.40	3.40	0.00
Basic Cycle Training Level 2	17.00	17.00	0.00
Cycle Training Level 1 and 2 combined	20.00	20.00	0.00
Advanced Cycle Training Level 3	8.40	8.50	0.10
Adults (cost per person):			
1:1 adult training (first hour)	25.50	25.50	0.00
1:1 adult training (90 minutes)	38.25	38.25	0.00
Pedestrian Training:			
School training by class (2 x 1.5hr class)	76.50	76.50	0.00
External Trainer Training (cost per person)	400.00	400.00	0.00
Replacement charge for YOzone card	7.50	7.50	0.00
Highways Adoption Fees	8% of scheme costs	8% of scheme costs	n/a
Checking Developers Plans	£500 + 2% of estimated works	£500 + 2% of estimated works	n/a
White Bar Markings			
Application and Initial Placement	120.00	122.00	2.00
Refreshment (to new and existing)	75.00	77.00	2.00
Scaffold & Hoarding licences			
Initial consent and 1 month permission	87.00	89.00	2.00
Each additional month or part thereof	57.00	58.00	1.00
Late notification fee (less than 5 working days)	18.00	19.00	1.00
Failure to comply with terms of licence	18.00	19.00	1.00
Skip/ Container/ Building Materials licence for 14 days	36.00	37.00	1.00
Late notification fee (less than 3 working days)	18.00	19.00	1.00
Failure to comply with terms of licence	18.00	19.00	1.00
Additional fee for dealing with unlicensed skips/ scaffolding	57.00	58.00	1.00
Cherry picker licence - up to 1 day	69.00	70.00	1.00
Cherry picker licence - more than 1 day	102.00	104.00	2.00
Vehicle Crossing Fees (Assessment & Inspection Fee)	69.00	70.00	1.00
Road Closure (exc VAT and advertising costs)	460.00	n/a	n/a
Road Closures, dependant on scale (exc VAT and advertising costs) (Non-Commercial/ Charitable Events may be exempt or reduced, advertising costs will still be chargeable)	n/a	min 460 max 1,380	n/a
Temporary Waiting Restrictions (exc cost of work, coning & advertising)	166.00	169.00	3.00
Authority to contravene Moving Traffic Order	22.00	23.00	1.00
Annual Parking Waiver	79.00	81.00	2.00
Waiver to contravene a Parking Order			
1 day	22.00	23.00	1.00
2 - 7 days	56.00	57.00	1.00
8 - 14 days	110.00	112.00	2.00
Brown Sign Applications			
4 signs or less	346.00	n/a	n/a
5 to 8 signs	404.00	n/a	n/a
9 signs or more	460.00	n/a	n/a

TRANSPORT	2015/16
	Charge (exc VAT) £

1st April 2016	
Proposed Charge (exc VAT) £	Increase £

TRANSPORT	2015/16	1st April 2016	
	Charge (exc VAT) £	Proposed Charge (exc VAT) £	Increase £
1 sign	n/a	300.00	n/a
2 signs	n/a	500.00	n/a
Charge per sign for each additional sign over 2 signs	n/a	100.00	n/a
Additional charge for signs on the trunk road network	n/a	750.00	n/a
Any additional works costs per sign	n/a	per application	n/a
Noticeboard/structure (in highway)	n/a	250.00	n/a
Licence to plant	n/a	250.00	n/a
Approval consent for House Builder signs			
4 signs or less	346.00	353.00	7.00
5 to 8 signs	404.00	412.00	8.00
9 signs or more	460.00	469.00	9.00
Pavement Cafe Licences	616.00	628.00	12.00
General Solicitor Highway Enquiries			
Simple	79.00	81.00	2.00
Medium	105.00	107.00	2.00
Complex	210.00	214.00	4.00
NRSWA (Set Nationally)			
Section 50 Licence Administration	300.00	300.00	0.00
Special Permission Inspections	300.00	300.00	0.00
Utility sample fee	50.00	50.00	0.00
Investigatory/ Third Party	68.00	68.00	0.00
Defect Inspections fee	47.50	47.50	0.00
Special Permissions	£800 or 6%	£800 or 6%	n/a
Charges for Casualty Accident Data			
Statistic Only Requests - Upto 10 years Statistics			
Single Junction and/or upto 200m	25.00	35.00	10.00
Single Junction and/or upto 600m	50.00	60.00	10.00
Roundabouts upto 6 arms and 200m	75.00	85.00	10.00
Roundabouts upto 6 arms and 1.6km	100.00	110.00	10.00
Upto 16km e.g. A1237	150.00	170.00	20.00
Upto 32km e.g. A64	200.00	220.00	20.00
Whole of York	250.00	280.00	30.00
Extra Plan by vehicle type pr pedestrian	25.00	35.00	10.00
Standard Collision Requests			
Accident Request - upto 5 years			
Single Junction and/or upto 200m	60.00	70.00	10.00
Single Junction and/or upto 600m	85.00	95.00	10.00
Roundabouts upto 6 arms and 200m	120.00	130.00	10.00
Roundabouts upto 6 arms and 1.6km	150.00	170.00	20.00
Upto 16km e.g. A1237	200.00	220.00	20.00
Upto 32km e.g. A64	250.00	280.00	30.00
Whole of York	300.00	330.00	30.00
Extra Plan by vehicle type or pedestrian	50.00	60.00	10.00
Accident Request - upto 10 years			
Single Junction and/or upto 200m	100.00	110.00	10.00
Single Junction and/or upto 600m	150.00	170.00	20.00
Roundabouts upto 6 arms and 200m	200.00	220.00	20.00
Roundabouts upto 6 arms and 1.6km	250.00	280.00	30.00
Upto 16km e.g. A1237	300.00	330.00	30.00
Upto 32km e.g. A64	350.00	390.00	40.00
Whole of York	400.00	440.00	40.00
Extra Plan by vehicle type pr pedestrian	100.00	110.00	10.00

WASTE SERVICES	2015/16	2016/17	
	Charge (inc VAT if applicable)	Proposed Charge (inc VAT if applicable)	Increase
	£	£	£
Charges for Replacement Bins/Containers			
180L	38.75	40.00	1.25
240L	44.50	45.00	0.50
360L	50.00	50.00	-
Recycling box	6.00	6.00	-
Hazel Court - Household Waste Recycling Centre			
Material Charges:			
Brick/rubble up to 500Kg	23.00	23.00	-
Brick/rubble up to 250Kg	12.00	12.00	-
Bonded Asbestos up to 50Kg	12.00	12.00	-
Bonded Asbestos bag	6.00	6.00	-
Plasterboard sheet	6.00	6.00	-
Plasterboard bag	6.00	6.00	-
Gas bottles up to 10Kg	7.50	7.50	-
Gas bottles up to 20Kg	12.00	12.00	-
Gas bottles specialised	38.50	38.50	-
Garden Waste (additional bin collection charge)	37.00	37.00	-

DRAINAGE	2015/16	2016/17	
	Charge (inc VAT if applicable)	Proposed Charge (inc VAT if applicable)	Increase
	£	£	£
Drainage *			
Private Blocked Drains	90.00	114.00	24.00
Empty septic tank at domestic property	231.00	242.00	11.00
Empty septic tank at commercial property	382.00	451.00	69.00

* Additional charges may apply for work outside the City of York boundary.

Building Control

Note : Vat is chargeable at the appropriate rate

SERVICE	2015/16	1st April 2016	
	Current Charge £	Proposed Charge £	Increase £
Building Control Letter of confirmation } Completion Certificate: } Approvals }	44.00	45.00	1.00

DEVELOPMENT MANAGEMENT**Section A - Advice as to whether permission / consent is required**

Category	Current Fee 2015/16 £	Proposed 2016/17 £	Increase £
Householder Enquiry (ie house extensions, garages/sheds, etc)	62.50	64.00	1.50
Other Commercial Development (to establish if "development" or whether "permitted development" or not	62.50	64.00	1.50

Section B - Advice in relation to the prospects of permission / consent being granted**Category - Minor Development**

Proposed Development Type	Current Fee 2015/16 £	Proposed 2016/17 £	Increase £
Householder	62.50	64.00	1.50
Advertisements	62.50	64.00	1.50
Commercial (where no new floorspace)	92.00	95.00	3.00
Change of Use	92.00	95.00	3.00
Telecommunications	125.00	130.00	5.00
Other (See note 3)	125.00	130.00	5.00
Small Scale Commercial Development (Incl shops offices, other commercial uses)			
* Upto 500m2	320.00	330.00	10.00
* 500-999m2	640.00	660.00	20.00
Small Scale Residential			
* less than 4 Dwellings - fee per dwelling	125.00	130.00	5.00
* 4-9 Dwellings	640.00	660.00	20.00

Note 1 - All Fees are subject to VAT

Note 2 - With site visit and meeting if Development Management Officer considered to be required

Note 3 - Includes all other minor development proposals not falling within any of the categories such as variation or removal of condition, car parks and roads and certificates of lawfulness

Category - Major Developments

Proposed Development Type	Current Fee 2015/16 £	Proposed 2016/17 £	Increase £
Major new residential			
Student accommodation developments (10 or more students)			
* 10-25 Dwellings	1,130.00	1,160.00	30.00
* 26-199 Dwellings - additional fee per dwelling	44.00	45.00	1.00
Small Scale Commercial Development (inc shops, offices, other commercial uses)			
* 1,000 m2 to 3,000m2	1,950.00	2,000.00	50.00

Note 1 - All Fees are subject to VAT

Note 2 - With site visit and meeting if Development Management Officer considered to be required

DEVELOPMENT MANAGEMENT**Category - Very Large Scale Developments**

Proposed Development Type	Current Fee 2015/16 £	Proposed 2016/17 £	Increase £
* Development of over 200 dwellings (A further bespoke charge may be required depending on complexity of the development & the range of issues that need to be addressed in the pre-app process)	Minimum fee of £44 per dwelling	Minimum fee of £45 per dwelling	1.00
* Single use or mixed use developments involving sites of 1.5 ha or above * Development of over 3,000m2 of commercial floorspace * Planning briefs / Masterplans	Fee to be negotiated with a minimum fee of £3,500	Fee to be negotiated with a minimum fee of £3,600	100.00

Note 1 - All Fees are subject to VAT

Note 4 - With multiple meetings including a lead officer together with Development Management case officer and other specialist officer inputs as required for a period of upto 12 months

Note 5 - The fee for pre-application advise expected to be not less than 20% of anticipated planning fee for a full application for the development proposal

Exemptions

Advice sought in the following categories is free

- * Where the enquiry is made by a Parish Council or Town Council
- * Where the development is for a specific accommodation/facilities for a registered disabled person
- * Advice on how to submit a planning application
- * Enquiries relating to Planning Enforcement

PARKING SERVICES		2015/16	2015/16	2015/16	2016/17		2016/17		2016/17	
		Standard Charge	Discounted Rate*	Premium Rate**	Standard Charge		Discounted Rate*		Premium Rate**	
		Charge £	Charge £	Charge £	Proposed Charge £	% Increase %	Proposed Charge £	% Increase %	Proposed Charge £	% Increase %
Note : Vat is chargeable at the appropriate rate										
Household Permit	-Standard *	93.00	46.50	125.00	96.00	3.2%	48.00	3.2%	130.00	4.0%
	Quarterly charge *	29.00	14.50	38.00	29.50	1.7%	14.75	1.7%	39.00	2.6%
	-Second	165.00			172.50	4.5%				
	Quarterly charge	52.50			54.50	3.8%				
	-Third	330.00			345.00	4.5%				
	Quarterly charge	92.00			95.00	3.3%				
	-Fourth	660.00			690.00	4.5%				
	Quarterly charge	178.00			185.00	3.9%				
Visitor	-Standard	1.10			1.15	4.5%				
	-Concessionary	0.30			0.30	0.0%				
Special Control Permit	-Standard *	105.00	52.50	130.00	108.00	2.9%	54.00	2.9%	135.00	3.8%
	Quarterly charge *	31.50	16.00	40.00	32.00	1.6%	16.00	0.0%	41.00	2.5%
Special Additional Permit	-Standard *	105.00	52.50	130.00	108.00	2.9%	54.00	2.9%	135.00	3.8%
	Quarterly charge	31.50	16.00	40.00	32.00	1.6%	16.00	0.0%	41.00	2.5%
Business Permit *		400.00	200.00		400.00	0.0%	200.00	0.0%		
Guest House Authorisation Card		400.00			400.00	0.0%				
Multiple Occupancy Permit *		154.00	77.00		157.50	2.3%	78.75	2.3%		
Landlord's Permit *		154.00	77.00		157.50	2.3%	78.75	2.3%		
Community Permit *		51.50	26.00		53.00	2.9%	26.50	1.9%		
Day use Community Permit	- Standard	1.25			1.25	0.0%				
	- Charities	0.30			0.30	0.0%				
Authorisation Card without Permit		2.90			3.00	3.4%				
Property Renovation Permit	- Quarterly *	110.00	55.00		114.00	3.6%	57.00	3.6%		
	- Daily *	2.80	1.40		3.00	7.1%	1.50	7.1%		
Commercial Permit *		550.00	275.00		570.00	3.6%	285.00	3.6%		
Commercial Permit (Specific Zone) *		144.00	72.00		148.00	2.8%	74.00	2.8%		
Penalty Charge Notice (PCN) Full (Higher/ Lower)		70.00/ 50.00			70.00/ 50.00	0.0%				
PCN Discounted (Higher/ Lower)		35.00/ 25.00			35.00/ 25.00	0.0%				
PCN Enforced (Higher/ Lower)		105.00/ 75.00			105.00/ 75.00	0.0%				
Vehicle Removal Charge		105.00			105.00	0.0%				
Vehicle Storage Charge	Daily	12.00			12.00	0.0%				
Vehicle Disposal Charge		25.00			25.00	0.0%				
Admin Fee		50.00			50.00	0.0%				
Replacement Permit Respark	First Replacement	Amount remaining on Permit								
	Second Replacement	165.00			172.50	4.5%				
Regular User Discount Permit		20.00			20.00	0.0%				

* discount available for vehicles 2.7m or less in length or a low emission vehicle within DVLA defined Band A, B or C.

** additional charge for high emission vehicles within DVLA band J,K,L or M.

PARKING SERVICES - SCHEDULE OF SEASON TICKET CHARGES

		2015/16 Current Charge £	2016/17	
			Proposed Charge £	Increase %
Annual Season Ticket*	Standard Car Parks	1,035.00	1,095.00	5.80%
	Discount vehicle rate	517.00	547.50	5.90%
Monthly Season Tickets				
Standard Stay car parks	Standard rate	135.00	145.00	7.41%
	Discount vehicle rate	57.00	72.50	27.19%
Weekly Season Tickets				
Preferential phone rate only				
Standard Stay car parks	Standard rate	55.00	60.00	9.09%
	Discount vehicle rate	23.00	30.00	30.43%
Contract Parking (Bulk) *				
Foss Bank - Annual		374.00	500.00	33.69%
Hotel Scratchcards				
Standard Stay Car Parks	Per Book of 30	130.00	240.00	84.62%
Contract Parking (City Centre Resident 24 hour)				
Foss Bank - Monthly	Standard rate	77.00	77.00	0.00%
	Discount vehicle rate	35.00	35.00	0.00%
Foss Bank - Annual	Standard rate	800.00	800.00	0.00%
	Discount vehicle rate	370.00	370.00	0.00%
Surface - Monthly	Standard rate	71.00	71.00	0.00%
	Discount vehicle rate	30.00	30.00	0.00%
Surface - Annual	Standard rate	786.00	786.00	0.00%
	Discount vehicle rate	327.00	327.00	0.00%

Note

Standard Car Parks exclude use of Castle, Bootham Row, Piccadilly and Esplanade
Discount vehicle rate means a vehicle 2.7m or less in length OR a low emission vehicle
within the DVLA defined BAND A, B or C

* ie 10 or more purchased at the same time

Proposed Parking Tariffs from April 2016

a) Off-Street Car Parks

Note			Daytime Charges (0800 - 18:00)							Evening Note 4	24 hour
			< 30 Mins	Upto 1 hr	1-2 Hours	2-3 Hours	3-4 Hours	4-5 Hours	Over 5 hours	6.00pm to 08.00am	Charge using mobile phone
Short Stay	1	Discounted	N/A	£2.10	£4.20	£6.30	£8.40	£10.50	£2.10 per addnl hour	free	
		Standard	N/A	£2.40	£4.80	£7.20	£9.60	£12.00	£2.40 per addnl hour	£2.00	
		Standard	Mob Phone	N/A	£2.30	£4.60	£6.90	£9.20	£11.50	£2.30 per addnl hour	
Standard Stay	2/4	Discounted	N/A	£1.50	£3.00	£4.50	£6.00	£7.50	£12.00	free	£12.00
		Standard	N/A	£2.10	£4.20	£6.30	£8.40	£10.50	£12.00	£2.00	£12.00
		Standard	Mob Phone	N/A	£2.00	£4.00	£6.00	£8.00	£10.00	£12.00	£2.00
Foss Bank	3		£1.10 per hour								
		Mob Phone	£1.00 per hour								
Bishopthorpe Rd	3		N/A	£0.30	£0.80	£1.50	Maximum stay of 3 hours			free	
East Parade	3		£0.30	£0.70	£4.20	£6.30	Parking for over 2 hours is only allowed after 3pm.			free	

Note 1 - Bootham Row, Esplanade, Castle and Piccadilly (Piccadilly closes at 6:30pm and so there is no evening charge)

Note 2 - Castle Mills, Marygate, Monk Bar, Nunnery Lane, St. Georges, Union Terrace. The £12.00 (over 5 hours fee) allows parking until 8am the next day.

Castle Mills closes at 8:30pm and charges only apply till 8:00pm.

Note 3 - There are no discounts or evening charges at Foss Bank, Bishopthorpe Road or East Parade. The charges only apply until 18:00 except at Foss Bank where they apply until 20:00.

Note 4 - Evening parking charges for Regular Discount User Permit Holders on Fridays and Saturdays in Standard Stay Car Parks to commence at 5pm

b) Coach Parking

	Summer (1/4/16 - 31/10/16)			Winter (1/11/16 - 31/3/17)	
	<1 Hour	<3 Hours	Over 3 hrs	<1 Hour	Over 1 Hr
Union Terrace and St George's Field Coach Parks	£5.80	£8.90	£12.60	£5.80	£8.90

c) On Street Parking

				Daytime Charges				Evening	Streets Included
				< 30mins	<1 Hour	1-2 Hours	2-3 Hours	6.00pm to 08.00am	
Standard Rate	5	Discounted		N/A	£2.10	£4.20	£6.30	free	Carmelite St, Dundas Street, Lawrence Street, Lord Mayor's Walk, North Street, Palmer Lane, Piccadilly, Skeldergate, Tanner's Moat, Toft Green, Walmgate.
		Standard		N/A	£2.10	£4.20	£6.30	£2.00	
Micklegate	5 & 6	Discounted		£0.30	£0.70	£4.20	£6.30	free	
	5 & 6	Standard		£0.30	£0.70	£4.20	£6.30	£2.00	
Priory Street	5 & 6	Discounted		N/A	£2.10	£4.20	£6.30	free	
	5 & 6	Standard		N/A	£2.10	£4.20	£6.30	£2.00	
City Centre Footstreets		Discounted						free	Fossgate, Piccadilly, St Deny's Road, The Stonebow, Walmgate.
		Standard						£2.00	
Respark Shared Use Areas		Non-Permit Holders		N/A	£0.90			Charges Apply 8am - 8pm	Bishophill Senior, Clifton, Cromwell Rd, Cumberland St, Garden St, George St, Huntington Rd, Lawrence St, Lead Mill Lane, Lower Friargate, Lower Priory St, Lowther St, Margaret St, Marygate, Park Grove, Penleys Grove St, Queen Anne's Rd, The Crescent, The Mount, Townend St, Union Terrace, Walmgate.

Note 5 - There is no discount available on-street except that parking after 6pm is free at discounted rate. Parking for over 2 Hours is only allowed after 3pm

Note 6 - No charges on Sundays between 8am and 1pm in Micklegate and Priory Street

d) On-Street Parking for large vehicles

	< 2 Hours	2- 5 Hours	5-12 Hrs	Market Traders with Permit
Foss Islands Road	£3.80	£6.00	£9.50	£2.00

Burnholme Sports Facilities	2015/16	2016/17	
	Charge (excl VAT) £	Proposed Charge (excl VAT)* £	Increase £
Sports hall - Full hall	25.75	26.50	0.75
Sports hall - 1 /2 hall	12.90	13.50	0.60
School hall	25.75	26.50	0.75
Gym	15.45	16.00	0.55
3G 1/3	20.60	21.00	0.40
Full 3G	49.95	51.50	1.55
Grass pitches @ Burnholme (90 minutes)	7.75	8.00	0.25
Training Room	15.45	16.00	0.55
Tennis	6.70	7.00	0.30
Knivesmire, Hempland Lane, Victoria Park and Chesney Field pitches			
- seasonal pitch hire	91.95	94.50	2.55
- changing rooms per match	15.45	16.00	0.55

ADULT SOCIAL CARE, COST PER WEEK	2015/16	2016/17		Explanation
	Charge (inc VAT if applicable)	Proposed Charge (inc VAT if applicable)	Increase/ (Reduction)	
	£	£	£	
Older People's Homes	542.99	600.95	57.96	Customers are financially assessed and only pay what they can afford. The proposed increase would increase the charge to approx 40 self funders in our homes generating approx £90k. The proposed charge has gone up as staffing has increased to better reflect the needs of residents and to move towards charging the full cost of care provided in the homes.
Flaxman Avenue (Learning Disability Residential Care)-Planned Placement	197.05	195.28	(1.77)	Customers residing at 22 The Avenue on a planned basis are able to claim Housing Benefit. The major element of the weekly charge is rent which increases in line with the Council Tenant's Rent increase (0.9%). However, this has been offset by savings made by the service in utility spend hence the charge decreasing in 2016/17.
Flaxman Avenue (Learning Disability Residential Care)-Planned Placement	584.00	589.84		Customers attending 22 The Avenue on an emergency basis are financially assessed under fairer charging and only pay as much as they can afford.
22 The Avenue (Mental Health Residential Care) - Emergency respite	280.00	281.60	1.60	Customers who can afford to pay the full cost of their care but choose to have it organised by the Local Authority can now be charged for this service under the Care Act 2014.
Additional reconciliation charge for full fee payers (per reconciliation)	-	6.10		Income Services can charge full fee payers for any reconciliations of their account they request above the annual reconciliation.
22 The Avenue (Mental Health Residential Care) - Emergency respite	221.00	496.00	275.00	The Care Act permits customers to defer payment for the cost of their care. The local authority can recover their costs for setting up this arrangement. The cost has increased significantly due to the administration and legal cost needed to administer this process.

Expenditure:

Repairs & Maintenance

5,224

878

257

101

30

6,490

Jobs General

Projects

Estate Improvements

Decoration Allowance

Rechargeable Repairs

4,934

803

257

51

30

6,075

General Management

71

2,499

101

2,036

1,003

31

5,741

Tenant Support and Information

Recharges

AD Housing and Public Protection

Landlord Services

Building Services

HRA Training

61

2,568

102

2,027

1,012

31

5,801

Special Services

813

92

544

379

250

21

41

6

6

2,152

Sheltered Housing

Energy Costs

Temporary Accommodation

Grounds Maintenance

Caretaking Costs

Cleaning Costs

Lifts

Communal Aerials

Contribution to Energy Efficiency

838

92

547

379

250

21

41

6

6

2,180

Rents etc.

25

209

1

235

Rent & Rates

Insurance

RTB Legal Fees

20

206

1

227

Provision for Bad and Doubtful Debts

479

479

Council Housing

479

479

Capital Charges

8,225

50

8,275

Depreciation

Debt Management

8,293

50

8,34323,372

TOTAL EXPENDITURE

23,105**Income:**

Rents

-32,326

-307

-32,633

Council Housing

Temporary Accommodation

-31,719

-305

-32,024

Non Dwellings Rents

-318

-251

-17

Council Garages

Council Shops*

General Rents

-321

0

-17

BUDGET 2015/16		BUDGET 2016/17
-586		-338
	Charges for Services and Facilities	
-7	Fees & Charges - Council Housing	-4
-84	- Legal Fees	-84
-85	- RSL management fee*	0
-714	- Sheltered Housing	-714
-2	- Temporary Accommodation	-2
-24	Cookers	-20
-90	Leaseholder Admin Charge	-90
-1,006		-914
	Contribution Towards Expenditure	
-11	- Sheltered Housing	-11
-25	- Rechargeable Repairs	-25
-36		-36
	Supporting People Income	
-339	- Temporary Accommodation	-339
-339		-339
-34,600	TOTAL INCOME	-33,651
-11,228	NET COST OF SERVICE	-10,546
4,620	Loan Interest Paid	4,575
-1	Mortgage Interest	-1
-160	Revenue Cash Interest Received	-265
1,170	Capital Expenditure financed from Revenue	0
-446	Contribution to/(from) MRR	-446
3,395	Contribution to/(from) Earmarked Reserves	3,000
-2,650	(SURPLUS) / DEFICIT IN YEAR	-3,683
-14,022	(SURPLUS) / DEFICIT BROUGHT FORWARD	-17,152
-2,650	(SURPLUS) / DEFICIT IN YEAR	-3,683
-16,672	(SURPLUS) / DEFICIT CARRIED FORWARD	-20,835

* Income and relevant costs to be transferred to General Fund as part of savings proposals at annex 2

Annex 6 2016/17 HRA Savings Proposals

Ref	Proposal Description	2016/17 Impact £'000	17/18 Impact £'000	Total Saving Impact £'000
HRA1	Housing Repairs Reduced expenditure on subcontractors as a result of improved productivity within CYC workforce - linked to effective mobile working.	400	100	500
HRA2	Housing Repairs Reduce General Maintenance Budget	75	25	100
HRA3	Housing Repairs Reduce Void decoration budget	50	0	50
HRA4	General Management Withdraw the golden goodbye scheme	25	0	25
HRA5	General Management Reduce the number of streets ahead publications from 4 to 3 issues per year.	10	0	10
Total		560	125	685

This page is intentionally left blank

SECTION 1: CIA SUMMARY



Community Impact Assessment: Summary

1. Name of service, policy, function or criteria being assessed:

Financial Strategy 2016/17

2. What are the main objectives or aims of the service/policy/function/criteria?

The Financial Strategy sets out the forecast revenue and capital expenditure plans. It identifies the need to make efficiencies / savings of £7m in 2016/17.

3. Name and Job Title of person completing assessment:

Debbie Mitchell

Corporate Finance & Commercial Procurement Manager

4. Have any impacts been identified? (Yes/No)

Yes

Community of Identity affected:

All

Summary of impact:

The Council's financial strategy will impact on all residents and has carefully considered the local demand for services whilst also ensuring the budget set is prudent, protects vulnerable people and has capacity to invest. The strategy contains a wide range of proposals for both investment and savings. The proposals currently being considered could have a negative impact on the following communities;

- Age
- Disability
- Carers

This negative impact can be mitigated by investment targeted to these same communities. When considering the overall impact of the budget proposals, both Adult Social Care and Children's Services will see a small increase in their total budgets whereas all other directorates will see a reduction in net budget. This demonstrates that the Council has protected these areas and ensured savings have been achieved from universal services and back office

		support functions.
--	--	--------------------

5. Date CIA completed: December 2015

6. Signed off by: Ian Floyd

7. I am satisfied that this service/policy/function has been successfully impact assessed.

Name:

Position:

Date:

8. Decision-making body:

Council

Date:

26 February 2015

Decision Details:

Send the completed signed off document to ciasubmission@york.gov.uk It will be published on the intranet, as well as on the council website.

Actions arising from the Assessments will be logged on Verto and progress updates will be required

Community Impact Assessment (CIA)

Community Impact Assessment Title:
Financial Strategy 2016/17

What evidence is available to suggest that the proposed service, policy, function or criteria could have a negative (N), positive (P) or no (None) effect on quality of life outcomes? (Refer to guidance for further details)

Can negative impacts be justified? For example: improving community cohesion; complying with other legislation or enforcement duties; taking positive action to address imbalances or under-representation; needing to target a particular community or group e.g. older people. NB. Lack of financial resources alone is NOT justification!

Community of Identity: Age

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
Resident and Customer data		Health Standard of Living Individual, family and social life	P & N	None
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date
Older People 1. A redesign of how the Council operates within Adult Social Care could impact on		Older People 1. Full CIA to be completed	1. Martin Farran	

<p>customers and staff. This should have a positive impact as resources are targeted to priority areas.</p> <p>2. Continued Investment in Adult Social Care, Telecare, Extra Care Sheltered Housing and Disability Support should have a positive impact on older people.</p> <p>3. Any reduction in subsidised transport options, such as Dial & Ride, could have a negative impact on the ability of older people to retain their independence.</p> <p>4. Reduced provision of street based services could impact on the ability of some older people to safely move around the city.</p> <p>5. Any reduction in support to external organisations could adversely impact on older people.</p>		<p>2. None</p> <p>3. Full CIA to be completed</p> <p>4. Wards have been given Pride in York budgets which currently outweigh the reductions and enable other ways of providing the service</p> <p>5. Full CIA to be completed</p>	<p>2. n/a</p> <p>3. tbc</p> <p>4. n/a</p> <p>5. tbc</p>	
--	--	---	---	--

<p>6. Any increase in fees and charges could adversely impact on older people and their standard of living</p> <p>Young People</p> <p>7. Transforming Young People’s Services could impact on customers and staff. This should have a positive impact as resources are targeted to priority areas.</p> <p>8. Continued Investment in Children’s Services should have a positive impact on younger people.</p> <p>9. Any reduction in the level of home to school transport could have a negative impact on young people.</p> <p>10.Children’s Centres</p> <p>11.Healthy Child Programme</p> <p>12.Any reduction in support to external organisations could adversely impact on</p>		<p>6. Full CIA to be completed</p> <p>Young People</p> <p>7. None</p> <p>8. Full CIA to be completed</p> <p>9. Full CIA to be completed</p> <p>10.Full CIA to be completed</p> <p>11.Full CIA to be completed</p> <p>12.Financial assessments are</p>	<p>6. Jon Stonehouse</p> <p>7. n/a</p> <p>8. Jon Stonehouse</p> <p>9. Jon Stonehouse</p> <p>10.Sharon Stoltz</p> <p>11.tbc</p> <p>12.n/a</p>	
---	--	--	--	--

young people.		completed for Adult Social Care customers to ensure that people only contribute an amount they can afford. No further action required.		
---------------	--	--	--	--

Community of Identity: Carers of Older or Disabled People

Evidence		Quality of Life Indicators		Customer Impact (N/P/None)	Staff Impact (N/P/None)
Resident and Customer data		Standard of Living Individual, family and social life Productive and valued activities		P & N	P & N
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date	
1. A redesign of how the Council operates within Adult Social Care could impact on carers. This should have a positive impact as resources are targeted to priority areas.		1. Full CIA to be completed	1. Martin Farran		
2. Continued Investment in Adult Social Care, Telecare, Extra Care Sheltered Housing and Disability Support should have a positive impact on carers of older		2. None	2. n/a		

<p>or disabled people.</p> <p>3. Any reduction in subsidised transport options, such as Dial & Ride, could have a negative impact on the ability of older people to retain their independence and therefore impact on the carers of those individuals.</p> <p>4. Reduced provision of street based services could impact on the ability of some older people to safely move around the city and therefore impact on the carers of those individuals.</p> <p>5. Any reduction in support to external organisations could adversely impact on carers.</p> <p>6. Any increase in fees and charges could adversely impact on carers and their standard of living</p>		<p>3. Full CIA to be completed</p> <p>4. Wards have been given Pride in York budgets which currently outweigh the reductions and enable other ways of providing the service</p> <p>5. Full CIA to be completed</p> <p>6. Financial assessments are completed for Adult Social Care customers to ensure that people only contribute an amount they can afford. No further action required.</p>	<p>3. tbc</p> <p>4. n/a</p> <p>5. tbc</p> <p>6. n/a</p>	
--	--	---	---	--

Community of Identity: Disability

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
Resident and Customer data		Health Standard of Living Individual, family and social life Productive and valued activities	P & N	None
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date
1. A redesign of how the Council operates within Adult Social Care could impact on disabled people. This should have a positive impact as resources are targeted to priority areas.		1. Full CIA to be completed	1. Martin Farran	
2. Continued Investment in Adult Social Care, Telecare, Extra Care Sheltered Housing and Disability Support should have a positive impact on disabled people.		2. None	2. n/a	

<p>3. Any reduction in subsidised transport options, such as Dial & Ride, could have a negative impact on the ability of disabled people to retain their independence.</p>		<p>3. Full CIA to be completed</p>	<p>3. tbc</p>	
<p>4. Reduced provision of street based services could impact on the ability of disabled people to safely move around the city.</p>		<p>4. Wards have been given Pride in York budgets which currently outweigh the reductions and enable other ways of providing the service</p>	<p>4. n/a</p>	
<p>5. Any reduction in support to external organisations could adversely impact on disabled people.</p>		<p>5. Full CIA to be completed</p>	<p>5. tbc</p>	
<p>6. Any increase in fees and charges could adversely impact on disabled people and their standard of living.</p>		<p>6. Financial assessments are completed for Adult Social Care customers to ensure that people only contribute an amount they can afford. No further action required.</p>	<p>6. n/a</p>	

Community of Identity: Gender

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
Resident and Customer data		Health Standard of Living Individual, family and social life Productive and valued activities	P & N	P & N
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date
Customer data shows that a higher proportion of females use social services, and that a higher proportion of carers are also female. Some of these carers will also be council staff. Therefore proposed investment will have a positive impact. However, this also means that females will be more adversely affected by any savings in these areas.		See individual items under age, carers and disability.	See individual items under age, carers and disability.	

Community of Identity: Gender Reassignment

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
It is not expected that there will be any impact on this community.				
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Marriage & Civil Partnership

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
It is not expected that there will be any impact on this community.				
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Pregnancy / Maternity

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
It is not expected that there will be any impact on this community.				
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Race

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
It is not expected that there will be any impact on this community.				
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Religion / Spirituality / Belief

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
It is not expected that there will be any impact on this community.				
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Sexual Orientation

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
It is not expected that there will be any impact on this community.				
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

This page is intentionally left blank

RISK ASSESSMENT

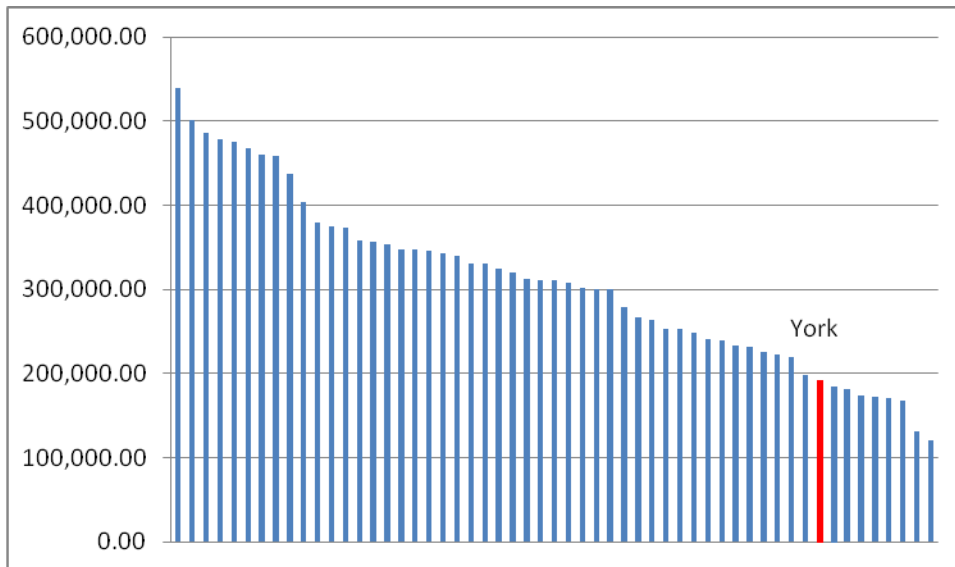
Risk	Likelihood	Seriousness	How we will manage the risk
Financial implications of business rates system, e.g. significant backdated appeals, are not as forecast in the budget strategy	Low	Medium	<ul style="list-style-type: none"> • regular monitoring
Adverse changes in the numbers of claimants receiving Council Tax Support	Medium	Medium	<ul style="list-style-type: none"> • regular monitoring to identify trends, with corrective action to ensure collection
Budgets across the Council are overspent due to external pressures eg increased clients in adult care	Medium	High	<ul style="list-style-type: none"> • regular monitoring with corrective action
All Savings are not achieved, or delayed, due to reduced management and support services capacity to deliver	High	High	<ul style="list-style-type: none"> • regular budget monitoring focused on high risk areas to identify issues at an early stage • where savings are not achieved ensure alternative savings identified • regular monitoring with corrective action at DMTs • effective project management
Service reviews do not deliver all required savings	High	Medium	<ul style="list-style-type: none"> • regular monitoring with corrective action at DMTs • robust tracking of all savings across the council • effective project management
Continued pressure on income budgets	Medium	Medium	<ul style="list-style-type: none"> • Regular budget monitoring to identify trends

Potential for reserves to go below minimum levels due to budgets being exceeded	Low	High	<ul style="list-style-type: none"> • Ensure minimum levels are maintained • Robust financial management/prudent budget setting
Costs of redundancy/retirement as a result of service changes exceed budget	Low	Medium	<ul style="list-style-type: none"> • Provision made for costs of retirement/redundancy in budgets

Background Information

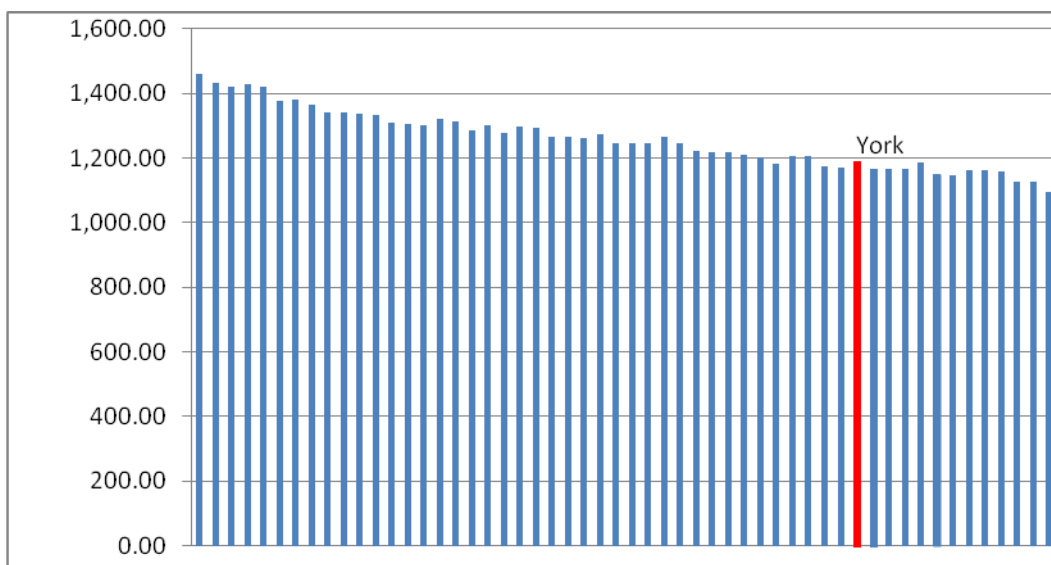
2016/17 Settlement Funding Assessment (SFA) Per Head

The following graph shows York as the 9th lowest SFA per head of population in comparison to other unitary authorities. This uses the allocations and population data as per the 2016/17 announcement.



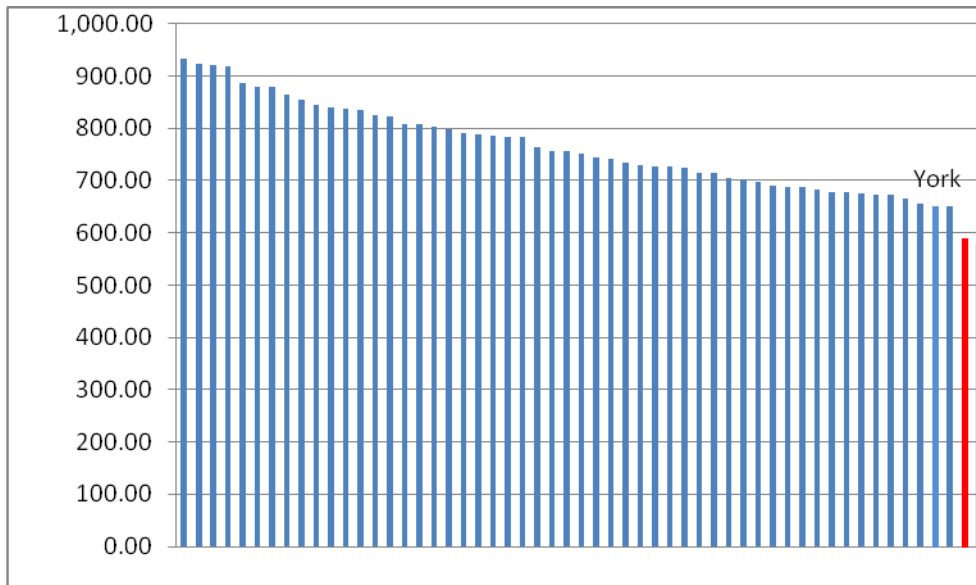
2015/16 Basic Band D Council Tax

The following graph shows York has the 13th lowest basic Band D Council Tax in comparison to other unitary authorities. This uses the approved 2015/16 levels.



2015/16 Net Budget Spend Per Head

The following graph shows York has the 2nd lowest net budget spend per head in comparison to other unitary authorities. This uses the approved 2015/16 levels.



Data Tables

The following pages provide the supporting detail for the graphs and provides the most up to date information where possible, i.e. population data.

**2016/17 Settlement Funding Assessment (SFA)
Per Head**

	<u>Population</u>	<u>2016/17 SFA (£k)</u>	<u>SFA/Hd (£)</u>	<u>Rank</u>
Blackpool	140,500	75,845,174	539,823	1
Middlesbrough	139,100	69,759,385	501,505	2
Kingston upon Hull	257,700	125,387,313	486,563	3
Hartlepool	92,600	44,280,619	478,192	4
Blackburn with Darwen	146,700	69,639,816	474,709	5
Nottingham	314,300	146,766,054	466,962	6
Leicester	337,700	155,130,698	459,374	7
Stoke-on-Trent	251,000	115,232,343	459,093	8
Halton	126,400	55,292,192	437,438	9
Redcar and Cleveland	135,000	54,548,155	404,060	10
North East Lincolnshire	159,800	60,626,681	379,391	11
Torbay	133,000	49,835,852	374,706	12
Durham	517,800	193,647,330	373,981	13
Portsmouth	209,100	74,768,807	357,574	14
Telford and the Wrekin	169,400	60,354,115	356,282	15
Isle of Wight Council	139,100	49,160,595	353,419	16
Luton	211,000	73,370,365	347,727	17
Bristol	442,500	153,714,996	347,379	18
Derby	252,500	87,440,667	346,300	19
Peterborough	190,500	65,430,457	343,467	20
Southampton	245,300	83,198,543	339,171	21
Plymouth	261,500	86,598,529	331,161	22
Northumberland	316,000	104,528,916	330,788	23
Darlington	105,400	34,249,558	324,948	24
Slough	144,600	46,189,677	319,431	25
Thurrock	163,300	51,063,288	312,696	26
Brighton & Hove	281,100	87,245,236	310,371	27
Bedford	163,900	50,832,051	310,141	28
Cornwall	545,300	167,921,746	307,944	29
Southend-on-Sea	177,900	53,638,942	301,512	30
North Lincolnshire	169,200	50,868,563	300,642	31
Stockton-on-Tees	194,100	58,265,333	300,182	32
Reading	160,800	44,917,091	279,335	33
Milton Keynes	259,200	69,033,798	266,334	34
Medway	274,000	72,156,193	263,344	35
Herefordshire	187,200	47,347,343	252,924	36
Shropshire	310,100	78,313,311	252,542	37
Bournemouth	191,400	47,662,581	249,021	38
Cheshire West & Chester	332,200	80,208,870	241,448	39
East Riding of Yorkshire	337,100	80,887,473	239,951	40

Swindon	215,800	50,374,789	233,433	41
North Somerset	208,200	48,286,358	231,923	42
Bracknell Forest	118,000	26,686,940	226,161	43
Warrington	206,400	45,865,133	222,215	44
South Gloucestershire	271,600	59,755,311	220,012	45
Bath & North East Somerset	182,000	36,102,110	198,363	46
York	204,400	39,194,779	191,755	47
Central Bedfordshire	269,100	49,596,133	184,304	48
Wiltshire	483,100	87,705,227	181,547	49
Cheshire East	374,200	65,268,130	174,420	50
Poole	150,100	25,821,539	172,029	51
Rutland	38,000	6,468,561	170,225	52
West Berkshire	155,700	26,094,750	167,596	53
Windsor and Maidenhead	147,400	19,269,361	130,728	54
Wokingham	159,100	19,069,047	119,856	55

**Unitary Authority Band D
Council Tax Figures 2015/16**

	<u>Basic Band D £</u>	<u>Rank</u>
Nottingham	1,460	1
Rutland UA	1,431	2
Hartlepool UA	1,419	3
Northumberland UA	1,428	4
Bristol UA	1,419	5
Redcar & Cleveland UA	1,376	6
Middlesbrough UA	1,380	7
Reading UA	1,365	8
Isle of Wight Council UA	1,342	9
Brighton & Hove UA	1,339	10
Stockton-on-Tees UA	1,338	11
Durham UA	1,334	12
Central Bedfordshire UA	1,308	13
Blackpool UA	1,306	14
Bedford UA	1,302	15
Plymouth UA	1,321	16
Southampton UA	1,314	17
North Lincolnshire UA	1,284	18
Leicester UA	1,302	19
Cheshire West and Chester UA	1,275	20
North East Lincolnshire UA	1,297	21
Cornwall UA	1,294	22
Blackburn with Darwen UA	1,267	23
West Berkshire UA	1,263	24
Torbay UA	1,261	25
Herefordshire UA	1,275	26
Wokingham UA	1,246	27
South Gloucestershire UA	1,245	28
Bournemouth UA	1,244	29
Darlington UA	1,263	30
Luton UA	1,243	31
Wiltshire UA	1,222	32
Cheshire East UA	1,216	33
East Riding of Yorkshire UA	1,216	34

Poole UA	1,210	35
Bath & North East Somerset UA	1,202	36
Stoke-on-Trent UA	1,183	37
Warrington UA	1,206	38
Halton UA	1,204	39
Slough UA	1,173	40
Portsmouth UA	1,172	41
Derby UA	1,189	42
York UA	1,166	43
North Somerset UA	1,165	44
Shropshire UA	1,165	45
Medway UA	1,187	46
Telford & Wrekin UA	1,147	47
Swindon UA	1,146	48
Kingston-upon-Hull UA	1,162	49
Milton Keynes UA	1,160	50
Southend-on-Sea UA	1,160	51
Peterborough UA	1,128	52
Thurrock UA	1,125	53
Bracknell Forest UA	1,094	54
Windsor & Maidenhead UA	907	56

Unitary Authority 2015/16 Spend Per Head

		<u>2015/16</u>		
		<u>Net</u>		
		<u>Budget</u>	<u>Spend/</u>	
	<u>Population</u>	<u>(£k)</u>	<u>Hd (£)</u>	<u>Rank</u>
Blackpool	140,500	131,211	933.89	1
Hartlepool	92,600	85,571	924.09	2
Isle of Wight	139,100	128,204	921.67	3
Middlesbrough	139,100	127,797	918.74	4
Kingston upon Hull	257,700	228,523	886.78	5
Torbay	133,000	117,098	880.44	6
Redcar & Cleveland	135,000	118,858	880.43	7
Northumberland	316,000	273,343	865.01	8
Stoke-on-Trent	251,000	214,789	855.73	9
Blackburn with Darwen	146,700	123,775	843.73	10
Bedford	163,900	137,537	839.15	11
Darlington	105,400	88,359	838.32	12
Halton	126,400	105,615	835.56	13
Rutland	38,000	31,325	824.34	14
Cornwall	545,300	448,015	821.59	15
Nottingham	314,300	254,248	808.93	16
Durham	517,800	418,041	807.34	17
Bristol	442,500	354,978	802.21	18
Reading	160,800	128,245	797.54	19
North East Lincolnshire	159,800	126,539	791.86	20
Leicester	337,700	266,138	788.09	21
Brighton & Hove	281,100	221,256	787.11	22
East Riding of Yorkshire	337,100	263,976	783.08	23
North Lincolnshire	169,200	132,416	782.60	24
Stockton-on-Tees	194,100	148,463	764.88	25
Bracknell Forest	118,000	89,396	757.59	26
West Berkshire	155,700	117,921	757.36	27
Telford & Wrekin	169,400	127,381	751.95	28
Plymouth	261,500	194,507	743.81	29
Herefordshire	187,200	138,819	741.55	30
Cheshire West and Chester	332,200	243,726	733.67	31
Southampton	245,300	179,084	730.06	32
Derby	252,500	183,618	727.20	33
Central Bedfordshire	269,100	195,355	725.96	34
Southend-on-Sea	177,900	128,919	724.67	35
Shropshire	310,100	221,914	715.62	36
North Somerset	208,200	148,791	714.65	37
Peterborough	190,500	134,165	704.28	38
Slough	144,600	101,546	702.25	39
South Gloucestershire	271,600	189,525	697.81	40

Milton Keynes	259,200	178,697	689.42	41
Wokingham	159,100	109,289	686.92	42
Portsmouth	209,100	143,635	686.92	43
Luton	211,000	143,857	681.79	44
Wiltshire	483,100	327,808	678.55	45
Bournemouth	191,400	129,812	678.22	46
Bath & North East Somerset	182,000	122,952	675.56	47
Poole	150,100	101,074	673.38	48
Cheshire East	374,200	251,841	673.01	49
Medway	274,000	182,091	664.57	50
Thurrock	163,300	107,242	656.72	51
Warrington	206,400	134,379	651.06	52
Swindon	215,800	140,319	650.23	53
York	204,400	120,442	589.25	54
Windsor & Maidenhead	147,400	85,630	580.94	55



Executive

11 February 2016

Report of the Director of Customer and Business Support Services
(Portfolio of the Leader and Deputy Leader of the Council)

CAPITAL STRATEGY 2016/17 to 2020/21

Summary

1. This report set out the Capital Strategy for 2016/17 to 2020/21, and in particular sets out new capital schemes.

Recommendations

2. The Executive is requested to recommend that Council:
 - Agree to the revised capital programme of **£180.206m** that reflects a net overall increase of **£28.451m** (as set out in paragraph 54 table 10 and in Annex B). Key elements of this include
 - Extension of prudential borrowing funded Rolling Programme schemes totalling £4.921m as set out in table 3 and summarised in table 10;
 - New schemes totalling £2.415m including an increase in prudential borrowing of £643k as set out in tables 4 & 5 and summarised in table 10;
 - Extension of externally funded Rolling Programme schemes totalling £9.878m as set out in table 6 and summarised in table 10;
 - An increase in HRA funded schemes totalling £12.009m funded from a combination HRA balances/Right to Buy receipts of £12.009m as set out in table 7 and summarised in table 10
 - Approve the full restated programme as summarised in Annex A totalling **£180.206m** cover financial years 2016/17 to 2020/21 as set out in table 11 and Annex A

- Members are also asked to approve the appropriation of the Housing Revenue Account shops into the General Fund as set out at paragraph 50

Reason: To set a balanced capital programme as required by the Local Government Act 2003

Background

3. The current 2015/16 –2019/20 capital programme was approved by Council on 26 February 2015. Since then a number of amendments have taken place as reported to the Executive up to and including the 2015/16 Capital Monitor 3 report also on this agenda. The changes made as a result of the above reports have resulted in a current approved capital programme for 2015/16 – 2019/20 of £203.293m, financed by £110.168m of external funding and Council controlled resources of £93.125m. Table 1 illustrates the current approved capital programme profile from 2015/16 – 2019/20 as of capital monitor 3 2015/16.

	2015/16	2016/17	2017/18	2018/19	2019/20	Total
	£m	£m	£m	£m	£m	£m
Gross Capital Programme	51.538	73.935	33.552	22.717	21.551	203.293
Funded by:						
External Funding	27.227	29.694	24.344	15.373	13.530	110.168
Council Controlled Resources	24.311	44.241	9.208	7.344	8.021	93.125
Total Funding	51.538	73.935	33.552	22.717	21.551	203.293

Table 1 – Capital Programme Funding and Receipts Position

Funding Position of approved 2015/16 – 2019/20 programme

4. The current economic environment continues to place pressure on the funding of the programme over the 5 year cycle based on current projections. The capital programme continues to place reliance on the achievement of a small number of high value asset disposals which have been affected by the economic downturn, although overall the level of receipts does support the expenditure.

Options

5. This report sets out the new capital investment requests for the 5 year period covering 2016/17 to 2020/21. Members can consider the requests to make additions and amendments to the existing capital programme and choose to approve or reject the proposals contained within the report. Members can choose to approve or reject the recommendations made to Council as a result of the amendments contained in this report. It should be noted that it is a statutory requirement for the Council to set a capital budget for the forthcoming year (2016/17) per Local Government Act 2003 (revised).

Summary of Proposed Capital Investment

6. The Capital Resource Allocation (CRAM) process invited bids from the departments asking to submit requests for the Councils main capital priorities. Of the 32 requests going forward 18 are asking for direct Council funding, this is comprised of 14 requests for extensions to existing rolling programme schemes and 6 requests for new schemes.
7. In total, requests of **£29.223m** have been made that would increase the existing 16/17 – 20/21 Capital Programme by **£28.451m**. The requests totalling **£29.223m** are comprised as follows:
 - General Fund schemes requiring financing by Council borrowing **£5.564m** (of which **£770k** is self financing)
 - General Fund Schemes funded by the use of previously unallocated balances of **£772k**
 - General Fund schemes self financed of **£1.000m**
 - General Fund Schemes financed entirely by external funds **£9.878m** (**£9.878m** Government grant)

- Housing Revenue Account schemes financed by HRA funds **£12.009m (£12.009m HRA funds)**

8. As detailed in paragraph 53, previously unallocated balances of £772k as referenced in the Capital Monitor 3 report on this Agenda have been taken as a saving to assist in funding new schemes in 16/17. Therefore of the total new schemes of £29.223m, the net increase to the capital programme is reduced to £28.451m, due to the use of the balances reducing the additional borrowing consequences of the new proposals.

Key scheme proposals

9. The table below summarises the key proposals that result in a new increase of **£29.223m** by type. Further details of the individual schemes can be found later in the report at the following references:

Type	Total Value	Further Details
	£000	
Rolling Programme – Prudentially Borrowed	4.921	Table 3
New Schemes – Prudentially Borrowed	0.643	Table 4
New Schemes – Self Financing	1.000	Table 5
Existing Schemes – Externally Funded	9.878	Table 6
Housing Revenue Account (HRA) Schemes – Funded by HRA balances	12.009	Table 7
Total Increase in Capital Programme	28.451	
New Schemes – Funded by use of previously unallocated balances	0.772	Table 4
Total of New Proposals	29.223	

Table 2 – Summary of New Proposals and Increase in Capital Programme

10. Overall this report proposes new capital schemes totalling **£29.223m** which result in a net increase to the Capital Programme of **£28.451m**. Details of all schemes can be seen in the accompanying annex that sets out the purpose of each scheme and is summarised on table 10.

Detailed Consideration of Proposed Investment, and Financial Implications

Rolling Programme Schemes – Prudential Borrowing

11. The 2015/16 – 2019/20 capital programme contained a number of rolling programme schemes that require funding on an ongoing basis. This report extends the rolling capital programme to 2020/21 and also requests have been received to increase the level of currently approved rolling programme schemes by adding additional years across a number of financial years, these schemes are set out in the table below:

Scheme Type / Description	Total Value	Financial Year
	£000	
Capital Contingency	250	16/17
Concrete Street Lighting Column Replacement Programme	330	16/17
Bridge Maintenance	200	20/21
LED Lighting Replacement	416	16/17
City Walls Rolling Repairs	350	16/17 & 20/21
Highways Drainage Works	200	20/21
Highways Resurfacing & Reconstruction	750	20/21

Disabled Facilities Grant	475	20/21
Disability Support Budget	210	20/21
Major Equipment for Disabled Customers	105	20/21
Telecare Equipment	250	20/21
Asset Maintenance & Critical Repairs	200	20/21
IT Development Plan	1,085	20/21
Project Support Fund	100	20/21
Total Rolling Programme Schemes	4,921	

Table 3 – Summary of Rolling Programme Bids Requesting Prudential Borrowing Funding

12. All of the £4.921m of rolling programme schemes will require revenue growth to fund (to support the prudential borrowing), the revenue implications are contained in the Financial Strategy 16/17 – 21/22 report on this agenda.
13. An overview of each scheme being proposed is set out in the following paragraphs:
14. **Capital Contingency (£250k 16/17)** – The continuation of a prudent single year capital contingency to address any unexpected capital pressures in year.
15. **Concrete Street Lighting Column Replacement Programme (£330k 16/17)** - Funding to upgrade the City of York street lighting concrete column stock to tubular steel street lighting columns. There are currently approximately 6,000 concrete columns which will require replacing over

the following years. This funding will allow for the replacement of approximately 330 columns.

16. **Bridge Maintenance (£200k 20/21)** – To allow the continuation of the programme of maintenance to maintain the structures in a serviceable and safe condition.
17. **Carbon Reduction in Street Lighting (£416k 16/17)** – To continue the investment in the LED street lighting replacement programme.
18. **City Walls Rolling Repair Programme (£260k 16/17 & £90k 20/21)** - Ensuring that continuing essential repairs and restoration are undertaken on York City Walls.
19. **Highways Drainage Works (£200k 20/21)** – to continue funding the restoration of the Council's drainage infrastructure supporting the findings of the Surface Water Management Plan. This funding reflects the amount of work that can realistically be done using the available resources within the council where there is extensive local knowledge.
20. **Highways R&R (£750k 20/21)** – The continuation of the programme for the resurfacing and reconstruction of the City's roads and footways established to maintain the asset in the best condition possible with the anticipated level of capital available.
21. **Disabled Facilities Grant (£475k 20/21)** - To allow payment of mandatory disabled facilities grants (DFGs) in line with statutory requirements (The Housing Grants, Regeneration and Construction Act 1996). The funding enables older and disabled persons to remain safely in their home and maximises their independence.
22. **Disability Support Budget (£210k 20/21)** – To continue to provide discretionary assistance for disabled customers who need financial help. The assistance (loans and grants) given helps disabled people and parents with disabled children to adapt their homes to continue living there and maintain their independence.
23. **Major Equipment for Disabled Customers (£105k 20/21)** - Allows the continuation of the funding for specialist equipment to stock the loans store. The equipment will be purchased by the new Be Independent but CYC will retain ownership of the assets.

24. **Telecare Equipment (£250k 20/21)** – Allowing the continuation of the installation of sensors in vulnerable customers homes to deal with specific assessed risks. The equipment will be purchased by the new Be Independent but CYC will retain ownership of the assets.
25. **Asset Maintenance & Critical Repairs (£200k 20/21)** – Extension of the £200k rolling programme scheme of works. The fund is not sufficient to deal with the entire repairs backlog but is intended to be directed to specific buildings that warrant investment on a business case consideration basis and that the Council will look to retain in the long term.
26. **IT Development Plan (£1.085m 20/21)** – The continuation of the rolling programme IT development plan for an additional year. The funding will support a strong and coordinated approach to the change programme and the fundamental review and redesign of processes and systems to ensure that its services meet the needs of its customers.
27. The programme will continue to personalise the customer experience, support the transformation programme, customer strategy and enable the delivery of the council services into homes and businesses for the convenience of customers.
28. **Project Support Fund (£100k 20/21)** – The continuation of the capacity to allow professional advice to be provided to support the successful delivery of bringing new assets into operation.

New Schemes – Prudential Borrowing

29. As part of this year's capital budget process a number of bids have been received that require discretionary prudential borrowing. These are set out in **table 4** below. A previously unallocated balance of £772k will be taken as a saving to assist in funding the costs of these new schemes as detailed in paragraph 51, therefore the extent of the associated borrowing consequences of these schemes is reduced to £643k.

Scheme Type / Description	Total Value	Financial Year
	£000	
City Fibre Network	150	16/17 – 18/19
Piccadilly Regeneration	180	16/17
Investment in Community Based Premises to deliver Children’s Services New Early Help Operating Model	265	16/17
Theatre Royal	770	16/17
Low Carbon and Solar Panels Investment	50	16/17
Total New Schemes	1,415	
Use of previously unallocated balances	(772)	16/17
New Bids Requiring Prudential Borrowing	643	

Table 4 – Summary of New Bids Requesting Prudential Borrowing Funding

30. An overview of each new scheme being proposed is set out in the following paragraphs:
31. **City Fibre Network (£150k total, 50k each year 16/17 – 18/19) -**
 As part of the City wide roll out of the Dark Fibre Network the contractor undertaking the work is ensuring that the footpath assets are restored to their current condition. In a number of cases the council is requesting that the assets are improved as they are close to the end of their life however not yet in the council’s upgrade programme. In these cases the council is required to fund the material cost of the upgraded assets and the City

Fibre contractor will undertake the work. The anticipated cost of the materials over the next three years is £50k per annum.

32. **Piccadilly Regeneration (£180k in 16/17)** – As part of future plans to regenerate the Piccadilly area as part of the Southern Gateway project, the car park at Castle mills will require demolition. The Car park is in poor condition and needs significant repairs. Car parking use is very low at 25% of capacity. The regeneration on the area will subsequently bring either a capital receipt or a revenue income directly from the development of the site, or it may be developed as a multi stores car park to replace the Castle Mills car park and enable development on that site.
33. **Investment in Community Based Premises to deliver Children's Services New Early Help Operating Model (£265k in 16/17)** – Capital funding to remodel the delivery of Early Help Children's Services under a new operating model which is currently being developed. This scheme will provide a resource to invest in proposed locality based hubs to accommodate multi-agency teams from the local authority and partners. It will also allow for some remodelling of space at Children's Centres, for example at Haxby Road, to respond to changing needs. Within this amount a balance of £100k has been allocated to further invest in Building Based Provision for Children & Young people's services to be allocated as required.
34. **Theatre Royal (£770k in 16/17 –self financing)** – This proposal aims to:
 - Vastly improve the quality of experience and comfort levels in the main auditorium
 - Create an attractive and inviting public face for the building
 - Increase the size, quality and turnover of the front of house operation with an extended foyer area
 - Provide new artistic opportunities for communities to animate the Theatre space
 - Significantly improve energy efficiency and reduce operating costs
 - Increase the size, quality and turnover of the Box Office, catering and commercial operations

• The project was originally projected to require 27 weeks to complete however will now require a minimum of 47 weeks to due to:

- The discovery of asbestos in the back wall of the stalls.
 - The extensive nature of important archaeology uncovered (foundations of the St Leonard's Hospital thought to have been destroyed in the Victorian period)
 - Significant complications arising from working with the medieval fabric uncovered during the works
35. This capital contribution will enable them to complete the capital project whilst also dealing with some of the revenue implications arising from the additional costs caused by the time delay. This one-off capital contribution will replace the annual revenue grant (£124k) to the Theatre which has been put forward as a proposed saving from 16/17. This scheme will be self financing as the budget is being retained from the current revenue funding given to the theatre of £50k to finance the capital investment.
36. **Low Carbon and Solar Panels Investment (£50k in 16/17)** – This funding will allow the commission of a report into the options the use of Solar Panels could present to the Council.

New Schemes – Self Financing

37. In addition to the schemes set out above, one scheme has been proposed as part of this budget process that is self financing and would require no prudential borrowing as it will be funded from the specific reserve set aside for this purpose.

Scheme Type / Description	Total Value	Financial Year
	£000	
Harewood Whin Transfer Station	1,000	16/17
Total New Schemes	1,000	

Table 5 – Summary of New schemes that are self financing

38. **Harewood Whin Transfer Station (£1.000m in 16/17 – self financing) –**
The provision of a waste transfer station at Harewood Whin. The transfer station will allow the temporary deposition of waste before being transported in larger vehicles to the Allerton Waste Recovery facility thus requiring fewer vehicle movements. The final cost and funding will be dependent on discussions with Yorwaste regarding the businesses need for a Transfer Station on the Harewood Whin site. The costs relating to the building and operation of the transfer station have been modelled into the Long Term Waste Procurement. The scheme will be funded from the specific reserve set aside for this purpose therefore no prudential borrowing would be required to fund this proposal.

Additional Schemes - Externally Funded + HRA Funded

39. In addition to those schemes set out in tables 2 and 3, schemes that are fully externally funded are proposed as part of this budget process. This table shows the level of external funding that is increasing existing schemes and which year the change takes effect in:

Scheme Type / Description	External Funding Value	Financial Year
	£000	
<u>Existing General Fund Schemes</u> <u>New External Funding</u>		
Highways Resurfacing & Reconstruction	1,827	20/21
Local Transport Plan - Integrated Transport	1,570	20/21
Disabled Facilities Grant	1,400	20/21
NDS Devolved Capital	431	20/21
DfE Maintenance	2,400	20/21

Basic Need	2,250	20/21
<u>Total Existing General Fund Schemes New External Funding</u>	9,878	

Table 6 – Summary of New External Funding

40. An overview of the new schemes being proposed is set out in the following paragraphs:
41. **Highways Resurfacing & Reconstruction (£1.827m)** – indicative funding settlement in 20/21
42. **Local Transport Plan – Integrated Transport (£1.570m)** –indicative funding in 20/21
43. **Disabled Facilities Grant (£1.400m)** - indicative funding settlement.
44. **New Deals for Schools Devolved Capital (£431k)** – projected funding settlement for 20/21.
45. **DfE Maintenance (£2.400m)** - projected funding settlement covering for 20/21
46. **Basic Need (£2.250m)** - projected funding settlement for 20/21.
47. The **Housing Revenue Account (HRA)** Business plan 2015 to 2045 report, as included elsewhere on this agenda, contains an overview of the HRA Business plan for the next 30 years and provides detail of the key priorities for the next five years, including the use of the investment fund to support the delivery of more affordable new homes. Table 7 updates the capital investment strategy and shows the overall movement (growth) against the existing approved expenditure plans.

Scheme Type / Description	Total Scheme Value	HRA/ Reserve Funding Value	Financial Year
	£000	£000	
<u>New Investment for the HRA</u>			
Major Repairs Allowance Schemes	7,371	7,371	16/17 – 20/21
Modernisation of Local Authority Homes	1,307	1,307	16/17 - 20/21
Extension to Glen Lodge	4,151	4,151	16/17
Assistance to Older and Disabled People	523	523	17/18 - 20/21
Water Mains Upgrades	(1,643)	(1,643)	16/17- 20/21
IT Infrastructure	300	300	20/21
<u>New Investment for the HRA Total</u>	12,009	12,009	

Table 7 – Summary of HRA investment

48. The key investment areas are shown in table 5 and shows new investment of over £12.009m that will see key schemes delivered including:

- Major Repairs Allowance (£7.371m in total 16/17 – 20/21) –**
 This continued investment in improvement schemes will ensure the housing stock continues to meet modern facilities and standards including legislative requirements that provide homes that exceed customer expectations. A breakdown of some of the key schemes types planned in 16/17 is provided below:

	2016/17 budget £'000	Description of works
Tenants Choice	2,934	Replacement kitchen, bathroom and rewire to 220 properties per year
Heating/Boilers	1,365	Replacement boiler and central heating system to 650 properties per year
Roof Replacements	300	Replacement roofs to 100 properties per year

Table 8 – Breakdown of MRA scheme types

- **Modernisation of Local Authority Homes (£1.307m in total 16/17 – 20/21)** – This will see investment in improvement schemes such as damp remediation works, asbestos removal and communal area improvements and health and safety works at sheltered schemes that will ensure the housing stock continues to meet modern facilities and standards including legislative requirements that provide homes that exceed customer expectations.
- **Extension to Glen Lodge (£4.151m in 16/17)** – This will ensure 27 additional homes can be added to the Glen Lodge Extra Care facility, providing safe and secure accommodation for older people including those with complex needs and dementia. Further details are provided in Executive report "Older Persons' Accommodation Programme: The Business Case" agreed by Executive on 30th July 2015.
- **Assistance to Older and Disabled People (£523k 17/18 – 20/21)** – This will see continued investment in improvement schemes including adaptations to properties following needs assessments
- **Water Mains Upgrade (Reduction of - £1.643m in total 16/17-20/21)** - Initial feasibility work for this project has revealed that work is likely to need to be phased over a longer period than originally planned and therefore the expenditure over the next five years has reduced as total anticipated timescales have increased.

- **IT Infrastructure (£300k in 20/21)** – this investment will ensure improvements can continue to be delivered to Housing ICT Infrastructure, including improvements in the following areas:
 - Better, more responsive customer service
 - Improved flexibility with access to services via self service (customers and staff)
 - Efficiencies by customers raising their own repairs/enquiries
 - Improved accuracy for reporting purposes, particularly financial
 - Efficiencies gained by automating inputting into different systems
 - Removal of unsupported access databases and replacement with modules that are suitable for the task needed
 - Transparent recharge process that further supports debt recovery but using minimal staff input into different systems and spreadsheets
 - Automated billing of materials to individual jobs and consolidated invoices, less duplication and more accuracy and interrogation.
 - Roll out of mobile working across the department

All IT investment plans will subject to the approval of the Director of CBSS.

49. None of the schemes detailed in table 7 have an impact on prudential borrowing.
50. There is also a separate proposal to transfer shops within the Housing Revenue Account to the General Fund - Property assets should be held under the correct statutory power and therefore property should only be held within the HRA that has, or is likely to have, a social housing use. The shops within the HRA are no longer considered to be held for a predominantly housing related purpose and therefore it is appropriate to transfer these assets to the General Fund. The rental income for the shops will therefore become an income stream for the General Fund as included in the revenue budget savings proposals elsewhere on this agenda. Members are asked to approve this transfer as part of this report.

51. The previously unallocated balance of £772k in 16/17 as referenced in the Capital Monitor 3 report on this Agenda has been used to assist in funding new Capital Schemes, thereby reducing the additional borrowing consequences of the new proposals detailed in this report.

Funding Position – CYC Prudential Borrowing

52. The budget proposals in terms of CYC prudential borrowing adds to existing rolling programme schemes totalling £4.921m (of which £4.921m impacts Council Tax) and adds new schemes totalling £1.415m (of which the £645k impact on Council Tax is mitigated by the use of previously unallocated balances). This results in a total increase in the level of debt (the underlying need to borrow for capital investment purposes only) of £5.564 over the 5 year programme, with schemes to the value of £4.794 impacting on Council Tax. Table 9 shows the financial impact on a year by year basis and over the 5 year period.

	16/17 £m	17/18 £m	18/19 £m	19/20 £m	20/21 £m	Total £m
Rolling Programme	1.256	0	0	0	3.665	4.921
New Schemes	1.315	0.050	0.050	0	0	1.415
Gross Total Increase	2.571	0.050	0.050	0	3.665	6.336
Funded by use of unallocated balances	(0.772)	0	0	0	0	(0.772)
Net Increase in PB	1.799	0.050	0.050	0	3.665	5.564

Table 9 – Net Funding Position of Prudential Borrowing Schemes

53. The revenue costs of the new schemes funded by prudential borrowing totals c £445k over the 5 year budget period set out, including c. £144k in 2016/17. These costs will be reflected through the Treasury Management budget.

Summary of Analysis

54. This table summarises the additions and amendments made as part of this report (outside of re-profiling) split by rolling programme schemes and new schemes (by funding type) showing total new Capital schemes of **£29.223m** resulting in an overall increase in the capital programme of **£28.451m**.

	16/17 £m	17/18 £m	18/19 £m	19/20 £m	20/21 £m	Total £m
1) Rolling Programme Schemes Funded by CYC Pru Brrow (table 3)	1.256	0	0	0	3.665	4.921
2) Existing Schemes Funded Externally by External Grant (table 6)	0	0	0	0	9.878	9.878
3) New CYC Schemes Funded by CYC Pru Brw (table 4)	0.543	0.050	0.050	0	0	0.643
5) New CYC Schemes Self Funding (table 5)	1.000	0	0	0	0	1.000
6) HRA Schemes (table 7) Funded by HRA	3.654	(0.296)	1.075	(0.411)	7.987	12.009
Total Net Increase to Capital Programme	6.453	(0.246)	1.125	(0.411)	21.530	28.451
New CYC Schemes – Funded by use of previously unallocated balances (table 4)	0.772	0	0	0	0	0.772

Total New Schemes	7.225	(0.246)	1.125	(0.411)	21.530	29.223
--------------------------	--------------	----------------	--------------	----------------	---------------	---------------

**Table 10 – Summary of Expenditure and Funding Movements
16/17 – 20/21**

55. The overall funding position will continue to be reviewed on an annual basis and the capital receipts will continue to be tightly monitored to update the latest position to ensure the programme remains affordable. The proposal to use prudential borrowing to fund the new schemes is made on the assumption that over the medium term the current level of required receipts are achieved. Clearly if the projected level of receipts is not achieved action will be required to overcome the resulting funding shortfall. This action could take the form of either increasing revenue contributions or increasing the level of prudential borrowing whilst ensuring affordability to meet any capital receipts shortfall, or reducing the capital programme schemes funded by capital receipts. The ability to contribute revenue funds to support prudential borrowing over and above the level currently being proposed as part of this report would have a significant impact on revenue budgets and would potentially place pressure on other Council service areas.
56. Although not anticipated, any short term shortfall in funding will be met from prudential borrowing. The revenue implications of any in year shortfall due to timing differences will be borne by the treasury management budget.
57. The outcome of the proposals outlined above if accepted are illustrated in the next table which sets out the proposed capital budget for each directorate over the next 5 years and in detail in Annex A.

Gross Capital Programme	2016/17	2017/18	2018/19	2019/20	2020/21	Total
	£m	£m	£m	£m	£m	£m
Children's Serv. Education&Skills	8.077	12.710	6.368	4.267	5.081	36.503
Adult Services & Public Hth	1.156	0.967	0.915	0.565	0.565	4.168
Communities. Culture. Public Realm	1.946	0	0	0	0	1.946
Highways and Waste	7.339	3.168	2.977	2.977	2.977	19.438
Housing and Community Safety	24.181	9.535	9.547	9.401	9.862	62.526
Transport	14.825	4.381	1.710	1.660	1.660	24.236
Community Stadium	15.714	0	0	0	0	15.714
Asset Management	4.367	0.300	0.300	0.300	0.300	5.567
IT development plan	2.533	2.245	2.025	1.970	1.085	9.858
Capital Contingency	0.250	0	0	0	0	0.250
Total Capital Programme	80.388	33.306	23.842	21.140	21.530	180.206

Table 11 – Proposed Capital Programme 2016 – 2021

Future Considerations

58. **City Walls** – Monitoring of the City Walls has identified 10 locations where urgent repair and restoration works are required to be carried out outside of the routine maintenance planned due to significant structural failing. If the work is not carried out then areas of the walls may have to be closed. A programme of additional repairs will therefore be required over 5 years which will have significant capital implications. This programme will be subject to a more detailed report in 2016 and presented to members

59. **LED Street Lighting** – A business plan has been developed to replace the remaining street lighting lantern stock with approximately 8098 LED equivalents. The scheme will reduce carbon emissions substantially and contribute to the corporate targets in this area. It is intended that this will take place over 7 years, and whilst there will be an annual budget saving on completion due to reduced repairs and maintenance, there will be significant capital implications to support this scheme for members to consider in the future. A detailed report will be brought to Members during 2016 to approve.
60. **Street Lighting** – Following structural surveys and testing concrete columns with expired useful lives have been identified. Consequently a programme of replacement will be required to remove 6,000 concrete assets and replace with a tubular steel coated column with 40 years life expectancy. The programme is expected to be carried out over the next five financial years to 2021 and would bring significant capital implications. A detailed report will be presented to Members during 2016 for approval.

Council Plan

61. The CRAM process ensures that all bids received for capital funding address the aspirations of the Council Plan with each proposal addressing at least one corporate priority. The capital schemes put forward for consideration are derived from the service and area asset management plans which look at the capital needs and requirements of the service. All schemes that have progressed through for further consideration in this report have demonstrated through the CRAM process that they directly contribute toward the achievement of the Corporate Strategy.

Implications

Financial Implications

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

Human Resources Implications

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

Equalities Implications

64. A communities impact assessment (CIA) has been completed on the overall impact of the budget proposals and this is available as an annex to the Financial Strategy report elsewhere on this agenda. This assessment has been developed as a result of individual impact assessments for services which are undergoing changes. The impact assessment examines the benefits of recommended growth and capital investment alongside the risks associated with any savings proposals to ensure any negative impact for a particular group, sector or community is eliminated or counterbalanced. Where a screening of the potential implications has identified it appropriate, a full CIA will be completed for individual proposals. In addition, all capital schemes have considered any potential equalities implications prior to being included in this report.

Legal Implications

65. The Council is legally required to set a balanced 3 year capital programme but to assist with Medium Term Financial Planning sets a 5 year programme.

Crime and Disorder

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

Information Technology

67. The information technology implications are contained in the main body of this report.

Property

68. The property implications of this paper are included in the main body of the report which covers the funding of the capital programme from the disposal of Council assets.

Risk Management

69. The risks associated with both the existing and proposed capital programme has been discussed extensively throughout this report.
70. This report highlights the challenge presented by the proposed capital programme, which includes a significant level of Council driven schemes. Despite the proposed schemes being funded from revenue contributions the existing approved capital programme still places significant reliance on a small number of high value capital receipts. In addition the recent increase in the size of the programme has meant the Council has to

ensure that the key skills are in place to allow the programme to be successfully delivered.

71. To mitigate the risks the capital programme is regularly monitored as part of the corporate monitoring process. In addition to this the Capital Asset Board (CAB – the Chief Executive, Director of CBSS, Service Directors and Assistant Directors) meet monthly to plan, monitor and review major capital schemes to ensure that all capital risks to the Council are monitored and where possible minimised. The development of the revised CRAM process and capital strategy has put in place gate keeping controls to ensure that only projects that can be delivered are put forward for approval by the Council.

Authors:	Chief Officer Responsible for the report:		
Emma Audrain Technical Accountant Corporate Finance 01904 551170 emma.audrain@york.gov.uk	Ian Floyd Director of Customer & Business Support Services		
Debbie Mitchell Corporate Finance Manager 01904 554161	Report Approved	√	Date 02 February 2016
Wards Affected: All			
For further information please contact the author of the report			

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

Annexes

Annex A – Capital Programme 2016/17 - 2020/21

Annex B – Growth Summary 2016/17 - 2020/21

	2016/17 Budget £000	2016/17 Revised Budget £000	2016/17 Budget £000	2017/18 Revised Budget £000	2016/17 Budget £000	2018/19 Revised Budget £000	2016/17 Budget £000	2019/20 Budget £000	2016/17 Budget £000	2020/21 Budget £000	Gross Capital Programme To be Funded 16/17 - 20/21 £000
CSES - Children's Services, Education and Skills											
NDS Devolved Capital		409		389		370		351		431	1,950
- External Funding	0	409	0	389	0	370	0	351	0	431	1,950
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0
DfE Maintenance		2,960		1,846		1,754		1,666		2,400	10,626
- External Funding	0	2,960	0	1,846	0	1,754	0	1,666	0	2,400	10,626
Basic Need		2,476		10,300		4,244		2,250		2,250	21,520
- External Funding	0	2,476	0	10,300	0	4,244	0	2,250	0	2,250	21,520
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0
Universal Infant Free School Meals		67		0		0		0		0	67
- External Funding	0	67	0	0	0	0	0	0	0	0	67
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0
Fulford School Expansion		1,250		0		0		0		0	1,250
- External Funding	0	1,250	0	0	0	0	0	0	0	0	1,250
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0
Schools Electrical Supply Upgrade		200		0		0		0		0	200
- External Funding	0	100	0	0	0	0	0	0	0	0	100
- Internal Funding	0	100	0	0	0	0	0	0	0	0	100
Family Drug & Alcohol Assess/Recovery Facility		100		0		0		0		0	100
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	100	0	0	0	0	0	0	0	0	100
Enhanced Resource Provision - SEN		350		175		0		0		0	525
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	350	0	175	0	0	0	0	0	0	525
Investment in Community Based Premises	165	165		0		0		0		0	165
- External Funding		0		0		0		0		0	0
- Internal Funding	165	165		0		0		0		0	165
Children & Young Peoples services & Building based provision review	100	100		0		0		0		0	100
- External Funding		0		0		0		0		0	0
- Internal Funding	100	100		0		0		0		0	100
TOTAL GROSS EXPENDITURE	265	8,077	0	12,710	0	6,368	0	4,267	5,081	5,081	36,503
TOTAL EXTERNAL FUNDING	0	7,262	0	12,535	0	6,368	0	4,267	5,081	5,081	35,513
TOTAL INTERNAL FUNDING	265	815	0	175	0	0	0	0	0	0	990
H&WB - Adult Social Services & Public Health											
Joint Equipment Store		105		105		105		105		105	525
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	105	0	105	0	105	0	105	0	105	525
Disabled Support Grant		180		190		200		210		210	990
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	180	0	190	0	200	0	210	0	210	990
Telecare Equipment		250		250		250		250		250	1,250
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	250	0	250	0	250	0	250	0	250	1,250
OPH Infrastructure Works		162		0		0		0		0	162
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0
Older Person's Accommodation Review		382		422		360		0		0	1,164
- External Funding	0	382	0	360	0	0	0	0	0	0	742
- Internal Funding	0	0	0	62	0	360	0	0	0	0	422
Burton Stone Community Centre		77		0		0		0		0	77
- External Funding	0	45	0	0	0	0	0	0	0	0	45
- Internal Funding	0	32	0	0	0	0	0	0	0	0	32
TOTAL GROSS EXPENDITURE	0	1,156	0	967	0	915	0	565	565	565	4,168
TOTAL EXTERNAL FUNDING	0	427	0	360	0	0	0	0	0	0	787
TOTAL INTERNAL FUNDING	0	729	0	607	0	915	0	565	565	565	3,381
CANS - Communities, Culture and Public Realm											
Little Knavesmire Pavilion		528		0		0		0		0	528
- External Funding	0	528	0	0	0	0	0	0	0	0	528
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0
War Memorial		28		0		0		0		0	28
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	28	0	0	0	0	0	0	0	0	28
Smarter York - Better Play Areas		290		0		0		0		0	290
- External Funding	0	90	0	0	0	0	0	0	0	0	90
- Internal Funding	0	200	0	0	0	0	0	0	0	0	200
York Theatre Royal	770	770		0		0		0		0	770
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	770	770	0	0	0	0	0	0	0	0	770
Litter Bin Upgrade (solar powered)		60		0		0		0		0	60
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	60	0	0	0	0	0	0	0	0	60
Knavesmire Culverts		270		0		0		0		0	270
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	270	0	0	0	0	0	0	0	0	270
TOTAL GROSS EXPENDITURE	770	1,946	0	0	0	0	0	0	0	0	1,946
TOTAL EXTERNAL FUNDING	0	618	0	0	0	0	0	0	0	0	618
TOTAL INTERNAL FUNDING	770	1,328	0	0	0	0	0	0	0	0	1,328
CES - Highways & Waste											

	2016/17 Budget £000	2016/17 Revised Budget £000	2016/17 Budget £000	2017/18 Revised Budget £000	2016/17 Budget £000	2018/19 Revised Budget £000	2016/17 Budget £000	2019/20 Budget £000	2016/17 Budget £000	2020/21 Budget £000	Gross Capital Programme To be Funded 16/17 - 20/21 £000
Highway Resurfacing & Reconstruction (Struct Maint) *		2,831		2,768		2,577		2,577	2,577	2,577	13,330
- External Funding	0	2,081	0	2,018	0	1,827	0	1,827	1,827	1,827	9,580
- Internal Funding	0	750	0	750	0	750	0	750	750	750	3,750
Special Bridge Maintenance (Struct maint)		500		200		200		200	200	200	1,300
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	500	0	200	0	200	0	200	200	200	1,300
Replacement of Unsound Lighting Columns	330	330		0		0		0	0	0	330
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	330	330	0	0	0	0	0	0	0	0	330
LED Lighting Replacement Programme	416	416		0		0		0	0	0	416
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	416	416	0	0	0	0	0	0	0	0	416
Highways Drainage Works		200		200		200		200	200	200	1,000
Contributions		0		0		0		0	0	0	0
Revenue Contribution Corporate		0		0		0		0	0	0	0
Departmental Prudential Borrowing		0		0		0		0	0	0	0
- Internal Funding	0	200	0	200	0	200	0	200	200	200	1,000
Built Environment Fund		2,062		0		0		0	0	0	2,062
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	2,062	0	0	0	0	0	0	0	0	2,062
Harewood Whin Transfer Station	1,000	1,000		0		0		0	0	0	1,000
- Government Grant		0		0		0		0	0	0	0
- External Funding		0		0		0		0	0	0	0
Earmarked Reserve	1,000	1,000		0		0		0	0	0	1,000
- Internal Funding	1,000	1,000		0		0		0	0	0	1,000
TOTAL GROSS EXPENDITURE	1,746	7,339	0	3,168	0	2,977	0	2,977	2,977	2,977	19,438
TOTAL EXTERNAL FUNDING	0	2,081	0	2,018	0	1,827	0	1,827	1,827	1,827	9,580
TOTAL INTERNAL FUNDING	1,746	5,258	0	1,150	0	1,150	0	1,150	1,150	1,150	9,858
CANS - Housing & Community Safety											
Modernisation of Local Authority Homes	-212	1,823	-217	1,805	555	1,694	-109	1,252	1,290	1,290	7,864
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	-212	1,823	-217	1,805	555	1,694	-109	1,252	1,290	1,290	7,864
Assistance to Older & Disabled People		400	12	412	24	424	37	437	450	450	2,123
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	400	12	412	24	424	37	437	450	450	2,123
MRA Schemes	250	5,053	430	5,204	552	5,360	454	5,520	5,685	5,685	26,822
- External Funding	250	5,053	430	5,204	552	5,360	454	5,520	5,685	5,685	26,822
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0
Local Authority Homes - Phase 1		9,744		0		0		0	0	0	9,744
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	9,744	0	0	0	0	0	0	0	0	9,744
Water Mains Upgrade	-535	725	-521	479	-56	444	-793	457	262	262	2,367
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	-535	725	-521	479	-56	444	-793	457	262	262	2,367
Building Insulation Programme		0		0		0		160	0	0	160
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	0	0	0	0	0	0	160	0	0	160
Disabled Facilities Grant (Gfund)		1,175		1,225		1,275		1,275	1,875	1,875	6,825
- External Funding	0	700	0	750	0	800	0	800	1,400	1,400	4,450
- Internal Funding	0	475	0	475	0	475	0	475	475	475	2,375
Air Quality Monitoring (Gfund)		60		0		0		0	0	0	60
- External Funding	0	60	0	0	0	0	0	0	0	0	60
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0
IT Infrastructure		950		410		350		300	300	300	2,310
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	950	0	410	0	350	0	300	300	300	2,310
Empty Homes (Gfund)		100		0		0		0	0	0	100
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	100	0	0	0	0	0	0	0	0	100
Extension to Glen Lodge	4,151	4,151		0		0		0	0	0	4,151
- External Funding		0		0		0		0	0	0	0
- Internal Funding	4,151	4,151		0		0		0	0	0	4,151
TOTAL GROSS EXPENDITURE	3,654	24,181	-296	9,535	1,075	9,547	-411	9,401	9,862	9,862	62,526
TOTAL EXTERNAL FUNDING	1,086	6,649	430	5,954	552	6,160	454	6,320	7,085	7,085	32,168
TOTAL INTERNAL FUNDING	2,568	17,532	-726	3,581	523	3,387	-865	3,081	2,777	2,777	30,358
CES - Transport											
Local Transport Plan (LTP) *		2,870		1,870		1,570		1,570	1,570	1,570	9,450
- External Funding	0	2,870	0	1,870	0	1,570	0	1,570	1,570	1,570	9,450
- Internal Funding	0	0	0	0	0	0	0	0	0	0	0
York City Walls - Repairs & Renewals (City Walls)	260	350		90		90		90	90	90	710
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	260	350	0	90	0	90	0	90	90	90	710
Leeman Road Flood Defences		317		0		0		0	0	0	317
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	317	0	0	0	0	0	0	0	0	317
Scarborough Bridge		333		2,371		0		0	0	0	2,704
- External Funding	0	0	0	2,037	0	0	0	0	0	0	2,037
- Internal Funding	0	333	0	334	0	0	0	0	0	0	667
LCR Revolving Investment Fund		1,615		0		0		0	0	0	1,615
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	1,615	0	0	0	0	0	0	0	0	1,615

	2016/17 Budget £000	2016/17 Revised Budget £000	2016/17 Budget £000	2017/18 Revised Budget £000	2016/17 Budget £000	2018/19 Revised Budget £000	2016/17 Budget £000	2019/20 Budget £000	2016/17 Budget £000	2020/21 Budget £000	Gross Capital Programme To be Funded 16/17 - 20/21 £000
Infrastructure Investment Plan for Growth		9,000		0		0		0		0	9,000
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	9,000	0	0	0	0	0	0	0	0	9,000
Better Business Fund		240		0		0		0		0	240
- External Funding											0
- Internal Funding		240									240
City Fibre Network	50	50	50	50	50	50		0		0	150
- External Funding		0		0		0		0		0	0
- Internal Funding	50	50	50	50	50	50		0		0	150
Low Carbon and Solar Panels Investment	50	50		0		0		0		0	50
- External Funding		0		0		0		0		0	0
- Internal Funding	50	50		0		0		0		0	50
TOTAL GROSS EXPENDITURE	360	14,825	50	4,381	50	1,710	0	1,660	1,660	1,660	24,236
TOTAL EXTERNAL FUNDING	0	2,870	0	3,907	0	1,570	0	1,570	1,570	1,570	11,487
TOTAL INTERNAL FUNDING	360	11,955	50	474	50	140	0	90	90	90	12,749
CES - Community Stadium											
Community Stadium		15,714		0		0		0		0	15,714
- External Funding	0	9,304	0	0	0	0	0	0	0	0	9,304
- Internal Funding	0	6,410	0	0	0	0	0	0	0	0	6,410
TOTAL GROSS EXPENDITURE	0	15,714	0	0	0	0	0	0	0	0	15,714
TOTAL EXTERNAL FUNDING	0	9,304	0	0	0	0	0	0	0	0	9,304
TOTAL INTERNAL FUNDING	0	6,410	0	0	0	0	0	0	0	0	6,410
CBSS - Asset Management											
Fire Safety Regulations - Adaptations		80		0		0		0		0	80
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	80	0	0	0	0	0	0	0	0	80
Removal of Asbestos		24		0		0		0		0	24
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	24	0	0	0	0	0	0	0	0	24
Photovoltaic Energy Programme		346		0		0		0		0	346
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	346	0	0	0	0	0	0	0	0	346
29 Castlegate Repairs		33		0		0		0		0	33
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	33	0	0	0	0	0	0	0	0	33
Asset Maintenance + Critical H&S Repairs		200		200		200		200	200	200	1,000
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	200	0	200	0	200	0	200	200	200	1,000
Community Asset Transfer		175		0		0		0		0	175
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	175	0	0	0	0	0	0	0	0	175
River Bank repairs		300		0		0		0		0	300
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	300	0	0	0	0	0	0	0	0	300
Critical Repairs and Contingency		290		0		0		0		0	290
- External Funding	0	0	0	0	0	0	0	0	0	0	0
Mansion House Restoration		1,719		0		0		0		0	1,719
- External Funding	0	918	0	0	0	0	0	0	0	0	918
- Internal Funding	0	801	0	0	0	0	0	0	0	0	801
Project Support Fund		100		100		100		100	100	100	500
- External Funding	0	0	0	0	0	0	0	0	0	0	0
Small Business Workshops		30		0		0		0		0	30
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	30	0	0	0	0	0	0	0	0	30
Guildhall		890		0		0		0		0	890
- External Funding	0	0	0	0	0	0	0	0	0	0	0
Picadilly Regeneration	180										0
- External Funding											0
- Internal Funding	180										0
TOTAL GROSS EXPENDITURE	180	4,367	0	300	0	300	0	300	300	300	5,567
TOTAL EXTERNAL FUNDING	0	918	0	0	0	0	0	0	0	0	918
TOTAL INTERNAL FUNDING	180	3,449	0	300	0	300	0	300	300	300	4,649
CBSS - IT											
IT Development plan		2,533		2,245		2,025		1,970	1,085	1,085	9,858
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	0	2,533	0	2,245	0	2,025	0	1,970	1,085	1,085	8,773
TOTAL GROSS EXPENDITURE	0	2,533	0	2,245	0	2,025	0	1,970	1,085	1,085	9,858
TOTAL EXTERNAL FUNDING	0	0	0	0	0	0	0	0	0	0	0
TOTAL INTERNAL FUNDING	0	2,533	0	2,245	0	2,025	0	1,970	1,085	1,085	9,858
Capital Contingency											
Capital Contingency	250	250		0		0		0		0	250
- External Funding	0	0	0	0	0	0	0	0	0	0	0
- Internal Funding	250	250	0	0	0	0	0	0	0	0	250
TOTAL GROSS EXPENDITURE	250	250	0	0	0	0	0	0	0	0	250
TOTAL EXTERNAL FUNDING	0	0	0	0	0	0	0	0	0	0	0
TOTAL INTERNAL FUNDING	250	250	0	0	0	0	0	0	0	0	250

	2016/17 Budget £000	2016/17 Revised Budget £000	2016/17 Budget £000	2017/18 Revised Budget £000	2016/17 Budget £000	2018/19 Revised Budget £000	2016/17 Budget £000	2019/20 Budget £000	2016/17 Budget £000	2020/21 Budget £000	Gross Capital Programme To be Funded 16/17 - 20/21 £000
Gross Expenditure by Department											
CSES - Children's Services, Education and Skills	265	8,077	0	12,710	0	6,368	0	4,267	5,081	5,081	36,503
H&WB - Adult Social Services & Public Health	0	1,156	0	967	0	915	0	565	565	565	4,168
CANS - Communities, Culture and Public Realm	770	1,946	0	0	0	0	0	0	0	0	1,946
CES - Highways & Waste	1,746	7,339	0	3,168	0	2,977	0	2,977	2,977	2,977	19,438
CANS - Housing & Community Safety	3,654	24,181	-296	9,535	1,075	9,547	-411	9,401	9,862	9,862	62,526
CES - Transport	360	14,825	50	4,381	50	1,710	0	1,660	1,660	1,660	24,236
CES - Community Stadium	0	15,714	0	0	0	0	0	0	0	0	15,714
CBSS - Asset Management	180	4,367	0	300	0	300	0	300	300	300	5,567
CBSS - IT	0	2,533	0	2,245	0	2,025	0	1,970	1,085	1,085	9,858
Capital Contingency	250	250	0	0	0	0	0	0	0	0	250
Total by Department	7,225	80,388	-246	33,306	1,125	23,842	-411	21,140	21,530	21,530	180,206
Total External Funds by Department											
CSES - Children's Services, Education and Skills	0	7,262	0	12,535	0	6,368	0	4,267	5,081	5,081	35,513
H&WB - Adult Social Services & Public Health	0	427	0	360	0	0	0	0	0	0	787
CANS - Communities, Culture and Public Realm	0	618	0	0	0	0	0	0	0	0	618
CES - Highways & Waste	0	2,081	0	2,018	0	1,827	0	1,827	1,827	1,827	9,580
CANS - Housing & Community Safety	1,086	6,649	430	5,954	552	6,160	454	6,320	7,085	7,085	32,168
CES - Transport	0	2,870	0	3,907	0	1,570	0	1,570	1,570	1,570	11,487
CES - Community Stadium	0	9,304	0	0	0	0	0	0	0	0	9,304
CBSS - Asset Management	0	918	0	0	0	0	0	0	0	0	918
CBSS - IT	0	0	0	0	0	0	0	0	0	0	0
Capital Contingency	0	0	0	0	0	0	0	0	0	0	0
Total External Funds by Department	1,086	30,129	430	24,774	552	15,925	454	13,984	15,563	15,563	100,375
Total CYC Funding required by Department											
CSES - Children's Services, Education and Skills	265	815	0	175	0	0	0	0	0	0	990
H&WB - Adult Social Services & Public Health	0	729	0	607	0	915	0	565	565	565	3,381
CANS - Communities, Culture and Public Realm	770	1,328	0	0	0	0	0	0	0	0	1,328
CES - Highways & Waste	1,746	5,258	0	1,150	0	1,150	0	1,150	1,150	1,150	9,858
CANS - Housing & Community Safety	2,568	17,532	-726	3,581	523	3,387	-865	3,081	2,777	2,777	30,358
CES - Transport	360	11,955	50	474	50	140	0	90	90	90	12,749
CES - Community Stadium	0	6,410	0	0	0	0	0	0	0	0	6,410
CBSS - Asset Management	180	3,449	0	300	0	300	0	300	300	300	4,649
CBSS - IT	0	2,533	0	2,245	0	2,025	0	1,970	1,085	1,085	9,858
Capital Contingency	250	250	0	0	0	0	0	0	0	0	250
Total CYC Funding required	6,139	50,259	-676	8,532	573	7,917	-865	7,156	5,967	5,967	79,831

* Within the Local plan and Highways budgets lines highlighted above, there is £125k allocated to the 'Highways, Road Adoption and Drainage Fund' which has a total budget of £250k.

ANNEX B

Capital Budget Process 2016/17 - 2020/21

Existing/New Rolling Programme Schemes - Additional Years/Amendments		
Directorate	Portfolio	Funded by CYC Borrowing
CES	T&P	Bridge Maintenance
CES	T&P	York City Walls - Repair and Renewal
CES	T&P	Concrete Street lighting column replacement program
CES	T&P	Highway Drainage Works
CES	T&P	Highways Resurfacing & Reconstruction (CYC element only)
CES	T&P	LED street lighting replacement programme
CANS	HSN	Disabled Facilities Grant (CYC element only)
ASC	ASCH	Disability Support Budget
ASC	ASCH	Major items of disability equipment
ASC	ASCH	Telecare Equipment
CBSS	F&P	IT Development Plan
CBSS	F&P	Asset Maintenance + Critical H&S Repairs
CBSS	F&P	Contingency
CBSS	F&P	Project Support Fund

TOTAL - Funded by CYC Prudential Borrowing

Incremental Revenue Growth

Existing/New Rolling Programme Schemes - Additional Years/Amendments		
Directorate	Portfolio	Funded Externally
CES	T&P	Highways Resurfacing & Reconstruction (Grant element only)
CES	T&P	Local Transport Plan - Road Safety Scheme Programme
CANS	HSN	Disabled Facilities Grant (Grant element only)
CSES	ECYP	NDS Devolved Capital
CSES	ECYP	DfE Maintenance
CSES	ECYP	Basic Need

TOTAL - External Funding

Incremental Revenue Growth

New Schemes - CYC Funded		
Directorate	Portfolio	
CES	T&P	City Fibre Network - Materials
CES	T&P	Low Carbon and Solar Panels Investment
CBSS	F&P	Piccadilly Regeneration
CSES	ECYP	Investment in Community Based Premises to deliver Children's Services New Early Help Operating Model

TOTAL

CYC Borrowing

Other Internal Funding

Incremental Revenue Growth

New Schemes - Self financing (Departmental Borrowing)		
Directorate	Portfolio	
CANS	CLT	Theatre Royal
CES	ENV	Harewood Whin Transfer Station

TOTAL - Funded by Departmental Prudential Borrowing

CYC Borrowing

Other Internal Funding

Incremental Revenue Growth

HRA Schemes		
Directorate	Portfolio	
CANS	HSN	MRA Schemes
CANS	HSN	Modernisation of Local Authority Homes
CANS	HSN	Water Mains Upgrades
CANS	HSN	Asst to Older and Disabled People
CANS	HSN	IT infrastructure
CANS	HSN	Extension to Glen Lodge

TOTAL - HRA Funding

Funded Split	
Total CYC Prudential Borrowing	
Total CYC Prudential Borrowing Self Funding	
Use of previously Unallocated Balances	
Other Internal Funding	
Total External Funding	
Total HRA Funding	
Total of New schemes	

Less New schemes funded by use of previously unallocated Balances

Growth above existing approved budget					
16/17	17/18	18/19	19/20	20/21	Total
£000	£000	£000	£000	£000	£000
				200	200
260				90	350
330					330
				200	200
				750	750
416					416
				475	475
				210	210
				105	105
				250	250
				1,085	1,085
				200	200
250					250
				100	100
1,256	0	0	0	3,665	4,921
100	0	0	0	293	394

£000	£000	£000	£000	£000	£000
				1,827	1,827
				1,570	1,570
				1,400	1,400
				431	431
				2,400	2,400
				2,250	2,250
0	0	0	0	9,878	9,878
N/A	N/A	N/A	N/A	N/A	N/A

£000	£000	£000	£000	£000	£000
50	50	50			150
50					50
180					180
265					265
545	50	50	0	0	645
545	50	50	0	0	645
0	0	0	0	0	0
44	4	4	0	0	52

£000	£000	£000	£000	£000	£000
770					770
1,000					1,000
1,770	0	0	0	0	1,770
770	0	0	0	0	770
1,000	0	0	0	0	1,000
N/A	N/A	N/A	N/A	N/A	N/A

£000	£000	£000	£000	£000	£000
250	430	552	454	5,685	7,371
-212	-217	555	-109	1,290	1,307
-535	-521	-56	-793	262	-1,643
	12	24	37	450	523
				300	300
4,151					4,151
3,654	-296	1,075	-411	7,987	12,009

£000	£000	£000	£000	£000	£000
1,029	50	50	0	3,665	4,794
770	0	0	0	0	770
772	0	0	0	0	772
1,000	0	0	0	0	1,000
0	0	0	0	9,878	9,878
3,654	-296	1,075	-411	7,987	12,009
7,225	-246	1,125	-411	21,530	29,223
-772	0	0	0	0	-772

This page is intentionally left blank

Glossary of abbreviations used in Finance reports:

ASC	Adult Social Care
AWPU	Age Weighted Pupil Unit
BID	Business Improvement District
BCF	Better Care Fund
CAB	Capital Asset Board
CAN	Communities and Neighbourhoods
CBSS	Customer and Business Support Services
CCG	Clinical Commissioning Group
CCTV	Closed Circuit Television
CES	City and Environmental Services
CFR	Capital Financing Requirement
CIA	Communities Impact Assessment
CIPFA	Chartered Institute of Public Finance and Accountancy
CLA	Children Looked After
CLG	Communities and Local Government
CPI	Consumer Price Index
CRAM	Capital Resource Allocation Model
CSES	Children's Services, Education and Skills
CSR	Comprehensive Spending Review
DCLG	Department for Communities and Local Government
DFE	Department for Education
DMT	Directorate Management Team
DSG	Dedicated Schools Grant
DWP	Department for Work and Pensions
ECB	European Central Bank
EIF	Economic Infrastructure Fund
EFA	Education Funding Agency
EPHs	Elderly Persons Homes
EU	European Union
EZ	Enterprise Zone
EZ	Euro Zone
FDAC	Family Drug and Alcohol Court
FOI	Freedom of Information
FTE	Full Time Equivalent
GDP	Gross Domestic Product
GF	General Fund
GVA	Gross Value Added
HR	Human Resources
HRA	Housing Revenue Account
LGPS	Local Government Pension Scheme
HCA	Homes and Communities Agency

ICO	Information Commissioner's Office
LA	Local Authority
LCR	Leeds City Region
LEP	Leeds Enterprise Partnership
LGA	Local Government Association
LIBID	London Interbank Bid Rate
MIY	Make it York
MRP	Minimum Revenue Provision
NHB	New Homes Bonus
NNDR	National Non Domestic Rates
NYCC	North Yorkshire County Council
NYPF	North Yorkshire Pension Fund
OPAP	Older Persons' Accommodation Programme
OPH	Older Persons' Homes
PFI	Private Finance Initiative
PI	Prudential Indicator
PSBP	Priority Schools Building Programme
PWLB	Public Works Loan Board
RPI	Retail Price Index
RSG	Revenue Support Grant
RTB	Right To Buy
SEN	Special Educational Need
SFA	Settlement Funding Assessment
SI	Statutory Instrument
SME	Small and medium-sized enterprises
TM	Treasury Management
TUPE	Transfer of Undertakings (Protection of Employment)
VYCCG	Vale of York Clinical Commissioning Group
VfM	Value for Money
VRP	Voluntary Revenue Provision
YFAS	York Financial Assistance Scheme
YMT	Yorkshire Museum Trust



Executive**11 February 2016**

Report of the Assistant Director of Housing and Community Safety

Portfolio of the Executive Member for Housing & Safer Neighbourhoods

Review Housing Revenue Account Business Plan 2015 to 2045**Summary**

1. This report provides an overview of the revised Housing Revenue Account (HRA) Business Plan for the next 30 years and provides detail of the key priorities for the next five years, including the investment fund to support the delivery of more affordable new homes.

Recommendations

2. Executive are asked to:
 - a) Agree Option One to adopt the HRA Business Plan and finance projection as set out in Annex's A and B

Reason: The plan sets out the priorities for the housing revenue account for the next 5 years and gives clear messages as to the commitment to continue to invest in the council's existing stock, the local communities and, if still viable, to build new much needed social rented housing.

Background

3. The core purpose of the HRA Business Plan is to set out the priorities for the business over the next 30 years and to demonstrate that the council can maintain its housing assets, deliver a quality customer focused service as well as improve its homes and neighbourhoods. It is first and foremost a financial document, which determines how the council will meet the needs of present and future tenants whilst ensuring the long-term viability of the stock.
4. In April 2012, the funding regime for local authority social housing changed radically. The abolition of the national (HRA) subsidy system, a national system for redistributing housing resources, was replaced with a locally managed 'self financing' system. Local authorities now

retain the rental streams from their housing assets, alongside the responsibility for managing, maintaining and improving the housing stock and supporting an opening level of debt that was allocated to each authority. The level of debt allocated to York was £122m.

5. The Business Plan needs to be read in conjunction with the HRA Strategic Asset Plan, which sets out priorities for the physical care and improvement of the housing stock and related housing assets. This Business Plan draws upon the stock condition information and data analysis used in the formulation of the Strategic Asset Plan.
6. Following the general election in May 2015 there has been a need to fundamentally review the plan to take account of the local impact of changes announced at a national level. These are outlined below:
 - a) The announcement in the July 2015 budget statement that social housing rents will reduce by 1% a year for the next 4 years which will result in a reduction in income over the 4 year period of £12.8m and of approximately £240m over the lifetime of the business plan.
 - b) The new Housing Bill published in October 2015 which includes:
 - The extension of the right to buy to Registered Providers (Housing Associations) tenants and cross subsidised by Local Authorities selling their high value stock to compensate the Registered Providers for the discounts. There are still a lot of unknowns associated with the high value sales and therefore what the impact of this will be in the business plan.

Currently the national proposals are that the property valuations and classification of what is deemed as high value is determined on a regional basis, Yorkshire & the Humber. If introduced as currently proposed York will be disproportionately impacted upon given that, in residential valuation terms, York is a high value area within a low value region. Current estimates assess the financial impact to be in the region of £100m on a best case scenario and £214m on a worst case scenario;

- The introduction of 'pay to stay' whereby households who are earning more than £30k will be required to pay a market rent.

The government are still developing the details of how this proposal will work and what taper will be used to move from payment of social rent to full market rent. However, the proposals as they currently stand set out that any money collected by local authorities through increased rents will need to be returned to the exchequer to contribute to deficit

reduction. It is likely, dependant upon the income threshold and the taper used to determine the transition from social rent to full market rent that tenants who fall into this bracket may decide to exercise their right to buy and purchase their council home with, subject to qualification, a maximum discount under the current RTB regulations of £77,900.

- The potential end to lifetime tenancies for new social housing tenants.
- c) The impact of further welfare reform on the income management of the HRA.
7. The combined impacts of these changes mean that the revenue income to the authority will significantly reduce from that projected in the last iteration of the business plan. It is likely that over the life of the business plan that income will, at best be reduced by £340m, and at worst £455m.
 8. This will mean that significant savings will need to be made to ensure that the business plan can balance in future years. At a minimum £1.5m will need to be saved out of current revenue expenditure over the next 4 years. To ensure the plan can balance, future capital expenditure will also have to be reviewed and reduced. It is likely that any future building programme for new council homes will need to be significantly reduced or ended completely.

Consultation

9. The development of the business plan has involved a wide range of staff from within housing services, building maintenance and corporate finance. In developing the plan we have had regard to a number national issues and local strategies that have informed the key priorities for the service
10. The revised business plan and the impact of the national changes have been discussed with the Federation of tenants and resident associations.
11. The new building programme has been subject to extensive consultation with local residents through the planning process. Much of the capital programme also includes consultation with tenants.

Options

12. Option one – To adopt the revised plan and finance projection set out at Annex's A and B.
13. Option two – To ask officers to revise the document.

Analysis

14. **Option one** - This Business Plan covers seven key areas where there are investment issues for the HRA. It also looks at assumptions around performance and treasury management, which have informed the plan, particularly in relation to the development of the Investment Fund. The key areas are:

New build

15. York is a city with a growing population with the number of people living in the city increasing from 177,100 in 1999 to 198,000 at the time of the 2011 Census. Key issues are:
 - Demand for housing, and housing costs are high for both homeownership and the private rented sector;
 - Welfare reforms will exacerbate the problems of affordability within the private rented sector;
 - At April 2015 there were 1,500 households registered for social housing in York;
 - The council averages 500 council lettings per annum;
 - A Strategic Housing Market Assessment has been commissioned and will report in February 2016 on the number of affordable homes that are needed in the city.
 - An average 150 affordable homes per annum have been built over the last 5 years.
16. The existing council house building programme has allowed the council to take a leadership role within the city and support the priority in the Council Plan to create 'a prosperous city for all' . Research by the UK Contractors Group¹ identifies that every £1 spent on construction generates a total of £2.84 in extra economic activity of which a significant element is retained within the local economy. Table 1 below shows the first phase of the council house building programme completed 32 new homes in 2015 with a further 74 homes and a replacement for Ordnance Lane homeless hostel at various stages of development.

¹ National Federation of ALMO's – Lets get building

Table 1. Council Housebuilding Programme

Scheme/site	Number of affordable homes	Status
Lilbourne Drive, Clifton	19	Completed (2012)
Le Tour Way, Acomb	18	Completed 2015
Lindsey Avenue, Acomb	14	Completed 2015
Hewley Avenue, Tang Hall	8	On site
Fenwick St, Clementhorpe	8	On site Jan 16
Pottery Lane, Heworth	6	On site Jan 16
Chaloners Road, Dringhouses	8	On site Jan 16
Glen Lodge Extra Care, Heworth	26	Planning
Ordnance Lane, Homeless Hostel	39	Contractor appointed
Ordnance Lane, general needs	18	Contractor appointed
Total	164	

17. The next challenge, once the full implications of the government proposals are known, is to re-appraise the business case for a continued new build investment programme. If the business case is still robust further opportunities will be identified for investment.

Repairs and maintenance/stock investment

18. The Council's housing stock is well maintained with significant investment over many years through a structured programme of maintenance and upgrading along with a range of ongoing improvement programmes.
19. Over the next 5 years £74.5m will be spent on responsive repairs / maintenance and improvements to the housing stock.
- As at 31st March 2015, there were 7 dwellings considered to be non-decent. Every year a number of homes fall out of decency on a rolling basis and are improved within the financial year that they become non-decent.
 - The average energy SAP rating of the housing stock was 74. This rating is in the top quartile across local authorities.
 - There are 610 non-traditional homes. These are properties whose original construction was not done in the conventional way.
 - The Business Plan sets out a capital improvement budget of £40.7m over the next five years to meet its capital maintenance and improvement programme.

- £35m to be invested in responsive repairs and cyclical maintenance over the next 5 years.

20. During 2014/15 year the Housing Service has:

- Modernised 266 homes to full decency standard (kitchen's, bathrooms, central heating);
- Replaced windows to 259 homes;
- Renewed 45 roofs;
- Replaced 431 doors with high security GRP doors;
- Carried out external Painting to 1100 homes;
- Carried out loft conversions to 7 homes;
- Replaced old boilers with high efficiency gas boilers to 450 homes
- Rewires to 247 properties;
- Carried out major improvements/conversion work to 18 Airey (non-traditional) houses.

21. The current years programme continues to deliver improvements to the housing stock, key priorities are:

- Modernise 280 home's kitchen, bathroom and electrical systems;
- Renew 100 roofs;
- External Painting to 1200 homes;
- Replace 650 boilers and heating systems with higher efficiency systems;
- Installing 19 Air Source Heat Pumps to non-gas homes, lowering our carbon footprint;
- Electrical testing and upgrades to 800 homes;
- Remediation of 80 damp homes;
- Door entry system installations and upgrades to 65 entrances.

22. In addition to the above work is ongoing to develop a plan to move Tenants from private water mains to Yorkshire Water Mains. This will be factored into the financial element of the Business Plan as part of the capital programme development.

Landlord services

23. The landlord function of the Housing Service deals with the pro-active estate management and community involvement which make our estates vibrant places to live and work. Key functions within this are: income management, tenancy management, letting of properties, Right to Buy administration, resident involvement and low-level tenant anti social behaviour functions for the councils housing stock.

24. In 2013/14 the housing management team reviewed its approach to community engagement and with tenant associations, ward councillors and other stakeholders began developing local action plans. A number of local hubs have been developed over the last year reflecting the council's ambitions to provide accessible local services. Further work is being undertaken to develop the offer that these hubs make to the community.
25. To ensure that as a strategic landlord we make best use of our stock work has been focused on tackling over crowding and under occupying, in the coming year we will review the choice based letting process to determine its effectiveness and how efficient it is.
26. As part of the council's priority to develop community capacity the landlord services will continue to take a lead and develop the Local Estate Action Plans (LEAP). The purpose of these plans is to identify those things that are important to residents and local stakeholders and put action plans in place to tackle the issues. It is acknowledged that these are in their infancy and work will be undertaken over the next 12 months to strengthen their development and embed them into the way we work with communities.
27. Proposals are being worked up that will see the frontline housing service become a focused single point of contact for households and a service that is the conduit for addressing the full range of needs of its customers at a household and neighbourhood level. The proposals would see staff working on smaller patches but with a broader responsibility than simply tenancy management.
28. Welfare reform remains a critical issue and over the next twelve months the service will continue to offer support and assistance to those that are affected by the reforms and those that are financially excluded. Preparations will continue in readiness for the wider roll out of universal credit and other welfare reforms. The mitigation measures that the council has put in place have ensured the performance on income recovery has not impacted to the extent that was originally anticipated. However there has been a rise in current rent arrears to just over £500k representing 1.6% of the debit at the end of 2014/15.

Supported housing

29. Supported housing is defined as housing which is designated for a specific group (such as older people, people with learning disabilities etc.) and in which there is some level of support provided as part of the

accommodation offer, this is usually funded through a service charge to residents.

30. A supported housing strategy was approved last year to help address the supported housing needs of the City, and to prioritise resources appropriately.
- The Council directly manages 7 sheltered housing schemes, and a further 4 sheltered housing with extra care schemes.
 - Temporary accommodation for statutory homeless households includes Ordnance Lane (currently providing 31 units of various sizes) Holgate Road and Crombie House (20 units)
 - Around 30 per cent of the total population in York is aged 55 or over, this is reflected in the profile of council tenants.
 - Sheltered housing makes up 13% of social housing stock in York
31. Priorities for the next twelve months are to redevelop the Ordnance Lane hostel providing modern new facility and in partnership with Adult Services there will be an extension to Glen Lodge sheltered scheme providing 27 new units as part of the wider older person's accommodation programme.

Adaptations

32. Local authority social housing providers are expected to meet the cost of any adaptation work required by tenants of their social housing stock. Currently approximately 450 council homes are adapted each year to meet the needs of particular households. The investment requirement ranges from the need for minor adaptations, such as grab-rails and ramps, through more major adaptations such as stair lifts, through floor lifts and assisted bathing facilities, up to the need for major structural changes.
33. Once a property has been adapted the council, via the choice based lettings system for managing our housing waiting list and allocations activity - ensures that properties with specific adaptations are prioritised for the use of those with appropriate need.

Tenant involvement

34. Tenant involvement is critical to the delivery of an effective and efficient housing service. The authority is in the process of reviewing the approach to customer services. Housing services are part of this transformational review.

35. Working with our customers we have developed a range of involvement activities from which customers choose how they wish to influence services from a wide range of options including:
- York Resident Federation and 14 Resident Associations
 - Tenant Scrutiny Panel
 - Tenant Inspectors
 - Annual Tenant and Leaseholder Open Day
 - A range of satisfaction surveys, focus groups and drop-in sessions

36. The long-standing York Residents' Federation is the umbrella group for York's Residents' Associations. With a formal structure, access to senior staff and the Executive portfolio holder as a standing member. The Federation's voice influences our policies, priorities and performance

Information systems

37. The Housing Service relies very heavily on a number of business critical ICT systems with the Integrated Housing Management Information System (Northgate SX3) being one of the key applications.
38. There are a number of other key systems, which work alongside or integrate with this application and a review of a number of these is required to make best use of the IT functionality currently available to support a housing business.
39. The integration of these systems requires significant resources and infrastructure to allow it to be fully operational and effective. Positive outcomes for the business will include the ability to support service delivery with accurate and comprehensive data, a reduction in waste and duplication and a reduction in staff time spent interrogating systems that are not integrated. These benefits will feed through to customers as better informed decisions and targeted interventions mean staff time is freed up to deliver frontline services for customers.
40. The development and use of advanced ICT technology and social media will fundamentally change the way we work and improve efficiency and coincide with a council-wide initiative to work smarter and become less reliant on office accommodation for its field staff. This will help us take services to customers and communities and allow them to actively participate in service delivery and development in a wide variety of convenient ways.
41. The HRA plays an important role also in the delivery of Council priorities; this has been evident through recent work on poverty prevention,

strengthening engagement and customer experience. Further work is planned within the plan to ensure alignment with wider priorities is achieved.

42. **Option Two** – The revised plan broadly follows the original business plan any significant changes would require the forecasts to be remodelled and would delay approval.

Council Plan

43. The good management of existing housing and any new build programme to increase the stock supports the Council Plan priority for ‘a prosperous city for all – where local businesses can thrive and residents have good quality jobs, housing and opportunities’. Similarly, the Business Plan supports the council commitment to ‘listen to residents – to ensure it delivers the services they want and works in partnerships with local communities’.

Implications

44. The implications arising from this report are:
- **Financial** – The national policy changes outlined in the report have required significant changes to the HRA Business Plan. Following the requirement to reduce rents by 1% for the next 4 years and initial estimates of sales of high value properties along with increased levels of Right to Buy sales, income is now forecast to be significantly lower over the life of the plan than in the previous version approved by members in September 2014. In order to ensure a robust and sustainable Business Plan, this reduction in income will require significant savings to be made from operating costs over the coming years. The Business Plan includes savings of £1.5m over the next 4 years, details of the proposed savings for 2016/17 have been included in the budget reports to Members. In addition to this a number of changes have been made to revise inflation assumptions and to update and re-profile future capital expenditure.

As further details of the required sale of high value properties are revealed as well as the charging of market rents to households earning over £30k and the removal of lifetime tenancies, the assumptions in the Business Plan will be revised. This could require significant further changes or additional savings to be made. An updated version will be produced annually however, if significant revisions are needed, more frequent updates will be provided to ensure the HRA remains financially sustainable.

- **Human Resources (HR)** – None
- **Equalities** – Community Impact Assessment has been completed the details are contained in Annex C
- **Legal** – None
- **Crime and Disorder** – None
- **Information Technology (IT)** – Significant investment is proposed for ICT to support the ambitions of the plan. These will be discussed with the ICT team and built into work plans
- **Property** – None

Risk Management

45. National policy changes have shown that whilst self financing was heralded as local housing authorities taking on the responsibilities and flexibilities that came through the removal of the subsidy system, the reality is that since we remain in the public sector our financial viability is still subject to national government policy decisions. This creates a risk that further changes could result in the business plan not being viable without significant reductions in services to our tenants
46. The changes contained in the Welfare Reform Act continue to pose a challenge to the authority as the reduced income to some families may result in increased levels of bad debts. The impact of the spare room subsidy has been mitigated by the emphasis placed on preventative work, such as financial inclusion, financial capacity building and measures to prevent households from falling into poverty. This work needs to continue with the pending implementation of universal credit.
47. Following the government changes to the Right to Buy, sales are higher than projected, reducing the overall level of rental income received. The impact of this and the national changes has been built into the Business Plan, and it is essential the savings are achieved in order to have a financially viable plan. Consideration also needs to be given to the potential for further national changes that may have a negative financial impact on the viability of the plan and what contingency can be put in place.

Contact Details

Author:

Steve Waddington
Assistant Director –
Housing & Community
Safety
Tel No. 01904 554016

Chief Officers Responsible for the report:

Steve Waddington
Assistant Director – Housing & Community
Safety

Sally Burns
Director of Communities & Neighbourhoods

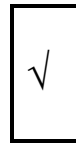
Tom Brittain
Head of Housing Services
Tel No. 01904 551262

Ian Floyd
Director of Customer & Business Support
Services

Co-Author

Paul Landais Stamp
Housing Strategy Manager
Tel No. 01904 554198

**Report
Approved**



Date 4th January 2016

Specialist Implications Officer(s)

Financial
Isabel Jones
Finance Manager
Tel No. 01904 551799

All

Wards Affected: List wards or tick box to indicate all

For further information please contact the author of the report

Annexes

- Annex A – The HRA Business Plan.**
- Annex B – The HRA Business Plan 30 Year Finance Projection**
- Annex C – Community Impact Assessment**

Glossary of Abbreviations used in the report:

- GRP – Glass Reinforced Plastic
- HRA – Housing Revenue Account
- RTB – Right to Buy

City of York Council

Housing Revenue Account

30 Year Business Plan:

2015-2045

Contents

Forward	2
Introduction	3
National Policy Context	4
Local Policy Context	6
Financial Summary	7
Investment Challenges	9
New Build	9
Repairs and Maintenance / Stock Investment.....	12
Landlord Services	17
Supported Housing	24
Adaptations.....	27
Governance and Tenant Involvement	28
Information Systems	30
Rent Arrears, Voids and Rent Setting	32
Performance Monitoring.....	33
Treasury Management.....	34

Forward

We are pleased to introduce the 2015 re-fresh of our Housing Revenue Account (HRA) Business Plan 2015-2045, which sets out our priorities, plans and actions for council housing in our city for the coming years. This plan will continue to be reviewed annually.

The purpose of the HRA Business Plan is to demonstrate that the council can maintain its housing assets, and deliver the levels of service, home and neighbourhood improvements set out in it. It is first and foremost a financial document, which determines how the council will meet the needs of present and future tenants, demonstrating that Government and local targets can be achieved and ensuring the long-term viability of the stock.

Following the election of the Conservative government in May 2015 there have been fundamental and wide ranging changes to the funding, definition and delivery of affordable housing.

The changes introduced in the July budget and the Housing and Planning Bill include rent reductions for four years, continuation of welfare reform, increased promotion and expansion of the right-to-buy to housing association tenants, the sale of high value council housing stock, proposals for 'pay to stay' for higher income households, and ending secure 'lifetime' tenancies. All of these changes are also being introduced within the context of broader public sector savings needed to be made by the council. For the HRA, savings of £1.5m have been included in this Business Plan but this may need to be increased if assumptions change as more details of the impact of these policies become clear.

Not all of these changes directly affect the HRA Business Plan but

many do and a key priority of this refresh is therefore the setting of a robust and sustainable strategy for the delivery of the business plan over the next five years during which time the full impact of the changes will be clearer.

The Business Plan needs to be read in conjunction with the HRA Strategic Asset Plan which sets out priorities for the physical care and improvement of the housing stock and related housing assets and provides a framework for assessing opportunities for future development. This Business Plan draws upon the stock condition information and data analysis used in the formulation of the HRA Strategic Asset Plan.

A robust Business Plan has become evermore crucial since the reform of the rules governing local authority housing finance and the introduction of the self-financing system in April 2012. This new system required local authorities to take on a one off debt; in York's case £121.5 million and in return keep all its revenue income except for a proportion of right to buy receipts that are still pooled and returned to central government. It is therefore critical that the HRA continues to be managed on sound business principles

The reforms opened up some exciting opportunities for York and the council has used this opportunity to build much needed new council housing and in so doing contribute to the council's aim to create a prosperous city for all and one that listens to its' residents.

The 30 year financial model assumes levels of expenditure to ensure properties are maintained to the standards currently prescribed within the HRA Strategic Asset Plan.

This plan sets out the national and local strategic context and corporate priorities under which we are currently operating.

This framework has enabled us to identify our challenges and priorities specifically over the next five years as well as identifying longer term issues and goals for the next thirty years.

Demand for social housing remains high, particularly for family homes and therefore the plan sets out the Council's aspiration to build new council housing of the types required. In some cases this means building new flats that enable existing households to downsize hence freeing up family sized housing elsewhere.

Progress in meeting the priorities of the HRA business plan is given in each of the chapters that follow. Underpinning much of this work has been the award of the Government standard of Customer Service Excellence in 2014.

Introduction

Background

This Housing Revenue Account (HRA) business plan covers the 30-year period 2015/16 to 2045/46. The plan concentrates largely on those activities relevant to the management of the council's housing related assets and the challenges facing key service delivery areas and contains an investment programme, formulated on a five year and a 30 year basis.

The Strategic Asset Plan is a key component of the HRA Business Plan as it sets out priorities for the physical care and improvement of the housing stock and related housing assets, using stock condition information to inform the strategic framework within which decisions on investment or disinvestment are made. It

balances the competing investment needs in the existing housing stock, investment in new affordable housing delivery and investment in housing management services. The Strategic Asset Plan has been completed alongside this refreshed HRA Business Plan.

York is an area of high property values and intense demand for social housing. This means that the council has not experienced significant difficulty when letting vacant property. It is, however, aware of the need to anticipate and where possible to forestall obsolescence in the housing stock and maintain housing to a standard which is attractive to potential tenants, meets the changing nature of household formation and responds to other demographic or cultural issues. With land for redevelopment at a premium both in cost and availability, an element of re-development of existing stock is also part of the business plan.

Housing Revenue Account

In April 2012, the funding regime for local authority social housing changed radically. The abolition of the national (HRA) subsidy system, a national system for redistributing housing resources, was replaced with a locally managed 'self financing' system. Local authorities now retain the rental streams from their housing assets, alongside the responsibility for managing, maintaining and improving the housing stock and supporting an opening level of debt that was allocated to each authority.

HRA reform placed councils in control of their housing assets and also opened up a range of options for unlocking HRA investment capacity that remain consistent with the government's priority to control the national debt. The key aspects of HRA reform relevant to York were that:

- Efficient operation of the HRA would generate an

investment fund that for new investment.

- Under the agreed settlement a £20 million investment/regeneration fund would be available over the first years to 2018 to support our priorities including building new council housing
- It was anticipated that continued funds would be available over the life of this business plan.
- Housing will become a real asset capable of generating additional investment resources for new and improved social and affordable housing
- Councils will be able to shape their “housing business” to deliver against their local service and investment priorities.

The new Conservative Government elected in May 2015 announced a raft of radical policy changes including a 4 year 1% reduction in rents from April 2016 and a requirement for council’s to sell a proportion of ‘high value’ stock with receipts being used to fund housing association right to buy sales. Additionally there are proposals for households earning over £30,000 to pay a higher rent (with the rent increase returned to government and not retained by the council), and welfare reform including reductions in Working Family Tax Credits and the roll out of Universal Credit continues from the previous coalition government. There is also a requirement for the HRA to make around a minimum of £1.5m of savings as a contribution towards council-wide efficiencies.

The cumulative impact of these policy changes mean the income in the HRA will be significantly reduced and unless savings are made could even put the HRA into deficit. This is a fundamental change to the assumptions made when this Business Plan was published in 2013 and since it was last updated in September 2014.

National Policy Context

The coalition government of 2010-2015 introduced the Localism Act 2011 and the Welfare Reform Act 2012, which together have had wide implications for social landlords.

The Localism Act included measures on how social housing is allocated, the introduction of self-financing for all local authority housing and regulatory reform for the social housing sector The Localism Act. The Localism Act 2011 includes measures on:

- Implementation of a tenancy strategy, which will affect the allocation of social housing
- Abolition of the HRA subsidy system and the introduction of self-financing for all local authority housing
- Regulatory reform including the introduction of complaints and tenant panels

Welfare Reform

The welfare Reform Act 2012 introduced the biggest shake up of the welfare system since its inception. A central tenet of the programme is to reduce the overall benefits bill and make work pay. The Act has impacted on tenants who claim benefits, their landlords, local housing markets and a range of agencies providing money and benefits advice. The key changes have included:

- Creation of Universal Credit which will cap the overall amount of benefits individuals and families can claim
- Ending housing benefit and direct payments to social landlords
- Caps to the maximum Local Housing Allowance(LHA) payable
- Increases in non-dependant deductions

- Introduction of the Spare Room Subsidy commonly referred to as the 'bedroom tax'
- Calculating LHA rates using the 30th percentile of market rents rather than the 50th percentile and indexed to the Consumer Price Index from April 2013
- Limiting housing benefit for working age tenants so it only covers the size of property they are judged to need
- Raising the shared accommodation rate age limit from 25 years to 35 years.

A significant risk for the Business Plan is the collection of rental income and we originally predicted that rent arrears would increase because of the impact of the welfare reform changes. Although arrears have increased, this has not been by as much as first predicted and therefore this update includes a revised lower bad debt provision of 1.5%.

The new Conservative government elected in May 2015 has committed to further reductions in welfare payments and other reforms that impact on HRA business planning. These include:

- Lowering the benefit cap to 20,000 outside London
- Freezing working age benefits for two years from April 2016 with certain exemptions for disability and pensioner benefits
- Restricting EU migrants right social housing until they have lived in an area for four years.
- Continuation of the roll out of universal credit.
- Continuation with the spare room subsidy charge (bedroom tax)
- Reducing working family tax credits
- A 1% rent reduction per annum for four years from April 2016
- A requirement for council's to sell off their 'high value' stock as it becomes vacant

- A requirement for higher income social housing tenants to pay a higher rent

Since the election the government have also indicated that they will look to disqualify most 18-21 year olds from claiming housing benefit.

The welfare reform changes may impact on the levels of rent collected by the service and also on the sustainability /turnover of tenancies. However, the other government changes – and especially the rent reduction and requirement to sell high value housing stock - will have a much more direct and fundamental impact on the HRA Business Plan.

The Right to Buy

The coalition government increased the maximum right to buy discount that tenants can receive to £77,000 (with inflationary increases this is now £77,900). In the last two years (2013/14 and 2014/15) 105 council homes have been sold under the right-to-buy of which 64% were houses.

The Housing and Planning Bill 2015 introduces the right to buy for housing association tenants too. Under the current proposals, council's will be required to sell their "high value" housing stock with the receipts being used by government to compensate housing associations for the cost of selling their homes.

At the time of updating this Business Plan the legislative details of the proposals are not confirmed. However, if they are implemented as proposed they will have a very significant impact on the Housing Revenue Account and reduce considerably the opportunity for investment in new housing beyond 2018.

Devolution

The government have signalled an intention to support further devolution of governance to regions. A devolved governance geography may be a catalyst for shared services across housing providers in the region. This could give housing a greater collective voice for funding opportunities and also to increase efficiency by bringing together shared services common to all housing authorities. These opportunities will be considered as more detail emerges.

Local Policy Context

The business plan is guided by the Council's Corporate Plan and contributes to a number of its aims. The business plan must be viewed in conjunction with the HRA Strategic Asset Plan.

The HRA Business Plan in Context



The Business Plan sets out the investment required to:

- Maintain our housing stock to provide good quality sustainable council homes to meet a range of needs for today and future generations
- Achieve and maintain high standards of housing management and effective tenant involvement
- Assist people in housing need to access social housing and to offer support to help vulnerable tenants to maintain their tenancy and independent living
- Respond to and pre-empt changing demand patterns, maintaining a balanced portfolio of housing to address a wide range of needs
- Increase the environmental sustainability of the council's housing stock
- Deliver the investment programme in a cost effective manner in accordance with sound procurement principles

Strategic Aims and Priorities

The HRA business plan supports our vision “creating homes, building communities” and aligns with the following plans and strategies.

- Council Plan 2015-21
- ‘Creating homes, building communities’ housing strategy 2011/15
- York, North Yorkshire and East Riding Housing Strategy 2015-21
- Supported Housing Strategy 2014-19
- A City Partnership to Prevent Homelessness 2013-2018
- ‘Positive Ageing, Housing Choices’ older people’s housing strategy 2011/15
- Gypsy, Roma and Traveller Strategy 2013-18

- Tenancy Strategy 2013-18
- HRA Strategic Asset Plan

The business plan will contribute to meeting the council's three wider strategic aims in the Council Plan:

- A prosperous city for all
- A focus on frontline services
- A council that listens to residents

This will be evidenced in a number of ways including:

- Increasing the supply of new affordable and making the best use of existing homes.
- Providing facilities that support dedicated high quality care for people with specialist needs.
- Exploring opportunities to expand housing provision to the intermediate rented market.
- Ensuring that frontline services continue to prevent homelessness wherever possible and provide housing options advice to all vulnerable households.
- Developing community engagement and consultation activities so that our customers are directly involved in planning and influencing services
- Reducing levels of financial and social exclusion by relieving the pressure on family budgets, helping disadvantaged individuals to access cost effective financial products and tools
- Developing and supporting sustainable solutions to improve the financial capacity and capability of individuals and communities, reduce levels of debt and raise awareness of benefit entitlement
- Working towards a comprehensive customer profiling

system, tracking specific customer needs around financial inclusion, identifying when client groups will require intervention/support and how they are likely to access it.

- Creating financial support packages which effectively target vulnerable and marginalised families, individuals and communities in settings that are comfortable and familiar to them

Alternative Models of Service Delivery

The housing service is exploring new ways of improving the efficiency of its front line services and reducing costs. This is part of a council-wide initiative to consider other delivery models for services including outsourcing.

The appraisal of alternative service delivery models for housing could include transferring all or parts of the service to a council owned Arms Length Management Organisation or by a Large Scale Stock Transfer to a newly formed or existing Registered Provider (housing association). An opportunity for sharing services with other local authorities is also being considered and it is expected that recommendations on which option(s) to work up in detail will be made in Spring 2016.

Financial Summary

The introduction of self financing resulted in the council taking on £121.5m of additional debt from central government in March 2012. However, it also means the council no longer has to pay the government an annual negative subsidy payment which was in the region of £7m.

In taking on this debt the council considered all options as part of

its decision making; more detail is set out in the Treasury Management section of this business plan. Details of the revenue and capital projection moving forward are set out in Annex B,

Given the nature of the Business Plan there are clear financial risks that need to be considered and factored into any projections. In addition, the long term impact of the policy changes within the Housing and Planning Bill are not yet known and therefore there is a high degree of uncertainty around some of the assumptions that have been included. These assumptions will continue to be monitored and refined as more details become clear to ensure the plan is robust and sustainable.

Key Area	Assumption	Comment
General inflation	2.0%	
Rent increase inflation	-1.00% to +3.00%	Rent increases assumed in line with proposed government guidelines of CPI plus 1%
External borrowing interest rate	2.76% to 3.51%	Portfolio of fixed rate maturity loans with PWLB
Minimum HRA balance	£5,000,000	Recognise risk in self financing environment
Sales of high value stock	80 per annum	Based on current assumptions regarding detail of legislation and geography under which 'high value' is calculated
Right to buy sales	60per annum	In line with sales forecast

	reducing to 40 per annum over time	
Void rate	0.9%	In line with current position, no significant increase/decrease forecast
Bad debts	1.5%	To allow for changes under welfare reform

In order to manage the HRA with the reduced levels of income as a result of the rent decreases for the next four years and the increased levels of sales forecast, cost savings totalling £1.5m have been identified.

The key financial investment points within the Business Plan are:

- £20 million to spend on new homes for rent and redevelopment of existing stock between 2013-2018
- £40.7 million to be invested in the existing council homes over the next five years
- £35m to be invested in responsive repairs and cyclical maintenance over the next 5 years.

Within the £40.7 million

- 1,400 homes will be modernised at a cost of £11.2m.
- £7.2m will be spent replacing heating systems to 3,250 homes.
- £2.1m will be spent adapting properties to enable elderly and disabled tenants remain in their homes.
- £2m will be spent on a programme renewing decayed water mains in our ownership.

- £2.3m will be spent on a programme of damp remediation.

Investment Challenges

Overview

When considering the delivery of the strategic aims of the Business Plan there are a number of identified key areas that require investment and where relevant key messages from the HRA Strategic Asset Plan have been included.

These key areas cover:

- New build
- Building/asset management
- Landlord services
- Supported housing & Adaptations.
- Resident and community involvement
- Investment in ICT

Each of these key areas is detailed below in the following sections and includes contextual information together with a summary of the key messages, which identify areas for improvement and investment and the subsequent priorities to address this.

New Build

Context

York is a growing city with the number of people living here increasing from 177,100 to 202,400 between 1999 and 2013. Demand for housing across all tenures is high and meeting that

demand remains a challenge.

Levels of home ownership have declined but still represent by far the largest tenure at around 65% of all households. House prices are some of the highest in North Yorkshire and it has been calculated that households need an income of £43,000 to purchase an 'entry level' one bedroom home and £60,000 for a two bedroom home¹. The average house price to income ratio is 8.5 and it is estimated that only 3% of homes are affordable for first time buyers with children and only 1.5% to single person households².

The private rented sector comprises around 20% of the housing stock. Rents are high and have risen by 26% between 2002 and 2012³; an increase not mirrored by the rise in earnings over the same period. Access to the private rented sector by low income households is restricted by local housing allowance rates being capped at the 30th percentile of rents (meaning that less than one in three homes in this sector are affordable to those households in receipt of housing benefit)

Social housing (both council and housing association) comprises around 15% of the stock. At the end of March 2015 there were 1,508 households registered for social housing in York. From a stock of approximately 7,800 homes the council average around 600 lettings per year.

An independent analysis of housing need in 2011 concluded that 790 additional affordable homes are needed in York each year for a

¹ Research on the affordability of housing in the Leeds City Region. March 2014. P25

² How much of the housing market is affordable? Analysis of homes of sale. Shelter 2013

³Home Truths 2013/14: Yorkshire and the Humber'. National Housing Federation, April 2014.

period of five years in order to address the backlog of demand and newly arising need. Over the past five years an average of 148 affordable homes have been built each year representing 35% of all new housing completions over the same period, but nevertheless demonstrating the scale of the challenge.

The strong housing market in York also presents opportunities for the council to invest in new build homes confident in the knowledge that demand for these homes will be strong across all tenures.

Building New Council Housing

Against the backdrop of an acute need for more affordable homes, in 2012 the council built its first new council houses for over 20 years. Building on the success of the Archer Close development of 19 new council houses in Clifton, the HRA investment and regeneration fund combined with right-to-buy receipts, Homes and Communities Agency funding and the use of affordable housing commuted sums has enabled a new build programme of council housing to be established.

The initial focus has been on bringing forward vacant sites within the ownership of the HRA but longer term, subject to the business case being robust, we will also consider the remodelling and in some cases demolition of existing stock to create new homes that better meet the needs of residents and optimise the use of the land in HRA ownership.

Additionally in partnership with colleagues in Corporate and Property Management we will consider alternative delivery models for new housing that can expand the housing stock across all tenures.

A continued programme of building new council homes is

dependent on the business case remaining robust. The impact of the Government's policy changes with regard to the sale of 'high value' stock and four rent reductions need to be modelled as the details of these policies becomes clearer. Only then will an informed decision on whether to continue investing in additional new council housing be possible.

Identifying sites

A strong combined HRA Strategic Asset Plan & Corporate Asset Management Plan will ensure we make the right decisions on investing in capital funding for new homes.

In 2012 an initial assessment of the development potential of 179 sites in the HRA was undertaken to identify 'quick win' opportunities for new development. Further viability and feasibility testing proposed six deliverable sites for a first phase of new council house building delivering 71 new homes.

- Beckfield Lane (18 council homes, 9 homes for open market sale)
- Hewley Avenue (8 homes,)
- Fenwick Street (8 homes)
- Pottery Lane (6 homes)
- Newbury Avenue (9 homes pending further community consultation)
- Challoners Road (8 homes)
- Lindsey Avenue (14 homes – off the shelf purchase from a developer)

The homes at Beckfield lane completed in May 2015 and the Hewley Avenue and Lindsey Avenue developments will complete in January 2016 with the remaining developments also completing later in 2016. These homes have been funded through £6m of

HRA revenue, £1m of affordable housing commuted sums and £403k Homes and Communities Agency grant.

In addition to the new council housing, the council are demolishing and replacing an ageing homeless hostel that is no longer fit for purpose and extending Glen Lodge Extra Care scheme. The new homeless accommodation scheme will provide a mix of 39 new 1, 2 and 3 bed units and 18 new council homes for rent and will complete in early 2017. The extension of Glen Lodge will provide 25 new 1 bed apartments and 2 new bungalows and will complete in Spring 2017

There are now very few vacant and developable sites within the HRA with the capacity to build more than one or two homes. Small infill sites such as these do not provide the economy of scale necessary for a cost effective development programme and therefore if the business case for continuing a new build programme remains a more strategic approach is required. This includes option appraisals for the remodelling and demolition of existing HRA stock where this is of relatively poor quality or design, unpopular, or 'land hungry' and would thus enable a better quality, more sustainable and sometimes net increase in homes to be re-provided. An assessment of this stock will be undertaken on an ongoing basis as part of a Strategic Asset Plan with the first proposals expected to be considered in 2015/16.

Any decisions regarding investment in either new build or remodelling will be reported through the Corporate Asset Management Board to ensure opportunities for joint investment and land swaps are maximized, thereby ensuring effective corporate use of all our combined assets.

Identifying funding and ensuring value for

money

The flexibilities as a result of the HRA Self Financing regime and the resulting investment/regeneration fund, alongside opportunities to borrow against future rental streams was anticipated to generate sufficient headroom for a long term investment in the acquisition or building of new homes. However with the legislative changes introduced by the government (and particularly rent reductions and the sale of high value stock) only the current investment programme of £20m can be guaranteed at present.

As a Registered Provider with the Homes and Communities Agency the council can bid for Affordable Housing Grant. Although the level of grant has reduced drastically in recent years – from around £55,000k to a current level of around £22,000 per home it can still represent a helpful contribution to capital costs. At the Beckfield Lane housing development £403,000 of HCA grant funding has been utilised. Restrictions on the HCA grant funding mean that it cannot be used in conjunction with right-to-buy receipts. These receipts need to be used within three years or returned to government and so will be prioritised ahead of any bids for HCA grant funding.

Consideration is also given to the different delivery mechanisms for new council housing to ensure value for money from the HRA investment fund. This is constantly kept under review and covers three core elements; the speed of delivery, the build costs and the design standards of the homes. Current considerations include:

- Building new homes with no grant funding
- Building new homes with, where available, grant funding
- The use of affordable housing commuted sums to develop new homes

- Options for innovative investment of HRA and/or commuted sums on land purchases to facilitate mixed tenure developments that will maximise affordable housing delivery and provide a return on capital investment made through equity stakes or commercial loans.
- Purchasing homes on the open market
- Taking homes through planning gain on private developments
- The potential for wider partnerships and delivery vehicles.
- Reviewing the environmental and space standards of new homes.
- Considering modular or 'off site' construction where this is more cost effective and/or offers faster delivery than traditional build.

Agreeing how new build development will be procured

The first phase of new council house building is being led 'in house' by the housing development team, replicating the delivery model of Archer Close. A New Build Project Manager was appointed to lead the on site construction. The Housing Development Managers' focus is on future supply, securing planning permissions, and sourcing sites.

The procurement mechanisms will be regularly reviewed throughout the development programme to ensure that the most appropriate and cost effective models are applied.

Summary of Key Messages

The funding regime for social housing has changed radically and the HRA investment assumptions reflect this. However the full impact of the

forthcoming policy changes are not yet known and the Business Plan will need to be reviewed as this becomes clearer in order to establish whether continuation of a new build programme remains viable

There is a high and enduring demand for the existing social housing stock and a need to increase provision of affordable housing

Regular reviews of procurement model for new build council housing will be undertaken.

There is an impetus to explore and support new forms of delivery of affordable housing including outside of the HRA.

A review of the dispersed and high value stock owned by housing will be undertaken and where appropriate recommendations for its retention, conversion or disposal will be made.

Priorities

Consider options to continue with a programme for bringing forward the delivery of more affordable housing

Agree a policy on the use of affordable housing capital receipts received from right to buy sales and commuted sums

Establish preferred methods for funding on a scheme by scheme basis

Continue to review available procurement options for the delivery of homes

Bring forward proposals on further council sites that necessitate wider re-modelling of stock/selective demolition etc. as part of the HRA Strategic Asset Plan

Repairs and Maintenance / Stock Investment

The Council's housing stock is well maintained and in

December 2010 the Council compliance with the Government's Decent Homes target was met. Each year a structured programme of maintenance and improvement is carried out following a review of investment priorities. Factors taken into account when setting investment programmes include:

- Priorities in the Strategic Asset Plan for housing.
- Stock condition data – including dwellings that are at risk of failing under the decent homes standard.
- Components reaching the end or their useful life.
- Energy efficiency performance.
- Statutory requirements (eg asbestos, fire, electrical and gas regulations).
- Trends in reactive repairs.
- Redundant or obsolete stock.
- Particular initiatives such as programmes of loft conversions.

A snapshot of the service shows that:

- In 2014/15 we carried out 33,056 responsive repairs.
- The average unit cost of repairs to void properties is £2,500.
- A programme to replace single glazing with double glazing across the whole housing stock will be completed in 2015/16.
- On 31st March 2015, there were 7 dwellings considered to be non-decent compared with 114 in January 2014⁴.
- The average energy SAP rating of the housing stock is 74.
- There are 610 homes of non-traditional construction in the housing stock

⁴ Dwellings fall out of decency on a rolling basis and are improved within the financial year that they become non-decent

- Over the next 5 years we will invest £4.7m in improving our stock

Strategic Asset Management

An asset management database is used to hold information on the key components that make up any asset and to guide and influence future investment priorities. Assets consist of all property types and also include communal and external areas.

Stock condition surveys are used to establish the remaining life of key components. As works are completed, components are re-lifed within the database to reflect this fact.

A mobile application for collecting and importing data is to be introduced in late 2015. Alongside this all assets will be spatially referenced for mapping purposes GIS (Geographic Information Systems).

The demographic profile of tenants in the council stock is changing with an increasing proportion of older people and tenants with support needs. The further loss of stock through the Right to Buy and government proposals for councils to sell off “high value” stock means that the service needs to think creatively around the optimum use of its asset base.

A Strategic Asset Plan has been developed that not only considers maintenance costs, the remaining life of key components and structural issues, but will also cross reference these with the demand for particular types of homes and locations. This comprehensive asset plan will then inform investment decisions including whether regeneration of existing estates could bring forward redevelopment opportunities to create more sustainable housing.

Future proofing the housing stock

A Strategic Asset Plan is essential in determining the investment priorities for the overall stock, but there are also internal modifications to existing homes that could help future proof them for the changing profile of tenants and potentially also save the council money by alleviating some pressures on social care and adaptations funding.

Customer Service

The repairs service is regularly described by our customers as one of the most important services they receive from their landlord, Carrying out over 33,000 individual repairs in 2014/15 with a minimum of two customer contacts per repair (report and repair) makes this the biggest customer contact function of the service and as such one of the biggest areas of service delivery to influence customer satisfaction.

The Building Services team has reviewed all of its operations and, along with the rest of landlord services achieved Customer Service Excellence in 2014

Procurement

The repairs and maintenance service regularly procures contracts for reactive and voids maintenance, cyclical maintenance and planned investment programmes. It is essential that best value is obtained from these contracts whilst also seeking wherever possible to support the local economy by appointing local

contractors. We have procured a contract with Jewson –with the University of York as a partner too - for the supply of construction related materials to the council's Hazel Court depot at a value of £1.5m per year. We have also contracted with Leeds based Help-link for the installation of replacement domestic heating systems.

A procurement arrangement with Efficiency North is giving the council access to a framework of suppliers across a wide range of housing works including kitchen and bathroom installation, heating and ventilation, electrical installation, brickwork and masonry, roofing, painting, adaptations, solar photovoltaic installations and whole house improvement works. The framework is instrumental in helping to boost employment opportunities throughout York. Training delivery is written into the contract, with 1 full time training opportunity to be provided by the contractor for every £500k works value. As a result of this we are able to employ 2 apprentices.

A 5 Year Procurement Plan is being developed in partnership with the Commercial Procurement Team that will both identify our priorities as well as result in cost-effective long term procurements.

IT Infrastructure

The housing service relies on a variety of IT systems to manage voids, reactive repairs and cyclical maintenance. These systems have been upgraded to improve their functionality although there is still no direct link to new council-wide programmes

The Servitor and DRS (formerly Opti-time) systems that manage the reactive repairs and void property process have both been upgraded and re-designed. These improvements are already starting to enable the service to provide better customer service, improve efficiencies and allow us to effectively

analyse work content to map programmes of work in the most efficient way.

In addition the council has introduced the new corporate mobile work platform (Total Mobile) for front line staff that integrates with the Works Management Systems. This is already showing improved productivity by eliminating administrative inefficiencies. The next phase is to introduce the solution to the domestic heating section of the platform. The service is also working on a joint IT development plan with housing landlord colleagues to develop a self service system that will enable tenants to order some repairs online.

Energy Efficiency

From our position as a landlord owning almost 8,000 homes, we continue to roll out a phased program of improvements to our stock. Our average Energy Efficiency Rating (SAP Rating) is 74; significantly better than the social housing average of 70.5.

Funding has been included within the current 5 year investment programme for energy efficiency works. We are also working with Better Homes (York) to identify opportunities to increase the energy efficiency of the housing stock as well as leveraging in external funding. We have already identified 'off gas' and 'hard to treat' properties as potential areas for improvement and have commissioned a gas conversion for Winterscale Court which is undergoing Tenants Choice in 15/16

Completed work that has contributed to improving energy efficiency includes:

- Fitting 'A' rated condensing boilers as standard. Over 400

were fitted in the past two years and a further 450 will be fitted in 2015/16.

- Fitting thermostatic radiator valves and improved central heating controls.
- Installing air source heat pumps to 21 'off gas' properties since 2010.
- Installing insulation to over 1,650 lofts and cavity wall insulation to over 1,800 homes.
- Conversion from single to double glazed windows to the entire stock by 2015/16.
- Installing Low energy light fittings to communal entrances, staircases and external lighting.

Health and Safety management – building maintenance

It is the policy of the Building Maintenance service to adopt the management of health and safety as integral to the improvement of business performance and define, document and endorse its commitment to:

- Implementation of a safety management system based upon current work activities, the identification of hazards and the assessment of associated risks
- Provision of places of work and vehicles which are safe and without risk to the health and welfare of all its employees, independent contractors and the general public, so far as it is reasonably practicable
- Providing appropriate information, instruction and programmed training and education

- Consulting with employees to determine what measures should be taken to increase awareness of health and safety.
- Setting and publishing health and safety objectives
- Providing adequate and appropriate resources to implement this policy
- Making regular reviews of this policy and institute improvements where possible
- Introducing an integrated approach to health, safety and the environment

Asbestos and Fire Management

Working across Housing and Corporate teams, we are currently reviewing the Asbestos Management Plan together with our operational procedures to ensure we have a clear plan for managing this particular health hazard

As part of our new 4 year Framework contract for Asbestos Surveys/Air Monitoring, we required the supplier to host an e-Asbestos Register. The new register will allow all stakeholders 'open' access to detailed information wherever an asbestos survey has taken place and alert them to the presence of asbestos and where it is located.

Additionally, to ensure compliance with Regulation 4 of the Control of Asbestos Regulations 2012, re-surveys of approximately 590 communal blocks are substantially complete. This will be followed by representative internal surveys across the 52 housing archetypes. All this information will allow us to plan our removal strategy based on contemporary information.

A new 4 year Asbestos Removal contract has also been recently

awarded.

Another key area of compliance is fire management. Over the last 12 months we have developed a Fire Action Plan which has highlighted key areas requiring attention. This has resulted in a current programme of work to the 11 Sheltered sites which includes upgrading of fire compartmentalisation together with renewal of fire detection systems. This will meet the 'stay put' policy of the North Yorkshire Fire and Rescue Service.

Fire Risk Assessments are reviewed on a rolling basis and budgets are included in CRAM bids to allow for any remedial works arising to be carried out. To ensure consistency and clarity, the responsibility for undertaking FRA's at Sheltered sites and Hostels has now become part of the teams' work going forward.

Fire awareness of staff is a key to reducing the likelihood of or consequences arising from fire, and we are working with corporate H&S team to develop a training course for delivery in 2015 for all staff who visit sites.

Summary of Key Messages

We already have robust asset management data on the condition of our stock and we recognise that we now need to overlay this with data on the demand and turnover of homes, plus land holding to provide a fully comprehensive strategic asset plan

The introduction of new IT systems has improved the efficiency of the service but further investment is needed across all housing services to enable integrated and efficient customer service

The housing stock overall is energy efficient, however properties

that are difficult to treat and off gas' still require attention.

The service remains focused on legal compliance on health and safety including asbestos, fire and gas.

We need to look at ways of 'future-proofing' the housing stock in recognition of the changing demographic profile of our tenants and the likelihood of a continuation of a reduced housing stock due to Right to Buy sales. investment to improve these facilities are carried out at the correct time

Priorities

Key programmes of work over the next five years include:

Completion of a HRA Strategic Asset Plan in 2015

Building services appraising different delivery models under 'housing' and the commercial opportunities this could bring

Completion of stock condition surveys of all communal areas both to sheltered housing and flats. to improve the communal living environment and also ensuring that investment to improve these facilities are carried out at the correct time

A review of ways in which homes can be modified (such as lever taps and the height of sockets and switches) to make them easier to manage for tenants and in the longer term reduce pressures on social care and adaptations budgets.

Continuation of the Tenants' Choice programme of modernisation and improvement to the housing stock

Painting and improvements to communal areas in flats

Renewal of the water supply pipes to circa 1500 dwellings

Eradication of major structural damp to several hundred properties across the city.

Continuation of the programme of adaptations to enable tenants to remain living in their home.

Resolving structural problems with the prefabricated bathroom 'pods' to 56 flats at Bell Farm and Tuke Avenue.

Maximising the funding and delivery opportunities presented by the partnership with Better Homes (York)

Focusing on further improving the experience of customers in respect of the maintenance of their homes. This includes ease of access to clear, understandable information and to the service they receive at their home.

Landlord Services

The landlord function of the Housing Service is responsible for the management of our housing stock and for the community involvement which make our estates vibrant places to live and work. Key functions within this are: income and tenancy management of over 7,800 homes, letting of properties, right-to-buy administration, services to almost 500 leaseholders, resident involvement and management of low-level tenant anti-social behaviour

The service also manages 207⁵ tenancies on behalf of Fabrick Housing Association and received an income of £130,000 in 2013/14 and £132,000 is expected in 2014/15.

⁵ As at 26 May 2015

Category	Stock numbers 1/4/15
Total HRA stock (units) of which:	7796
• General Housing	7351
• Sheltered Housing	225
• Sheltered Housing with Extra Care	142
• Temp Housing	39
• Temp Housing (Hostels)	39

Landlord services work closely with colleagues and partners in housing options, homelessness, the city-wide community safety hub, housing standards/adaptations, supported housing and the Housing development team to deliver a comprehensive, joined-up service for tenants at all stages of their tenancy.

National government initiatives and proposed policy changes will present challenges and opportunities for the service in the coming years. A proposed 1% reduction in rents for the next four years from April 2016 will have a very significant impact on the income for the housing service. Similarly proposals for the sale of high value council housing could lead to the loss of hundreds of homes and the introduction of 'pay to stay' for higher income tenants could be both a challenge and costly to implement. Continuation of the spare room subsidy ('bedroom tax') and the rolling out of universal credit to all claimants by 2017 will continue to place pressures on the landlord service as well as those tenants directly affected by the measures.

The government have also included in the Housing and Planning Bill the compulsory introduction of fixed term tenancies. A review of the council's Tenancy Strategy and Tenancy Agreement will be completed in early 2016 and include analysis of this proposal.

These policy changes must also be placed in the wider context of demographic changes of an ageing population and also of an increasing 'residualisation' of the housing stock whereby only those households with the highest housing needs and who, by definition, are often those also with the highest level of support needs can be housed. Financial pressures on support and resettlement services are leading to less assistance for vulnerable tenants and a greater risk of tenancy failures that have to be managed by the landlord service.

Housing Management Function

In 2012 we reviewed our management arrangements and developed 3 estate management teams. Each team has tenancy management and income management lead staff and in recognition of the challenges that welfare reforms bring additional posts were created to provide money and employment advice within a developing advice hub across York. The area teams are managed by a single team leader who has the responsibility to ensure that the service that is provided is generic and seamless. Each of the team leaders has a portfolio and is expected to lead in developing one of these service areas

- Income Management and welfare reform
- Anti social Behaviour and tenancy management
- Community Development and localising the service

In addition the Housing Landlord Service Manager holds the portfolio for developing the infrastructure to deliver the service in a rapidly changing and challenging environment.

Partly in response to the radical changes being brought about through new government policies, but also in recognition of the often complex needs of it's customers, the housing service is

proposing an radical new way of working.

Proposals are being worked up that will see the frontline housing service become a focused single point of contact for households and a service that is the conduit for addressing the full range of needs of its customers at a household and neighbourhood level. The proposals would see staff working on smaller patches but with a broader responsibility than simply tenancy management. Instead they would be a first point of contact for almost all aspects of household management and with the capacity to work intensively with whole family units to identify and meet their needs directly where possible and advising, signposting and interacting with other services where referral is needed.

There will also be a renewed and re-focused community engagement and development with resources prioritised on those areas – perhaps single streets that need more intensive management and community development.

This new approach will recognise that customers of the housing service often have complex needs that are not always picked up as quickly as they could be. The emphasis will be on more contact with customers in their homes and a proactive, tailored and holistic service to them, dovetailing with and complementing council based and other services for the benefit of tenants and communities.

Firm proposals following consultation with staff, tenants and other stakeholders will be brought forward in 2016/17

Against a backdrop of demographic and policy challenges and ahead of the proposed changes to the way the housing service is delivered, it is imperative that strong performance which minimises costs and maximises income and efficiency is

maintained. A snapshot of performance data for 2015/16 includes:

- 523 council tenant households are currently affected by the spare room subsidy 'bedroom tax'⁶ This is a reduction from 586 the previous year and has been achieved by a combination of downsizing opportunities including funding to assist with removal and other costs, promoting mutual exchanges between tenants and introducing policies to prevent tenants being allocated or permitted to move into a home with more bedrooms than they require (unless downsizing from an even larger home).
- 11 tenants affected by the benefits cap as at 5th June 2015. This is set to increase when the cap is further reduced to £20,000 in 2016; the exact numbers won't be known until the Department of Works and Pensions advise local authorities just prior to the rollout of the programme.
- Approximately 1000 tenants are under-occupyingth their homes and of these, 160 are actively seeking a move –The housing waiting list at 1st April 2015 showed 665 households where the number of bedrooms required are less than their current home.
- 260 households are known to be overcrowded.
- Garage vacancy levels have remained stable at 21%
- Tenancy turnover was 7.99% in 2014/15; a very small increase on the 7.83% the previous year.
- Total rent loss through voids is 0.75% - an increase from 0.69%. This being addressed though a review of the voids process and service.
- Rent arrears at 5th April 2015 were £529k representing 1.61% of the rent debit. This is an increase from £422k and 1.31%.
- Former tenant arrears at 5th April 2015 were £320k.

⁶ As at 29 May 2015

Income Management

A consistent reduction in current tenant rent arrears over the past five years was reversed last year. Arrears increased due to a combination of factors; the cumulative impact of welfare reform, tougher discretionary housing benefit payments a change of an arrears IT system that necessitated staff training and a new pre-court protocol that requires more exhaustive procedures to be followed before cases can be taken to court.

In response to this, as well as maintaining a pro-active/early intervention approach working with key partners in housing benefit, CAB, Keyhouse and York Learning, systems have also been put in place that improve the way in which rent accounts are monitored to ensure early and timely intervention if these go into arrears.

The biggest change arising from the welfare reforms will be the payment of the housing element of universal credit being paid directly to claimants. This has the potential to significantly undermine the very stable nature of the landlord income base and impact adversely on our financial stability. Processes and policies to manage direct payments and the impact have been put in place since February 2015 together with an overarching 'local support framework' for the department around welfare reform.

The challenges that welfare reform bring require an increased focus on early intervention and a more holistic approach in assisting tenants in their financial management. Staff are actively promoting opportunities around digital inclusion, training and employment through advice and support in this area. They work with staff across the council and with partners to develop initiatives and raise awareness. Promoting these is an integral part of the work to enable customers to thrive and prosper in a financially challenging

environment, tapping in to the considerable advantages available when accessing on line services.

To assist in making best use of stock and to help those affected by the bedroom tax the landlord service approved a downsizing incentive scheme. This includes funding to assist with removal and other costs, increased priority for tenants wishing to transfer to smaller homes, and 'swop shop' events that provide advice and assistance to tenants interested in downsizing. This can be through transfers and, increasingly through mutual exchanges. Additionally, the new council housing development of 9 apartments at Peloton House (Beckfield Lane) was all prioritised for households downsizing from council houses.

Anti-social Behaviour

The housing management team is supported by a specialist team based within the Community Safety Unit, along with a community mediation service. The use of Restorative Practice, a victim base approach to dealing with the consequences of crime and ASB is to be introduced.

There has been an increase in the complexity of cases, particularly from people suffering from mental health and dual diagnosis issues. The Community Safety Unit has a specific post that focuses on resolving these complex cases. It is also acknowledged that there is currently a shortfall in specialist and supported accommodation to meet the needs of these groups.

The Anti-social Behaviour, Crime and Policing Act, 2014 come into force in October 2014. The purpose of the act is to simplify the tools and powers that organisations have, and the main changes are the abolition of Anti-social behaviour orders and Criminal anti-

social behaviour order, which will be replaced by Criminal Behaviour Orders and the Injunction to Prevent Nuisance or Annoyance. Other changes include bringing together some of the environmental legislation into a single Community Protection Notice, and the merging of some of the public order legislation including the Designated Public Place Orders into a Public Spaces Protection Order.

Community Development

Local Estate Action Plans are being developed based on evidenced priorities identified from various sources of information and statistical data. The action plans will help customers and staff monitor the progress made towards delivering on the identified priorities over time. The action plans will be used by Housing and residents to influence ward based action plans and committees which are being developed with residents and set out the key local priorities for the year ahead at ward level. The housing estate managers will work be key partners on the delivery of the local action plans.

In 2012, the housing service restructured to deliver efficiencies, embed equalities and better meet the needs of customers. We have adopted a neighbourhood style of working, with housing estate managers based in the communities they serve. In addition to the existing Tang Hall advice hub two new local hubs have been developed in Lindsey Avenue (Acomb) Clifton; the latter being attached to a sheltered scheme. These bring together advice agencies to offer housing, money and general advice, employment and training opportunities, in addition to providing a venue for local interest groups and residents. In addition we continue to provide drop in advice sessions at venues across the city alongside other advice and support services.

We will develop our approach to work with schools and educational establishments to provide advice and support for pupils and parents who may be customers of housing and homeless services in the future.

The Letting & Allocation of Homes

The allocation of homes is delivered via the North Yorkshire HomeChoice sub-regional choice based lettings scheme. The system has created greater transparency for customers but has not been successful in reducing the levels of administration. There continues to be a large number of applicants on the housing register who are placed in bronze band with no housing need and realistically unlikely to be offered a home due to the shortage of available properties. A review of the allocations policy is being undertaken and will report in 2016 with recommendations.

The “lettable standard” is a measure by which the service ensures the consistent quality of properties for letting. Properties must be clean and of a habitable standard before new tenants move in and the standard provides an element of quality control. The standard has incorporated recommendations from Service Inspectors including the requirement for a designated officer to sign off properties post-repair to ensure they meet the standard and a requirement that hot water is available during the void period to allow properties to be cleaned thoroughly.

The purpose of this standard is to ensure the consistent quality of properties offered for letting by CYC.

Customer Services

Our approach to customer services will be based on customer preference when making contact. We will enable and promote

self-service options and communication media (email, text, social media) whilst retaining and developing more traditional methods of communication for those customers who need and prefer this. The Customer Service Advisor team will develop to form the core phone and reception contact for all customers of Housing Services and contribute and compliment the councils contact centre. The achievement of Customer Service Excellence in September 2014 is one indicator of this positive focus on communicating with customers.

Getting it right first time – Housing Services will ensure that services are delivered in the way that customers want, when they want it by ensuring that staff are supported through training, ICT support, effective management and comprehensive policies and procedures

A comprehensive training plan to ensure that staff deliver services in a customer focused, knowledgeable and efficient way will be developed in 2013/14 as part of the Workforce Development Strategy. This will be refreshed annually to include any new requirements for the department, individual staff and customers.

The award of Customer Service Excellence in 2014 is a standard that the service wants to maintain. Annual assessment of those areas that were identified for improvement in the original assessment are being prioritised. They include improvements in publishing performance data, how we consult with customers and comparing the performance of the service with other social housing providers and the private sector. Most importantly, when the housing service is re-assessed in January 2016 it will be as part of the wider CANS Directorate assessment for Customer Service Excellence.

Housing Services will develop its approach to collecting and utilising customer information to ensure that services meet the

individual needs of its customers. Routine contact and a structured Customer Care visit scheme will be developed to provide more effective outcomes for customers and the service in terms of service provision and identifying and addressing safeguarding, support or enforcement issues. This will compliment the priorities of the council's customer strategy 2012-15:

- Improve ways and choices of ways customers can access services.
- Provide a service in courteous, responsive and timely ways
- Working jointly with our customers and other providers of services
- Continually assess the quality of our service to make sure they can remain accessible, efficient and inclusive.
- Make it easier for our customers and communities to do things for themselves

Right to Buy (RTB)

Historically RTB has been high with over 6000 homes sold within the city since its introduction. The last three years have seen a significant increase in sales coinciding with an increase in the maximum discount (currently £77,900) and reduced qualifying period for eligibility. The business plan settlement model had assumed RTB sales between 20 and 28 per year but this has now been increased to 40-50 sales per annum.

RTB applications and sales:

Year	Applications	Sales
11/12	20	6
12/13	88	23

13/14	77	53
14/15	98	52

Making best use of stock

In light of the issues of overcrowding and the limited number of large family homes £1m was allocated for loft conversions in 2013-15. A total of 27 conversions were completed.

Demand for social housing in the city is high and this means most homes can be re-let easily. Nevertheless, there are properties where remodelling/demolition will improve the quality and in some case quantity of homes. A new Asset Strategy will be published in 2015/16 that addresses these opportunities to maximise the best and most sustainable use of the stock.

Within the council stock there are also one-off high value properties and a review is being undertaken as part of the Asset Strategy to determine whether we retain or sell these properties using the capital to reinvest in more suitable accommodation. Government proposals for council's to be required to sell a proportion of 'high value' stock that become vacant is giving an added urgency to this review. Although the detail of government proposals is not yet clear there is a suggestion that the receipts from the sale of these homes may not be retained by councils.

Summary of Key Messages

Welfare reform changes will impact upon the council's ability to raise and collect rental income and could lead to increased arrears

Welfare reform will add additional pressures on household incomes and living arrangements that will affect tenants' health and wellbeing

We need to explore more ways of maximising income, tackling digital exclusion and assisting customers into employment or training

The introduction of Universal Credit means that the direct link between tenants housing related benefits and the administration of these by the council will be severed.

General needs accommodation is not always the most suitable accommodation for vulnerable groups including those with complex needs

Development of localised services is key to the effective delivery of the housing management function

The refreshed Ward Committee structures will drive priorities within local areas

Demand for affordable homes in York remains high but the current way of letting homes does not provide a product of a consistent quality for customers

Addressing overcrowding and under occupation is an essential component of making the best use of the council housing stock.

Priorities

Over next 18 months redefine ways in which we support our customers through a new model of 'landlord plus'

Continue to review rent arrears policies and procedures to ensure that rent is paid and households are supported to sustain their homes. Changes will include the move to 52 week rent cycle

Continue to provide support to those most likely to be affected by welfare reforms to minimise negative impacts on households.

Encourage under occupiers to take advantage of downsizing incentives to help free up the availability of larger homes

Better understand the needs of our customers through detailed customer profiling to inform the development and improvement of

Supported Housing

Supported housing is defined as housing which is designated for a specific group (such as older people, people with learning disabilities etc.) and in which there is some level of support provided as part of the accommodation offer usually funded through a service charge to residents.

A supported housing strategy has been developed to address the supported housing needs of the City, and to prioritise resources appropriately⁷. The strategy has an overarching vision to increase and maintain independence by ensuring the right supported housing options are available at the right time and the right place for those that need them.

The needs of seven groups were examined in the strategy:

- older people
- those with mental ill-health
- those with learning disabilities
- young people,
- ex-offenders,
- homeless people and
- those at risk of substance misuse (drugs and alcohol).

The key priorities and actions identified through the strategy can be found in the action plan.

Housing Services play an important role in supporting the delivery of the Supported Housing Strategy priorities. This includes:

- Owning and managing seven sheltered housing schemes

⁷ York Supported Housing Strategy 2014-2019

services

Develop targeted housing advice to meet the needs of different groups, such as younger households, older households and those with specialised needs

Continue business preparation for the introduction of universal credit and the 4 weekly payment cycle that will be introduced

Address financial exclusion by work in partnership with high street banks and credit unions to provide basic bank accounts and encourage use of direct debit payments

Continue financial management training for tenants and staff to improve household budgeting

Explore options for developing specialised accommodation for customers with mental health

Maintain and review local advice services offering a range of advice and information

Deliver Local Estate and Ward action plans to improve the delivery of services at the local level

Complete a review of the choice based lettings framework to improve overall efficiency and outcomes for all customers

Continue to monitor the new lettable standard in terms of performance and cost

Remodel or redevelop obsolete or less sustainable housing stock to maximise the supply of decent affordable homes.

Review the stock of high value homes and consider options for disposal and re-investment in new housing supply

Maintain the single training plan for the whole service

Continue to support the development of the Community Safety Unit.

Refresh the Tenancy Agreement by April 2016

and a further four sheltered housing with extra care schemes.

- Temporary accommodation for statutory homeless households at Ordnance Lane (31 units) Holgate Road (8 units) and Crombie House (7 units)
- Management (but not ownership) of the Peasholme homeless hostel

Additionally there were 84 tenants referred for support to live independently in general needs council housing in 2014/15. . Most commonly this is with floating support provided by external organisations.

Older People

Approximately 30% of York's population is aged 55 or over. A review of the provision of accommodation with care for older people is taking place across the city and is expected to include the phased closure of the council's seven remaining older people's homes by the end of 2018. The needs of tenants in those schemes (plus newly arising need) will instead be met in several ways:

- through a programme of making better use of existing sheltered housing with extra care accommodation owned by the council so that these schemes can accommodate residents with complex needs including dementia. This will include increasing the size of the Glen Lodge extra care scheme through a new extension of 25 one bedroom apartments and two bungalows.
- Through a new build integrated care facility proposed on the former Burnholme School site for residents with care needs including those with complex needs and dementia.
- By the proposed development of an extra-care hub on the site of the current Oak Haven sheltered housing scheme in

Acomb

- By incorporating new build housing opportunities for older people in the council's house building programme.
- Through provision of additional independent sector care beds.

Alongside these strategic proposals it is essential that the current older people's accommodation remains safe and welcoming until such time as it is de-commissioned and that the decanting of tenants is carried out in a sensitive and timely manner. A programme of structural works has been undertaken across the sheltered housing stock to ensure they remain safe environments for our tenants. Work undertaken has included that necessary for continued compliance with fire regulations and also improving access to the buildings for those with restricted mobility. Work has also been ongoing over the last 12 months to make use of more efficient lighting in communal areas, in order to increase energy efficiency.

Internet access is an increasing expectation in older people's accommodation and was installed in the communal lounge areas of all sheltered and extra care schemes in 2014.

Looking forward, the warden call system that links sheltered housing schemes to warden support will need to be updated from the current 'hard wired' system to one that uses the latest changes and opportunities brought by wireless technology. Work to identify the most cost effective way to achieve this has started and is forecast to be procured by 2020.

The model of provision in the 4 Sheltered with Extra Care Schemes is being reviewed in order to ensure that it is sustainable and appropriate to meet current and future needs. This review is running alongside the modernisation of the Older Person's Homes,

and the recommendations will be made in recognition of the changed model of support that will be available in future.

Mental Health

The main priority identified through Supported Housing Strategy consultation was for supported accommodation for people with mental health issues, along with complex or multiple issues who also have other support needs due to substance misuse or offending. These individuals require intensive and targeted support for the medium term (up to 5 years) that is currently unavailable. This would help prevent re-admission to hospital, and support sustainable resettlement for those who are currently struggling to manage precarious accommodation in homeless accommodation, and unable to engage fully in resettlement work due to their mental ill health.

Housing Services are working with the Health and Wellbeing Board on proposals that would see the HRA funding conversion of an existing property with the Health and Wellbeing Board committing to the revenue costs of the supported accommodation. Progress on this is anticipated in 2016.

Homelessness

The Ordnance Lane homeless hostel of 32 units of accommodation has been in need of replacement for many years. The buildings are no longer fit for purpose from both a management and maintenance perspective. In 2014 the council approved a budget to replace the current hostel with a new build development of 39 units of accommodation. The increase in units is because 7 homeless units at Crombie House in Acomb will also close and be amalgamated into Ordnance Lane.

The proposed redevelopment - subject to final costing and planning consent – is forecast to be completed in early 2017.

Summary of Key Messages

Some temporary accommodation is not fit for purpose

There remains a need for ongoing planned maintenance of current sheltered housing schemes.

There is a need to explore the conversion or alternative use of sheltered housing schemes if and when these close as part of the strategic review of older people's housing.

There is a need for more supported accommodation for people with mental health problems who have complex needs.

There is a pressing need to replace the existing Ordnance Lane homeless hostel.

Priorities

Draw up plans for new supported housing provision by looking at options on existing sites such as Ordnance Lane and include detailed funding options

Ensure the supported housing strategy is used to help plan for future developments.

Bring forward proposals for the conversion of some of the councils existing general needs stock into medium term supported accommodation for people with mental health problems to address the shortfall in provision for this client group

Adaptations

Local authority social housing providers are expected to meet the cost of any adaptation work required by tenants of their social housing stock. Each year about 400-450 council homes receive some form of adaptation to meet the needs of particular households. The investment requirement ranges from the need for minor adaptations, such as grab-rails and ramps, through more major adaptations such as stair lifts, through floor lifts and assisted bathing facilities, up to the need for major structural changes

If an adapted home becomes empty we aim to match, through our choice based lettings system, these properties to tenants with appropriate needs.

Although every endeavour is made to let adapted properties to tenants who need them, this is not always possible. There is an ongoing need to relocate existing adaptations, renew existing installations and to provide additional installations to meet arising need. The Housing Capital Investment Programme of £400,000 supports this provision

An additional consideration is the increased revenue cost associated with servicing and maintaining specialist equipment that is installed in the housing stock, where again the budgets allocated for this purpose come under increased pressure over time as the number of adaptations increases. There is an acknowledgement that the recording of this information and the subsequent prioritisation of re-lets to households with similar needs could be improved. This will be a priority for the Strategic Asset Plan

The building of new homes to a lifetime standard – especially at Derwenthorpe - has provided new opportunities for disabled people, their carers and in particular for families with disabled children. Using adaptation funding these homes have been specially adapted to meet the needs of the individual disabled person, for example by the installation of a through floor lift in the designated space in the hallway of the lifetime home rather than being installed in a living room. However the design of a lifetime home also means that the disabled person also has the ability to access rooms which traditionally would not normally attract funding e.g. access to siblings bedrooms and access to a kitchen. This benefits not only the disabled person but also their carers and families.

Summary of Key Messages

We no longer hold a waiting list for tenants requesting bathing adaptations such as the installation of a level access shower

Lifetime home standards are enabling adaptations funding to be spent on homes that generally more fully meet the needs of customers

There is scope for making more effective and efficient use of adapted homes when these are available for re-letting

Priorities

We are introducing an ICT system which aims to provide appointments for customers and provide better real time information to ensure that adaptations are being installed efficiently

Governance and Tenant Involvement

Decision making

City of York Council is a unitary authority delivering a wide range of statutory and non statutory services to local residents. Working from its democratic mandate, it plays a key leadership role in the life of the city and is responsible for a wide range of services including housing, planning, education, transport, highways, adult social services, children's services and public health. The council is made up of 47 elected representatives drawn from 21 ward areas.

The council has an executive structure for governance and decision-making. Housing Services is led by the Executive Member for Housing and Safer Neighbourhoods who delivers direct representation at meetings of the Executive and full Council, coupled with regular meetings with the Assistant Director of Housing and Community Safety, and York Residents' Federation. Decisions can be made efficiently and based on personal understanding and direct involvement.

Housing Services is aware of the need to keep pace with the changing requirements of regulators, especially in regard to residents monitoring services. The role of tenants in co-regulation has been embraced by the council, with the introduction of the Housing Service Inspectors and the tenant scrutiny panel

Tenant Involvement

Tenant involvement is critical to the delivery of an effective and efficient housing service.

Working with our customers we have developed a range of involvement activities from which customers choose how they wish to influence services from a wide range of options including:

- York Resident Federation and 14 Resident Associations
- Tenant Scrutiny Panel
- Service Inspectors
- Leaseholder Panel
- A range of satisfaction surveys, focus groups and drop-in sessions

The long-standing York Residents' Federation is the umbrella group for York's Residents' Associations. With a formal structure, access to senior staff and the executive portfolio holder as a standing member, the Federation's voice influences our policies, priorities and performance

Residents' Associations provide a tight focus on communities and localities. With access to an annual estate improvement budget of £170,000, each Association leads on consultation to determine how local tenants feel their funds should be spent to improve their areas. The current process will be reviewed in consultation with customers in 2015/16 with the aim of delivering identified priorities through the ward team and locally.

The Tenant Scrutiny Panel check and challenge policies and performance. During their first year they reviewed the local service standards originally agreed with customers in April 2011 and input into the service planning process. Since then they have influenced improvements to the Garden Assistance Scheme, regularly monitor performance data and produce the Annual Tenant and Leaseholder

Annual Report. They are committed to ensuring our resources are focused on achieving the improvements that really matter to tenants.

Our established group of Service Inspectors use a wide range of techniques to deliver their challenging, in-depth inspections. They look at services housing provides from a tenants' perspective to highlight changes that will make a difference. Their inspection of our lettable standard brought together staff from several teams to review the whole void process. They monitor the delivery of the new standard and regularly independently inspect properties before they are let. They are now inspecting the delivery of the Tenants Choice programme

A monthly New Tenant Focus Group makes sure tenants' views continue to influence the voids process by contributing to the monitoring of the lettable standard to support continuous improvement.

The newly formed Leasehold Panel and Anti-social behaviour panels are setting their own agendas based on their priorities and are working to make sure their services improve.

Leaseholders are a small customer group with service specific needs and the leaseholder panel provides an opportunity for them to influence the services they receive. Insurance cover was the single biggest concern expressed at their early sessions and by working with them we have provided clarity around the insurance cover provided through their service charge.

The Panel have also overseen the production of several factsheets specific to their circumstances that together form a Leaseholder Manual.

The Anti-social behaviour panel comprises of residents with an interest in this area, often based on personal experience, and directly shape the service provided to all residents. As we move towards a new way of partnership working through the Anti-social Behaviour hub, their continued input will be invaluable.

Summary of Key Messages

Younger people are currently under-represented in shaping and influencing services and appear less interested in attending traditional meetings. All young tenants will be written to over the next year to support the development of appropriate involvement methods.

We must continue to seek broader representation and involvement in decision making to ensure services remain attuned to the needs of our increasingly diverse customer base. We are writing an engagement strategy which will include working towards more representative involvement

The current Estate Improvement Scheme is restrictive and needs to be reviewed. A comprehensive review of estate improvement funding and the schemes is currently underway and will include consultation with customers and York Residents' Federation.

Priorities

We will continue to promote new involvement activities and make use of social media such as Twitter and Facebook to reach a greater range of tenants and particularly target those that have not traditionally been involved to ensure services remain relevant and accessible to them. We are writing an engagement strategy to support this.

We will continue the comprehensive review of estate improvement funding, recognising the introduction of local estate action plans to ensure resources are spent in an integrated way. This is being undertaken in consultation with customers and York Residents' Federation.

Information Systems

Current IT Infrastructure

Housing Services employ a range of systems including commercially procured systems, web based applications and ad hoc databases.

Housing specific systems include:

- Northgate SX3 Integrated Housing Management System – (also used by Revenues and Benefits with an integrated database)
- SAM – Property Database
- Servitor Housing Repairs – Works Management System
- Anite Document Management System – Housing Services
- Abritas Choice Based Letting System
- Flare/APP (also used by Environmental Health and Trading Standards)

The Housing Service relies very heavily on a number of business critical ICT systems, with the Integrated Housing Management Information System (Northgate SX3) being one of the key applications. This system has been upgraded with the existing supplier but still requires extensive development. .

A review of current systems will be carried out to ensure these are fit for purpose, future proofed and deliver value for money.

Housing Services will ensure ICT is an integral part of developing effective data sharing across the department, enabling excellent customer service, and individualised outcomes for customers.

The integration of these systems requires significant resources and infrastructure to allow it to be fully operational and effective. Positive outcomes for the business will include the ability to support service delivery with accurate and comprehensive data, a reduction in waste and duplication and reduction in staff time spent interrogating systems that are not integrated. These benefits will feed through to customers as better informed decisions are taken and staff time is freed up to deliver for customers.

The service has an ambition to increase the number of systems that are 'cloud based'. These will enable managers and staff to make improvements and amendments to them without the need to rely on specialist input from central ICT services thus saving time and money

The development and use of advanced ICT technology and social media will fundamentally change and improve efficiency. It is essential that our tenants and leaseholders benefit from the council wide 'super connected cities' programme that will see York become one of the most digitally connected city in Europe. This will help us take services to customers and communities and allow them to actively participate in service delivery and development in a wide variety of convenient ways.

Development and more effective use of ICT will also help us deliver customer service excellence with on-line packages to deliver staff training, provide universal access to data, records,

procedures and documents as well as providing management information that will allow monitor service delivery in terms of quality and outcomes.

Upgrades to Servitor and Kirona DRS have been implemented and have enabled mobile working to be introduced for the general repairs and domestic heating services. This is crucial to delivering efficiencies and better service to customers. The upgrades are also web based, giving greater flexibility to all Housing field staff to be able to raise and/or view orders in the system

Summary of Key Messages

Significant investment is required to ensure that the existing systems are fully integrated

An overarching review of existing information systems is needed to ensure these are comprehensively supporting the business plan

Current reporting management information tools and ability to utilise customer profiling information are underdeveloped.

Use of mobile working including the 'Total Mobile' working platform are essential to an efficient service delivery.

A need to explore Wi-Fi possibilities on estates for financial inclusion and mobile working as part of the city-wide Super Connected Cities Programme. This will ensure that our customers can benefit fully from digital technology

Self-service options will improve accessibility

Priorities

Undertake an audit and analysis of ICT spending, provision and support for Housing Services within the corporate ICT context

including a full review of all systems and interfaces and the necessary budget requirement to authorise what is needed

Ensure that a value for money and 'right first time' approach is enabled in the delivery of services

Use technology to make services easy to access, high quality and efficient, effectively managed and responsive to the particular needs of individuals and/or customer groups

Develop and promote mobile working solutions and self-service options that genuinely deliver business efficiency and choice of access for customers

Support CYC's Super-Connected Cities Programme, which focuses on digital inclusion for customers. A pilot project is being implemented to greatly increase digital inclusion within areas of deprivation in the city

Rent Arrears, Voids and Rent Setting

Rent Arrears and Bad Debt Provision

Rent arrears in total are a combination of current and former tenant debt, with the latter being more difficult to pursue and recover. A rigorous approach has seen a reduction in both current and former tenant arrears.

However, whilst historically the level of rent arrears has been on a downward trend, and despite a continued and significant focus on income collection we are starting to see the impacts of the financial crisis and welfare reform translate in to difficulties for some tenants to pay their rent and a resultant increase in the level of rent arrears.

A pro-active approach to pursuing current tenant debt is key to keeping former tenant debt, and therefore the cost of rent written off, to a minimum.

The year end position in respect of current and former tenant debt is summarised in the table below.

Financial Year End	Value of Year End Current Arrears	Current Tenant Arrears as a % of Gross Debit	Value of Former Tenant Arrears
31/03/2015	£529,016	1.61%	£441,603
31/03/2014	£421,717	1.31%	£323,955
31/03/2013	£491,835	1.62%	£327,221
31/03/2012	£440,711	1.55%	£395,925

31/03/2011	£439,424	1.63%	£563,118
31/03/2010	£479,905	1.80%	£887,019
31/03/2009	£583,964	2.25%	£831,751

It is imperative that the council take positive action to minimise any increase in rent arrears, thus reducing the financial burden on the HRA that an increase in bad debt will create

The HRA maintains a provision for bad and doubtful debt, with the value of the provision reviewed annually, taking into consideration both the age and value of outstanding debt at the time. In light of the forthcoming welfare reform changes the bad debt assumption has been amended from 0.4% to 1.5%

Investment has been made in additional staff to pro-actively recover rent due by providing advice and assistance into training and employment.

Void Levels

The level of void properties in the housing stock is relatively low compared with other areas in the country. The average number of properties re-let in the last three years is 704, including transfers and non secure tenancies in Ordnance Lane hostel.

The value of rent lost as a direct result of void dwellings in 2014/15 was £248k.

The number of voids unavailable for letting at year end remains low compared with other areas of the country and an assumption of 1.2% voids is currently considered appropriate.

Rent Restructuring

Rent restructuring was introduced in April 2002, with the key aim of converging rents across all social housing providers, whether local authority landlord or other registered provider.

Target rents are calculated using a formula, which considers both property prices and average manual earnings, both weighted for the geographical location of the housing stock. Target rents for York were higher than the levels being charged at the outset of the regime.

New proposals on rent restructuring were issued in November 2013 which ended rent convergence in 2014/15 and thereafter proposed to change annual increases to CPI plus 1% from RPI plus 0.5%. This means the majority of rents in York are not at target rent.

The 2015 Housing and Planning Bill requires all social rents to be decreased by 1% each year from 2016/17 to 2019/20. This change in policy had lead to an estimated loss of income of £1.2m in 2016/17 and a cumulative loss of £12.8m by 2019/20. This has been factored into this revision of the business plan.

Performance Monitoring

Performance Management Framework

Housing's key actions and outcomes are contained within the overarching Service Plan for Housing and Community Safety. The actions and outcomes have been aligned to show how the Housing Service contributes to the priorities set out in the Council Plan.

The actions and outcomes have been identified to address challenges the service faces from government and legislative changes, local priorities, budget and staffing considerations , and to strengthen areas of weak performance. Customer expectations are an essential source in driving improvement.

Customer influence is channelled through a number of sources including the annual Tenant Satisfaction survey, service specific customer satisfaction surveys, complaints, findings from Tenant Inspector reviews and feedback from the Resident Panel, Housing Tenant Scrutiny Panel, Resident Associations, Customer Panels and Focus groups.

The Housing Service has a three year Service Plan which is reviewed annually and contains the following service priorities:

- Make the best use of housing assets and improve decency
- Helping residents into employment & training
- Support independent living
- Improve community cohesion
- Widen and extend resident involvement
- Improve access to advice and services
- Address financial inclusion

Weekly and monthly operational reports are provided to Housing Managers to monitor performance concerning particular service areas. In addition a quarterly Service Plan performance status report including the status of performance indicators together with budgetary information is presented to Housing's Management Team and Housing and Community Safety Senior Management Team. Quarterly performance reports are also presented to Housing's Executive Portfolio Holder.

Performance updates are presented to the Resident Federation

and the Housing Tenant Scrutiny Panel. Service Managers attend these meetings to discuss performance concerns with residents. Performance issues are also discussed by Estate Managers attending Resident Association Meetings.

Benchmarking

The Housing Service has been a member of Housemark benchmarking club since 2009. This allows robust, comparable spend data and performance analysis in relation to a range of landlord activities covering

- Overheads
- Responsive Repairs and Void works
- Major Works and Cyclical Maintenance including Gas Servicing
- Value for money
- Housing Management
- Lettings
- Rent Arrears and Collection
- Anti-social Behaviour
- Resident Involvement

Value for Money

The key findings from the analysis are plotted on the Value for Money Matrix and inform service plan priorities and Housing's Value for Money approach. A full benchmarking report is presented to Housing Senior Management team and the Housing Tenant Scrutiny Panel also oversee benchmarking results.

Community Impact Assessments

Community Impact Assessments are carried out in respect of individual service area delivery and policy review. Self-financing is a change in a major financially driven process and therefore it is not appropriate to undertake a CIA in respect of the introduction of the Business Plan in its own right. However, CIAs will be carried out in respect of any potential changes in policy or service delivery that may result from this different financial process.

Reviewing the Business Plan

The business plan is a dynamic, working document. Consequently it is essential that it is reviewed and updated on an annual basis. It is monitored throughout the year by officers, Housing Management Team, the Housing Portfolio Holder and the Executive, as appropriate.

Treasury Management

The HRA Self Financing reform detailed in the Government White Paper in November 2012 resulted in City of York Council paying £121.55m to Department of Communities and Local Government (DCLG). This removed the Council from the HRA subsidy system from 1 April 2012 and the payment made on 28 March 2012 was effectively the debt which relates directly to the HRA.

The self-financing valuation of the local authority's council housing stock was made by the Government using a discounted cash flow model for the authority's social housing. The model was

based on assumptions made by Government about rental income and expenditure required to maintain the council's housing stock over 30 years. It determined the amount paid to the Government of £121.55m and also the upper limit on housing debt that the Council may hold under the HRA self-financing reform.

In order to finance the £121.550m, significant exploration of the funding options available to the Council were undertaken with the final decision being made by the Director of Customer Business & Support Services in accordance with the delegated powers as approved by Council in the Treasury Management Strategy dated 23 February 2012.

Loan Portfolio

The objective of creating the HRA loan portfolio was to keep interest rates to a minimum, mitigate risk as much as possible and create flexibility within the portfolio.

In considering the risks associated with the proposed borrowing strategy, a key factor was the implications of repaying the initial loans at a point earlier than their natural maturity. This may be required for treasury management purposes or to provide greater flexibility within the business plan for future developments.

The prudent approach to scheduling multiple loans was to ensure that the HRA business plan was capable of repaying debt at the point where loans were scheduled to mature and could seek opportunities to further invest in the level and quality of social housing.

Based on the PWLB's interest rate, information at the time the

loans were taken on 28 March 2012, rates did not significantly vary for maturity loans from periods of 25 years to 50 years. Given this, the portfolio of 21 maturity loans was constructed taking loans with varying amounts, at a variety of interest rates, across different maturity periods in line with the HRA business plan.

This page is intentionally left blank

HOUSING REVENUE ACCOUNT PROJECTIONS

City of York Council

Year	2015.16	2016.17	2017.18	2018.19	2019.20	2020.21	2021.22	2022.23	2023.24	2024.25	2025.26	2026.27	2027.28	2028.29	2029.30	2030.31	2031.32
£'000	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
INCOME:																	
Rental Income	32,926	32,258	31,516	30,741	29,879	30,192	30,517	30,858	31,191	31,516	31,833	32,140	32,437	32,723	32,998	33,259	33,506
Void Losses	-293	-287	-281	-274	-266	-269	-272	-275	-277	-280	-283	-286	-288	-291	-293	-296	-298
Service Charges	921	884	902	920	938	957	976	996	1,015	1,036	1,056	1,078	1,099	1,121	1,144	1,166	1,190
Non-Dwelling Income	586	346	353	360	367	375	382	390	397	405	414	422	430	439	448	457	466
Grants & Other Income	461	355	355	355	355	356	356	356	357	357	358	358	358	358	359	359	360
Total Income	34,601	33,555	32,845	32,102	31,274	31,610	31,960	32,325	32,683	33,034	33,377	33,711	34,036	34,351	34,654	34,946	35,224
EXPENDITURE:																	
General Management	-5,740	-5,801	-5,642	-5,597	-5,398	-5,506	-5,616	-5,729	-5,843	-5,960	-6,079	-6,201	-6,325	-6,451	-6,580	-6,712	-6,846
Special Management	-2,120	-2,123	-2,165	-2,209	-2,253	-2,298	-2,344	-2,391	-2,439	-2,487	-2,537	-2,588	-2,640	-2,692	-2,746	-2,801	-2,857
Other Management	-235	-264	-270	-275	-281	-286	-292	-298	-304	-310	-316	-322	-329	-335	-342	-349	-356
Rent Rebates	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Bad Debt Provision	-479	-479	-468	-456	-443	-448	-453	-458	-462	-467	-472	-476	-481	-485	-489	-493	-496
Responsive & Cyclical Repairs	-6,550	-6,075	-6,069	-6,138	-6,261	-6,386	-6,514	-6,644	-6,777	-6,913	-7,051	-7,192	-7,336	-7,482	-7,632	-7,785	-7,940
Total Revenue Expenditure	-15,123	-14,742	-14,614	-14,675	-14,636	-14,924	-15,218	-15,519	-15,825	-16,137	-16,455	-16,779	-17,109	-17,446	-17,789	-18,139	-18,496
Interest Paid & Administration	-4,675	-4,598	-4,958	-4,959	-4,961	-4,962	-4,963	-4,964	-4,932	-4,753	-4,442	-4,091	-3,671	-3,175	-2,789	-2,557	-2,358
Interest Received	160	265	245	294	330	362	394	427	451	435	383	323	246	151	91	77	74
Depreciation	-7,779	-7,847	-7,898	-7,936	-7,946	-7,953	-7,963	-7,976	-7,987	-7,994	-7,999	-8,000	-7,999	-7,994	-7,986	-7,974	-7,959
Net Operating Income	7,183	6,633	5,619	4,826	4,062	4,133	4,210	4,292	4,390	4,584	4,865	5,164	5,503	5,887	6,181	6,352	6,484
APPROPRIATIONS:																	
FRS 17 /Other HRA Reserve Adj	-3,395	-3,039	-39	-40	-41	-42	-43	-43	-44	-45	-46	-47	-48	-49	-50	-51	-52
HRA CFR Revenue Provision	0	0	0	0	0	0	0	0	-1,900	-8,400	-9,500	-10,600	-13,500	-14,900	-7,226	-6,137	-5,303
Revenue Contribution to Capital	-1,170	0	0	0	0	-696	-924	-930	-936	-942	-948	-954	-959	-965	-970	-975	-980
Total Appropriations	-4,565	-3,039	-39	-40	-41	-738	-966	-973	-2,880	-9,387	-10,494	-11,601	-14,507	-15,914	-8,245	-7,163	-6,335
ANNUAL CASHFLOW	2,618	3,594	5,580	4,786	4,021	3,395	3,243	3,319	1,510	-4,803	-5,629	-6,437	-9,004	-10,027	-2,064	-810	150
Opening Balance	14,022	16,640	20,235	25,814	30,600	34,621	38,016	41,259	44,578	46,088	41,285	35,655	29,218	20,214	10,188	8,123	7,313
Closing Balance	16,640	20,235	25,814	30,600	34,621	38,016	41,259	44,578	46,088	41,285	35,655	29,218	20,214	10,188	8,123	7,313	7,463
Other HRA Reserve Balance	13,136	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

HOUSING REVENUE ACCOUNT PROJECT
City of York Council

Year	2032.33	2033.34	2034.35	2035.36	2036.37	2037.38	2038.39	2039.40	2040.41	2041.42	2042.43	2043.44	2044.45	2045.46
£'000	17	18	19	20	21	22	23	24	25	26	27	28	29	30
INCOME:														
Rental Income	34,004	34,776	35,564	36,368	37,189	38,025	38,879	39,749	40,637	41,543	42,466	43,407	44,367	45,345
Void Losses	-302	-309	-316	-323	-330	-338	-345	-353	-361	-369	-377	-386	-394	-403
Service Charges	1,214	1,238	1,263	1,288	1,314	1,340	1,367	1,394	1,422	1,450	1,479	1,509	1,539	1,570
Non-Dwelling Income	475	485	494	504	514	524	535	546	557	568	579	591	602	614
Grants & Other Income	360	361	361	362	362	362	363	363	364	364	365	365	366	367
Total Income	35,751	36,551	37,366	38,199	39,048	39,914	40,798	41,699	42,618	43,556	44,512	45,486	46,480	47,493
EXPENDITURE:														
General Management	-6,983	-7,123	-7,265	-7,410	-7,559	-7,710	-7,864	-8,021	-8,182	-8,345	-8,512	-8,683	-8,856	-9,033
Special Management	-2,914	-2,973	-3,032	-3,093	-3,154	-3,218	-3,282	-3,348	-3,415	-3,483	-3,552	-3,624	-3,696	-3,770
Other Management	-363	-370	-378	-385	-393	-401	-409	-417	-425	-434	-442	-451	-460	-470
Rent Rebates	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Bad Debt Provision	-504	-515	-527	-539	-551	-563	-576	-589	-602	-615	-629	-643	-657	-672
Responsive & Cyclical Repairs	-8,099	-8,261	-8,426	-8,595	-8,767	-8,942	-9,121	-9,304	-9,490	-9,679	-9,873	-10,070	-10,272	-10,477
Total Revenue Expenditure	-18,863	-19,242	-19,628	-20,022	-20,424	-20,834	-21,252	-21,678	-22,113	-22,557	-23,009	-23,471	-23,942	-24,422
Interest Paid & Administration	-2,169	-1,965	-1,859	-1,861	-1,862	-1,864	-1,866	-1,868	-1,869	-1,446	-560	-99	-101	-103
Interest Received	75	76	110	179	251	328	408	493	582	556	408	391	511	637
Depreciation	-8,001	-8,105	-8,210	-8,316	-8,423	-8,531	-8,640	-8,749	-8,860	-8,972	-9,084	-9,198	-9,312	-9,427
Net Operating Income	6,793	7,315	7,779	8,179	8,590	9,013	9,449	9,897	10,358	11,138	12,267	13,110	13,637	14,178
APPROPRIATIONS:														
FRS 17 /Other HRA Reserve Adj	-53	-54	-55	-56	-57	-59	-60	-61	-62	-63	-65	-66	-67	-69
HRA CFR Revenue Provision	-5,625	-6,131	0	0	0	0	0	0	0	-24,300	-26,456	0	0	0
Revenue Contribution to Capital	-990	-1,005	-1,020	-1,036	-1,051	-1,067	-1,083	-1,100	-1,116	-1,133	-1,150	-1,168	-1,185	-1,203
Total Appropriations	-6,667	-7,190	-1,075	-1,092	-1,109	-1,126	-1,143	-1,161	-1,179	-25,497	-27,671	-1,234	-1,252	-1,271
ANNUAL CASHFLOW	126	125	6,704	7,087	7,481	7,888	8,306	8,737	9,180	-14,359	-15,404	11,877	12,385	12,907
Opening Balance	7,463	7,589	7,714	14,418	21,505	28,986	36,874	45,180	53,917	63,096	48,738	33,334	45,210	57,595
Closing Balance	7,589	7,714	14,418	21,505	28,986	36,874	45,180	53,917	63,096	48,738	33,334	45,210	57,595	70,502
Other HRA Reserve Balance	0	0	0	0	0	0	0	0	0	0	0	0	0	0

Annex C



SECTION 1: CIA SUMMARY

Community Impact Assessment: Summary

1. Name of service, policy, function or criteria being assessed:

Housing Revenue Account (HRA) Business Plan

2. What are the main objectives or aims of the service/policy/function/criteria?

The HRA Business Plan sets out Housing Services' vision for the future of housing stock over the next 30 years.

It is first and foremost a financial document, which determines how the council will meet the needs of present and future tenants, demonstrating that Government and local targets can be achieved and ensuring the long-term viability of the stock.

It sets out the:

- national and local strategic context and corporate priorities under which we are currently operating
- Challenges and strategic priorities, specifically over the next five years as well as identifying longer term issues and goals for the next thirty years.
- Investment priorities include new build, redevelopment and modernisation of existing stock, including loft conversions, replacing heating systems and decaying water mains, and adaptations to help older and/or disabled tenants remain in their homes.

3. Name and Job Title of person completing assessment:

Paul Landais-Stamp, Housing Strategy Manager.

4. Have any impacts been Identified? (Yes/No)

Yes

Community of Identity affected:
Age / Disability

Summary of impact:

The following positive impacts have been identified.

The investment programme and ongoing improvements & adaptations to existing

stock, downsizing schemes and refurbishment of sheltered accommodation, will provide choice for older people and people with disabilities, in the homes they want to live in. Improvements will provide better insulated homes & increased security as well as the promotion of digital inclusion within sheltered schemes.

Prioritisation on new build flatted schemes for downsizing will free up family homes and new build general housing will increase supply, which will benefit younger people and children, particularly in terms of overcrowding.

The provision of mental health supported accommodation could help reduce the potential for discrimination, harassment and victimisation, as well as promote health and wellbeing by preventing re-admission to hospital and supporting sustainable resettlement

5. Date CIA completed: 16 December 2015

6. Signed off by: Paul Landais-Stamp

7. I am satisfied that this service/policy/function has been successfully impact assessed.

Name: Tom Brittain

Position: Head of Housing Services

Date:

8. Decision-making body:

Date:

Decision Details:

Send the completed signed off document to ciasubmission@york.gov.uk It will be published on the intranet, as well as on the council website.

Actions arising from the Assessments will be logged on Verto and progress updates will be required

Community Impact Assessment (CIA)

Community Impact Assessment Title:
Housing Revenue Account (HRA) Business Plan

What evidence is available to suggest that the proposed service, policy, function or criteria could have a negative (N), positive (P) or no (None) effect on quality of life outcomes? (Refer to guidance for further details)

Can negative impacts be justified? **For example: improving community cohesion; complying with other legislation or enforcement duties; taking positive action to address imbalances or under-representation; needing to target a particular community or group e.g. older people.** NB. Lack of financial resources alone is NOT justification!

Community of Identity: Age

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
Housing Strategy for Older People https://www.york.gov.uk/downloads/download/1427/supported_housing_strategy Customer profiling of current tenants		Standard of living & Health	Positive	
Details of Impact	Can negative impacts be justified?	Reason/Action	Lead Officer	Completion Date

<p>Older People - will benefit from the investment programme and ongoing improvements to existing stock, adaptations within their homes, downsizing schemes and refurbishment of sheltered and extra care accommodation, which will provide choice in the homes they want to live in. Modernisation of homes will provide better insulated homes & increased security.</p> <p>The review of the provision of accommodation with care for older people is taking place across the city and is expected to include the phased closure of the council's seven remaining older people's homes by the end of 2018.</p> <p>Through A programme of making better use of existing sheltered housing with extra care accommodation owned by the council will mean these schemes can accommodate residents with complex needs including dementia. This will include increasing the size of the Glen Lodge extra care scheme through a new extension of 25 one</p>	<p>Not applicable</p>	<p>Not applicable</p>		
--	-----------------------	-----------------------	--	--

<p>bedroom apartments and two bungalows.</p> <p>Proposals for a new integrated care facility at the former Burnholme School site, and an extra care hub on the site of the current Oakhaven sheltered housing scheme in Acomb will improve facilities and housing options for older people.</p> <p>Younger people (17-25) & children: Continued support for downsizing schemes will free up family homes and new builds will increase supply, which could particularly benefit younger people and children.</p>				
--	--	--	--	--

<p style="text-align: center;">Community of Identity: Carers of Older or Disabled People</p>				
<p style="text-align: center;">Evidence</p>		<p style="text-align: center;">Quality of Life Indicators</p>	<p style="text-align: center;">Customer Impact (N/P/None)</p>	<p style="text-align: center;">Staff Impact (N/P/None)</p>
<p style="text-align: center;">Not applicable</p>		<p style="text-align: center;">Not applicable</p>	<p style="text-align: center;">None</p>	<p style="text-align: center;">None</p>
<p style="text-align: center;">Details of Impact</p>	<p style="text-align: center;"><i>Can negative impacts be justified?</i></p>	<p style="text-align: center;">Reason/Action</p>	<p style="text-align: center;">Lead Officer</p>	<p style="text-align: center;">Completion Date</p>

There is not expected to be either a positive or negative impact on this community of identity group.				
---	--	--	--	--

Community of Identity: Disability

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
Supported housing strategy https://www.york.gov.uk/downloads/download/1427/supported_housing_strategy		Standard of living & Health	Positive	
Customer profiling of current tenants				
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date
Mental Health: The Business Plan facilitates arrangements to deliver resources more effectively to address supported housing needs in York, which identified people with mental health issues as a main priority. The provision of supported accommodation could help reduce the potential for discrimination, harassment and victimisation, as well as promote health and wellbeing by preventing	Not applicable	Not applicable		

<p>re-admission to hospital and supporting sustainable resettlement.</p> <p>Physical disability: The investment programme will enable people to remain independent and provide choice in the homes they want to live in through the renewal of existing adaptations and the provision of additional installations. New build flats will be more accessible with the provision of lifts.</p>				
--	--	--	--	--

Community of Identity: Gender				
Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
Not applicable		Not applicable	None	None
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date
There is not expected to be either a positive or negative impact on this community of identity group.				

Community of Identity: Gender Reassignment

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
Not applicable		Not applicable	None	None
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date
There is not expected to be either a positive or negative impact on this community of identity group.				

Community of Identity: Marriage & Civil Partnership

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
Not applicable		Not applicable	None	None
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date
There is not expected to be either a positive or negative impact on this community of identity group.				

Community of Identity: Pregnancy / Maternity

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
Not applicable		Not applicable	None	None
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date
There is not expected to be either a positive or negative impact on this community of identity group.				

Community of Identity: Race

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
Not applicable		Not applicable	None	None
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date
There is not expected to be either a positive or negative impact on this community of identity group.				

Community of Identity: Religion / Spirituality / Belief

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
Not applicable		Not applicable	None	None
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date
There is not expected to be either a positive or negative impact on this community of identity group.				

Community of Identity: Sexual Orientation

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
Not applicable		Not applicable	None	None
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date
There is not expected to be either a positive or negative impact on this community of identity group.				



Executive**11 February 2016**

Report of the Assistant Director – Housing & Community Safety

Portfolio of the Executive Member for Housing & Safer Neighbourhoods

Housing Revenue Account (HRA) - Strategic Asset Plan**Summary**

1. This report provides an overview of housing's new Strategic Asset Plan, which has been developed to support the Housing Revenue Account Business Plan.
2. The Strategic Asset Plan establishes the decision making processes that the council will use for its HRA assets to achieve the five primary aims of the plan:
 - To guide investment decisions when properties become void;
 - To guide investment decisions on planned maintenance;
 - To allow targeted interventions in poor quality housing stock or challenging areas;
 - To capitalise on wider opportunities that arise from integration with general fund projects and assets;
 - To identify sites and opportunities for new build development and regeneration

Recommendations

3. Executive are asked to:
 - a) Agree Option One to adopt the HRA Strategic Asset Plan.

Reason: The HRA Strategic Asset Plan enables the council to objectively assess the quality of all HRA assets to guide future investment and development decisions within the housing stock in support of the aims of the HRA Business Plan.

Background

4. The core purpose of the HRA Business Plan is to set out the priorities for the business over the next 30 years and to demonstrate that the council can maintain its housing assets, deliver a quality customer focused service as well as improve its homes and neighbourhoods. It is first and foremost a financial document, which determines how the council will meet the needs of present and future tenants whilst ensuring the long-term viability of the stock.
5. The HRA Strategic Asset Plan has been devised to support this business plan. Following a number of national changes there has been a need to fundamentally review the business plan. The revised business plan which responds to these changes is covered by a separate report to the Executive.
6. The Strategic Asset Plan serves as an evidence base for the HRA to ensure investment decisions are targeted to delivering strategic aims, and that those decisions link in to the wider council agendas. The plan is particularly important in ensuring that the housing asset base is considered in conjunction with the general funds, and that opportunities are identified for achieving best value for the council as a whole.

Consultation

7. The Strategic Asset Plan has been devised and developed with a wide-range of staff from within housing services, building maintenance, property services and finance, and has been approved by the Capital Asset Board. The Housing Asset Register, the system for assessing the quality of housing's assets to provide an evidence base for investment decisions, has been developed by strategic leads in housing, building services and finance and sensitivity tested by housing management, maintenance and property services.

Options

8. Option one – To adopt housing's Strategic Asset Plan as set out in Annex A
9. Option two – To ask officers to revise the document and methodology

Analysis

10. **Option one** – The Strategic Asset Plan provides a clear and practical vision for ensuring both housing and the wider council maximises the

opportunities from the HRA asset base. It considers a wide range of information and data to rank every HRA asset based on their quality, desirability, financial worth and potential. This Housing Asset Register provides a detailed database which will form the basis of all investment decisions, and ensures that a culture of long term strategic decision making is embedded within the organisation.

11. The plan contains an overview of the council's housing stock, details of the accompanying Housing Asset Register and methodology, and the strategic framework through which the register will be used to make short, medium and long term decisions relating to housing's assets.
12. The Housing Asset Register is a live document that will continue to be updated and evolve as and when further or more robust data sets become available.
13. One of the key proposals within the plan is to introduce a void management system, which will ensure that the lowest quality assets or homes that have potential for alternative uses are automatically identified and considered for intervention before re-let. This will ensure that homes are not continually re-let without taking the opportunity to consider whether there is a better alternative use that would better benefit the council, the HRA and the needs of tenants. This will also help inform the decision making process around sale of high value voids properties linked to the national changes.
14. Appended to the plan is an action plan which identifies how the strategic framework will be established and future work streams to ensure the principles contained in the strategy are embedded in to the every day work of the housing department.
15. The plan will help the council achieve its commitment to being an excellent landlord providing high quality homes in confident and successful communities in which people want to live. Taking informed strategic decisions regarding the HRA asset base will maximise and target resources towards meeting the following objectives:
 - Continual improvement of the quality and sustainability of the council's housing stock;
 - Increasing the quality of the asset base through the building of new homes;
 - Ensuring a strategic decision making approach underpins all investment decisions;
 - Embracing our role as landlord by investing in our estates to create successful communities.

16. **Option Two** – Should there be concerns with the approach identified above officers could revisit housing’s Strategic Asset Plan and provide a revised version or approach. However, the new plan has been designed with a clear vision for ensuring HRA assets are used in a more effective manner, and that investment decisions are taken under a more strategic framework. Any revised plan would need to be developed through new consultation with a broad range of staff that has previously identified this model as the preferred approach.

Council Plan

17. The Strategic Asset Plan has been devised in consideration of the objectives of the 2015-19 Council Plan, namely:
- A prosperous city for all
 - A focus on frontline services
 - A council that listens to residents
18. By ensuring a clear evidence based decision making framework investment can be targeted to achieve these objectives, and allow cohesion and integration with wider council projects.

Implications

19. The implications arising from this report are:
- **Financial** – There are no direct financial implications from adopting the Strategic Asset Plan. The financial implications of any decisions around future investment or use of housing assets will be considered, reported on and approved individually through capital programme monitoring and the Capital Asset Board.
 - **Human Resources (HR)** – none
 - **Equalities** – A Community Impact Assessment has been completed the details are contained in Annex B
 - **Legal** – None
 - **Crime and Disorder** – None
 - **Information Technology (IT)** – Significant investment is proposed for ICT to support the ambitions of the business plan, which will also

assist the future robustness of the Housing Asset Register. These will be discussed with the ICT team and built into work plans

- **Property** – Property services have been consulted in the development of the Strategic Asset Plan and support the approach. They have commented on draft versions and made amendments to improve the methodology and links to wider council agendas. Any decisions arising from this plan which relate to land assets and future uses will be considered alongside the Corporate Asset Plan.

Risk Management

20. The Strategic Asset Plan has devised a completely new matrix and methodology for assessing the worth of an asset to the HRA. This has been developed by officers in housing strategy, building services and finance and is not based on an existing template. To ensure that the Housing Asset Register works in practice a process of sensitivity testing has been undertaken to minimise the risk of anomalous results and to amend and adjust the weightings of the assessment criteria to check that the desktop register reflects real life experience. As part of this process several properties across the range of assessed quality scores have been considered by housing management and maintenance to ensure that they are correctly graded.
21. Despite this level of interrogation it should be noted that this remains a desktop register based on a range of quantitative and qualitative data sets. Care has been taken to only use accurate and robust data sources but the register is only an indicator of an assets' value. Detailed decisions about any assets still need to be taken having considered all the individual characteristics of a property. Furthermore, the asset register needs to remain a live and active evidence base, being regularly updated as and when improved indices and data become available. Using the register in this way will ensure the risks associated with an over-arching desktop register will be mitigated, and protect against the risk of properties being wrongly assumed to be a high or low quality asset.
22. One of the key aims of Strategic Asset Plan is to introduce a new void management system to ensure that the lowest quality assets or those identified as presenting an opportunity for an alternative use are automatically considered each time they become void. However, void periods are costly to the HRA as each week spent without tenants result in the loss of rental income. In response to the national policy changes and consequent reduction in revenue for the HRA it is increasingly vital that void periods are kept to a minimum. The revised HRA business plan

has therefore reduced the void turnaround period to 2.5 weeks. The proposed void management system has been considered in conjunction with this target and officers are of the view that the new system will not impact on the delivery of that target.

Contact Details

Author:

Andy Kerr
Housing Strategy Manager
Tel No. 01904 554153

Chief Officers Responsible for the report:

Steve Waddington
Assistant Director – Housing & Community Safety

Sally Burns

Director of Communities & Neighbourhoods

Ian Floyd

Director of Customer & Business Support Services

Report Approved

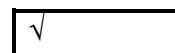


Date 4th January 2016

Specialist Implications Officer(s)

Implication - Financial
Name - Isabel Jones
Finance Manager
Tel No. - 01904 551799

All



Wards Affected: List wards or tick box to indicate all

For further information please contact the author of the report

Annexes

Annex A – HRA Strategic Asset Plan
Annex B – Community Impact Assessment

Housing Revenue Account Strategic Asset Plan



Contents

1. Introduction.....	3
2. Stock profile.....	5
3. Housing Asset Register	10
Asset Rating	10
Asset Rating Methodology	11
Scoring matrix methodology.....	14
Grading System	16
Opportunity Rating.....	17
4. Strategic framework.....	20
Decision making framework for void properties	20
Interventions	22
Opportunities	23
Regeneration and development	23
Strategy for spending Right to Buy receipts and other capital funding	24
Resources to deliver the Strategic Asset Plan.....	25
5. Conclusion.....	26
6. Action Plan	27
Annex A - Assessment criteria.....	30
Annex B – Non-traditional dwelling guide	41

1. Introduction

This Strategic Asset Plan provides a clear and practical vision for ensuring the council maximises the opportunities from the Housing Revenue Account's asset base. It considers a wide range of information and data to rank every council housing asset based on their quality, desirability, financial worth and potential. This Housing Asset Register provides a detailed database which will form the basis of all investment decisions and ensures that a culture of long term strategic decision making is embedded within the organisation.

The following document provides an overview of the council's housing stock, details of the accompanying Housing Asset Register and its methodology, and the strategic framework through which the register will be used to make short, medium and long term decisions relating to housing's assets.

The strategic framework establishes the decision making processes that the council will use to achieve the five primary aims of the plan:

- To guide investment decisions when properties become void
- To guide investment decisions on planned maintenance
- To allow targeted interventions in poor quality stock or challenging areas
- To capitalise on wider opportunities that arise from integration with general fund projects and assets
- To identify sites and opportunities for new build development and regeneration

The Strategic Asset Plan should be considered in partnership with the Housing Asset Register. The register is a live document that will be continually updated and evolve as and when further or more robust data sets become available.

Finally, appended to the plan is an action plan which identifies how the strategic framework will be established and future work streams to ensure the principles contained in the strategy are embedded in to the every day work of the housing department.

The Strategic Asset Plan will help the council achieve its commitment to being an excellent landlord providing high quality homes in confident and successful communities in which people want to live. Taking informed strategic decisions regarding the council's asset base will maximise and target resources towards meeting the following objectives:

- Continual improvement of the quality and sustainability of the council's housing stock
- Increasing the quality of the asset base through the building of new homes
- Ensuring a strategic decision making approach underpins all investment decisions
- Embracing our role as landlord by investing in our estates to create successful communities

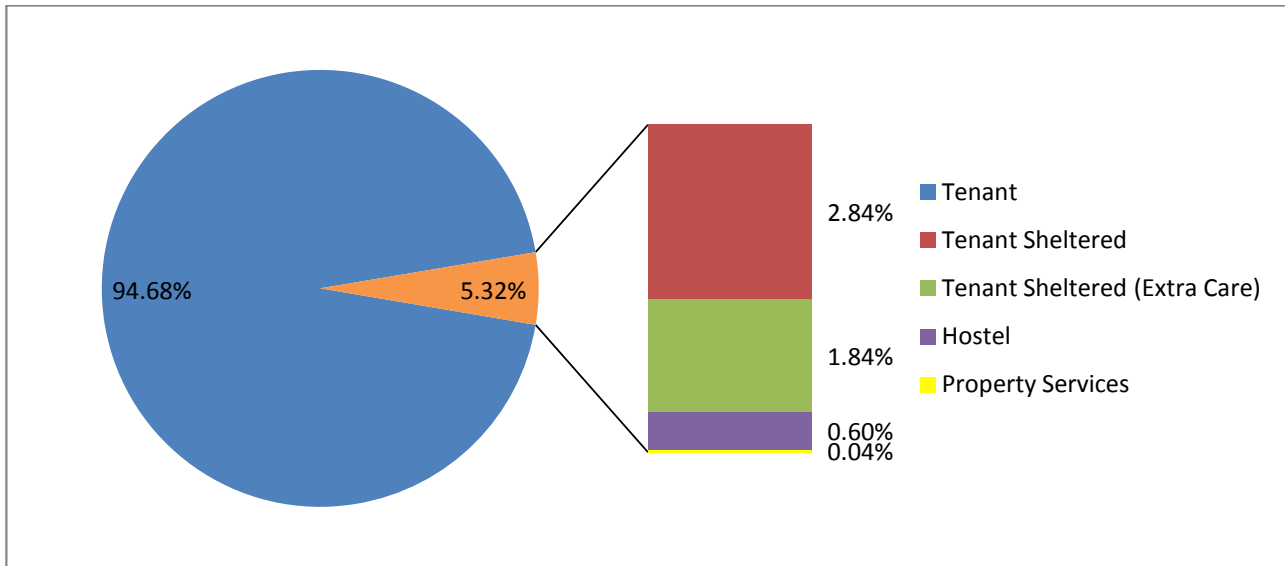
These objectives have been considered in relation to the 2015-2019 Council Plan, namely:

- A prosperous city for all
- A focus on frontline services
- A council that listens to residents

2. Stock profile

The council provides housing services across a range of different tenures and assets. The Housing Revenue Account (HRA) currently holds 7781 tenanted units. The majority of these are general needs houses and flats (95%).

Figure 1 – The percentage split of HRA units



In addition to the general needs tenants, there are also:

- **364** sheltered housing units - housing designed to support older people and vulnerable tenants through access to community areas and a scheme manager.
- **47** hostel units. This housing is temporary and can have a particular focus, such as youth support
- **3** city centre flats that are HRA funded but are excluded from the main housing stock
- **495** City of York Council leaseholders that are managed by the Housing Team

Table 1 – Showing the number of units in each tenant category

Units	
Tenant	7367
Tenant Sheltered	221
Tenant Sheltered (Extra Care)	143
Hostel	47
Property Services	3
Sub Total	7781
Leaseholder	495
Total	8276

Leaseholders

When a flat is sold through the Right to Buy or other disposals, the dwelling becomes the responsibility of the purchaser, who has a lease on a property from the council and pays a service charge on an annual basis. Communal areas¹ and blocks² in which leasehold flats are housed remain in the ownership of the council, and repairs, maintenance and gardening are funded by the service charge. The cost is apportioned by the number of units in the block or other local arrangements.

Non-dwelling properties

There are 1129 non-dwelling properties held within the HRA portfolio, with building services responsible for the management of the communal spaces and fabric of the buildings.

The non-dwellings funded by the HRA are mainly blocks, which contain dwellings and communal spaces within the roof and walls of the building and the communal spaces which are the individual access areas, shared facilities and other shared areas contained within a block. The council has a duty to manage these even where the dwellings within a block are all leasehold.

The responsibilities for these assets include ensuring regulatory compliance to Fire, Asbestos and Electrical testing regimes amongst other property specific management and services such as cleaning services and legionella monitoring.

Table 2 - Showing the non dwelling assets funded by the HRA

Non Dwellings	
Blocks of dwellings and communal areas	589
Communal Shared Spaces	540
Total	1129

The HRA is responsible for the ongoing maintenance of the blocks and communal spaces. The blocks are painted externally during the rolling 7 years painting programme and are integrated into council wide schemes such as window and roof replacements as necessary.

Property Types

The split between flats and houses in the HRA portfolio is 45% to 55%. The flat count includes maisonettes and bedsits³.

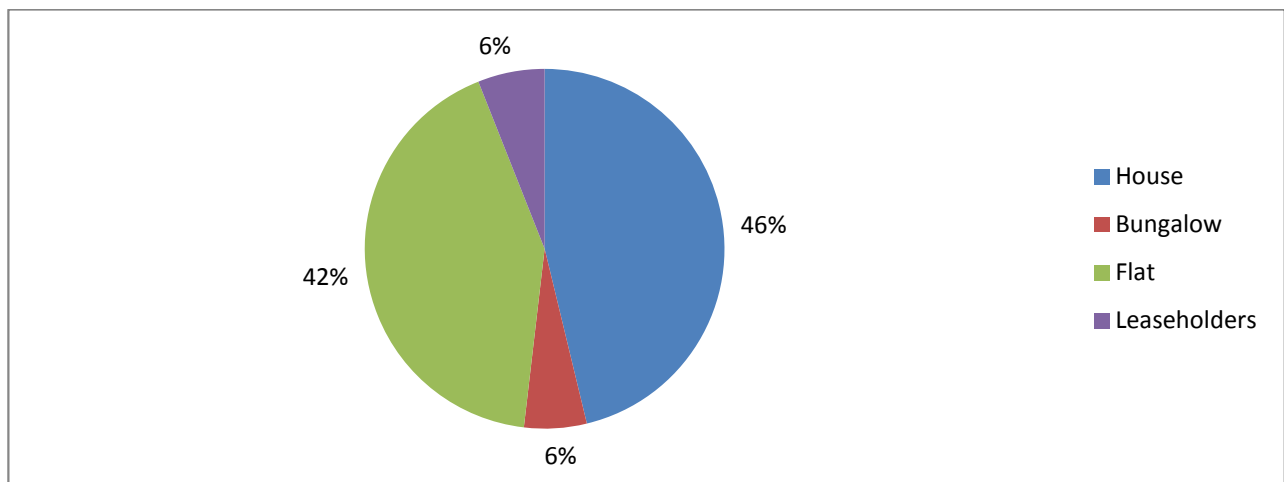
¹ A communal space includes all shared space within a block to aid or support the flats, areas such as stairwells, corridors and drying rooms would constitute a communal space

² A block includes all housing units and communal areas typically contained under one roof. There may be some shared facilities such as walkways or gardens that are apportioned to many blocks.

³ A maisonette is usually a flat that is accessible through its own access door, but can be a larger flat over multiple floors with its own staircase. A bedsit is a rentable room with cooking and toilet facilities, however there are often some shared facilities such as a laundry room.

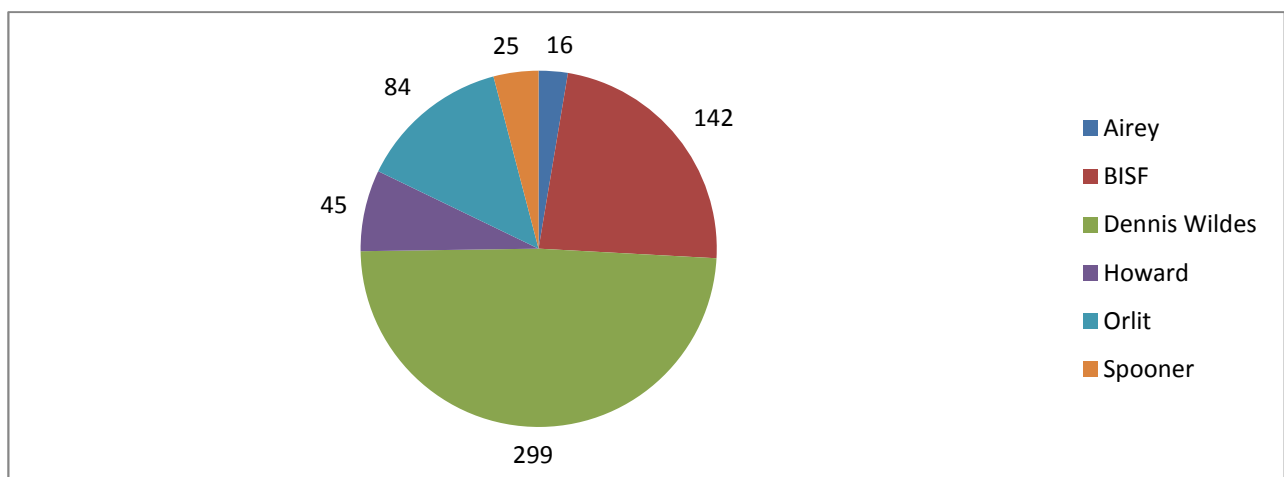
Table 3 - Showing the number of units by type in the HRA

Property Type	Tenant	Leaseholder	Total
House	3803	0	3803
Bungalow	462	0	462
Flat	3466	495	3961
Total	7731	495	8226

Figure 2 – Showing the split of property types in 2015

Non Traditional Housing Stock

Amongst the general needs housing are a number of dwellings constructed between 1921 to 1927 (Dennis Wilde) and from 1946 to 1951 (all other categories) when high housing need and high costs of traditional building materials led to an increase in experimental building forms and prefabrication. Over time many of these non-traditional house types have suffered from structural defects that are often difficult and costly to repair. The council has 611 non-traditional dwellings in its housing stock, details of which can be found in figure 3, with a detailed profile of each type in Annex B.

Figure 3 - Non-traditional Housing in the council housing stock

The non-traditional housing stock poses its own issues, initially identified as having poor thermal efficiency and some potential structural issues there has been significant investment post-1990 to ensure the properties remain fit for purpose. Some of these remedies have permanently resolved the defects, whilst others remain temporary solutions.

Garages

The HRA has 968 garages which have a number of known issues, the rents are low and the repair costs are disproportionately high in comparison. There is also a known issue that the garages are not generally used for the storage of cars, but more for general storage. Owners often live more than 1 mile from the garage they own which supports this.

Table 4 – Showing current garage lets as at September 2015

Garage Status	Units
Garage Occupied	760
Garage Void	208
Total	968

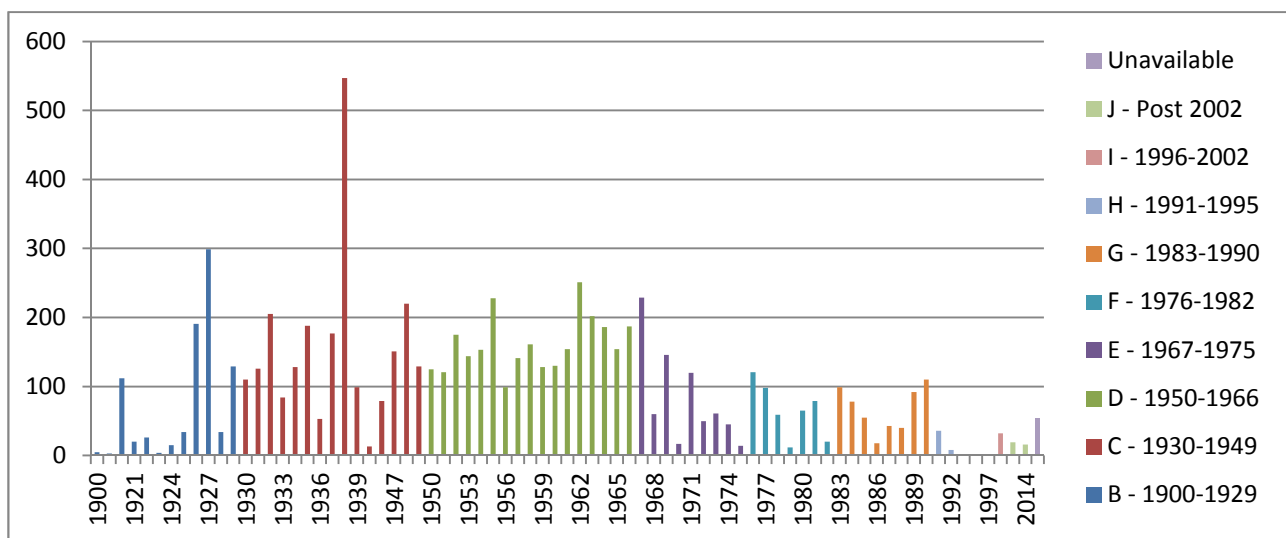
Community Buildings

There are some community facilities such as day centres and community centres within the scope of the HRA. These facilities are usually legacy assets as schemes were developed in a community and often include shared facilities such as laundrettes.

Age of Stock

The age of the councils stock is unlikely to change significantly without a major shift in new building opportunities or disposal of 1930 to 1966 properties. Around 60% of the HRA units were built between 1930 and 1966.

Figure 4 - Showing the build age profile of HRA housing stock



Ageing housing stock requires specific interventions, particularly in regard to heat retention and more recently damp remediation as some construction types are more prone to issues than others. The older properties are more likely to have failing components if not already replaced by the council. Decent homes outlines a typical lifetime of 50 years for a roof of a house. This implies that the roof has reached the end of its life in a large proportion of the dwellings. The walls, with a typical lifetime of 80 years, will need to be monitored as a significant proportion of the council's properties reach that age.

Table 5 - Showing the EPC age bandings, marking the boundaries between key construction periods.

Age Banding	Units
B - 1900-1929	872
C - 1930-1949	2309
D - 1950-1966	2739
E - 1967-1975	742
F - 1976-1982	454
G - 1983-1990	535
H - 1991-1995	45
I - 1996-2002	35
J - Post 2002	35
Unavailable	54
Total	7820

The council's housing stock is well maintained and brought back to a good state of repair quickly and efficiently. However with the wider issues associated with ageing stock and poor quality garages, strategic decisions are needed in regard to effective use of resources, including assets, officer time and financial investment balanced against tenants' expectations of what they require from the council. Some assets will have started to reach the end of their life in terms of being an effective asset for the benefit of tenants. Therefore the council needs to be in a position to identify these poor quality assets and assess their financial worth to allow decisions to be taken to ensure best value is achieved throughout the life of the asset.

3. Housing Asset Register

The Housing Asset Register is the key evidence base that underpins the Strategic Asset Plan, providing a detailed assessment of all 7,731 homes in the council's Housing Revenue Account (HRA). The register builds on the previous Housing Land Register that was undertaken by the council's Housing Strategy and Development Team in 2012 to establish the development potential of 175 land holdings within the Housing Revenue Account. One of the key actions identified in this plan is to GIS map all properties and land holdings to create a comprehensive spatial asset evidence base.

The Housing Asset Register assesses HRA properties in two ways. The first is an Asset Rating, which establishes the overall quality of every property on a sliding scale, rating them and then ranking them in 8 bands from the poorest to highest quality assets. The second assessment is an Opportunity Rating that identifies specific properties with:

- a high market value
- the potential for disposal
- the opportunity to remodel or extend
- the potential to create wider development or regeneration land parcels

This will allow anecdotal and individual ad hoc knowledge of properties to be formally captured in one place, providing a clear and robust open access evidence base to improve decision making on the best use of the housing stock.

Asset Rating

The purpose of the Asset Rating is to provide a clear assessment of a property's worth to the Housing Revenue Account. To understand that worth it is first necessary to define what constitutes a low quality and high quality asset.

Figure 5 - Definition of low and high quality assets.

Low quality asset	High quality asset
<ul style="list-style-type: none"> • Expensive to maintain and keep decent • Long term structural/hard to resolve problems • Poor energy efficiency • Poor accessibility for those with mobility problems • Difficult to let • Regularly becomes void • Unpopular location 	<ul style="list-style-type: none"> • Cost effective to maintain and keep decent • No long term structural or other problems • High energy efficiency • Lifetime homes standards • High letting demand • Low void turnover • Popular location

These issues can be broadly divided into two key themes; the quality of the built form of the property and its desirability to existing or prospective tenants.

The quality of the property is important as it indicates the likely cost of the long term repair, maintenance and investment needs of the home. The more it costs the council to maintain to a high standard the less beneficial it becomes financially as the rental income does not justify the level of investment required.

The desirability of a property is important as it indicates the likely frequency of a property becoming vacant and the ability to quickly re-let that home to avoid costly void periods. It also indicates whether our homes are reflective of and suitable for the needs of our tenants.

Asset Rating Methodology

The overall quality and desirability has been determined through assessing each home using a range of information and data sources. Each of these data sources have then been given a weighting based on its importance in determining the quality of an asset, and the quality and robustness of the data source. This is explained in detail in the following table:

Theme	Assessment criteria	Data source	Weighting
Property quality	<p>Cost to keep decent (Capital Investment)</p> <p>Cost of planned work for the property over a 30 year cycle. This will include modernisation of key components as defined in Decent Homes guidance.</p>	Asset Management Database	3%
	<p>Average repair cost (Reactive Maintenance)</p> <p>Cost of reactive repairs and maintenance to the property over the last 5 years as an average</p>	Repairs Management Database	15%
	<p>Long term defects</p> <p>A score to quantify known building issues that may present an issue in the future. The score is based on the likelihood and impact of the defect.</p>	Building Services Team Leaders	20%
	<p>Energy Efficiency rating</p> <p>The Energy Efficiency (SAP) rating is a national rating scale with 0 low efficiency to 100 high efficiency.</p>	Asset Management Database / EPC register	10%
	<p>Housing Health & Safety Rating System</p> <p>The HHSRS rating is a national rating system used to assess risks in the home. Risks are rated from A (High risk) to F (Low risk).</p>	Asset Management Database Flare	2%

Desirability	<p>Accessibility</p> <p>The accessibility score considers the physical level of the property, with houses and ground floor flats being higher quality assets than 2nd and 3rd floor flats.</p>	Asset Management Database	10%
	<p>Bids per Dwelling</p> <p>The number of bids received on a dwelling over the last 5 years from the choice based letting system. Any not bid for in this way will receive a property type by postcode score.</p>	North Yorkshire Home Choice Database (External)	20%
	<p>Number of days void</p> <p>The amount of time the dwelling has been void, this could be over one or many void periods over the last 5 years</p>	Housing Management Database	5%
	<p>Frequency of void periods</p> <p>The number of times a property has become void over the last 5 years, scores are not generated for non void properties</p>	Housing Management Database	10%
	<p>Strategic Housing Market Assessment</p> <p>The current identified housing need profile in the City of York area, this is expressed in terms of size of house by bedroom number.</p>	The Strategic Housing Market Assessment	5%

Scoring matrix methodology

Due to the high levels of housing need in York the majority of properties are easily let. However it does not necessarily follow that the dwellings offered are of the type, size, and of appropriate operating quality and cost to be good assets or homes.

The purpose of the Asset Rating is to score the properties within the HRA on their quality - a low risk score for a good quality asset and a high risk score for a poor asset. This scoring methodology will be applied uniformly across the portfolio so every asset is scored in the same way. Having a standardised score for each asset will help inform discussion and management decisions about properties in the HRA, by providing a point of reference and comparison between assets.

The ten criteria that feed into the asset score are:

1. Cost to Keep Decent	(03%)
2. Repair Average Cost	(15%)
3. Long Term Defects	(20%)
4. Energy Efficiency rating	(10%)
5. HHSRS Rating	(02%)
6. Accessibility	(10%)
7. Bids Per Dwelling	(20%)
8. Days Void	(05%)
9. Frequency of Void	(10%)
10. Strategic Housing Market Assessment	(05%)

Each of the 10 criteria in the Asset Rating is scored on a scale from 1 (excellent) to 10 (very poor). The 10 criteria are then given a weighting (in brackets). The weighting given to each criterion has been determined based on a number of factors, namely:

- Importance in determining the worth of an asset
- Quality, accuracy and sample size of the data set
- Relevance of the data source to specific properties – the higher level the information the less use it is

The composite score of all criteria is 100, weighted by their importance. So for example 20 of the 100 marks are allotted to Long Term Defects, whilst the Strategic Housing Market Assessment only accounts for 5 marks. The rationale for each criteria's weighting is explained in Annex A. Overall the score out of 100 achieved by each property allows it to be compared with other assets, with 100 scoring the poorest and 0 being a perfect asset.

Figure 6 – A simplified matrix of asset scoring

Undesirable to Tenants	10	10	20	30	40	50	60	70	80	90	100
	9	9	18	27	36	45	54	63	72	81	90
	8	8	16	24	32	40	48	56	64	72	80
	7	7	14	21	28	35	42	49	56	63	70
	6	6	12	18	24	30	36	42	48	54	60
Average Desirability	5	5	10	15	20	25	30	35	40	45	50
	4	4	8	12	16	20	24	28	32	36	40
	3	3	6	9	12	15	18	21	24	27	30
	2	2	4	6	8	10	12	14	16	18	20
	1	1	2	3	4	5	6	7	8	9	10
Highly Desirable to tenants		1	2	3	4	5	6	7	8	9	10
	High Income/Low Spend					Average Income/Spend					Low income/High Spend

The simplified scoring matrix in Figure 6 shows the principles of scoring each element and also the overall score.

- An asset which is desirable to tenants and brings in a high income or commands little expenditure will be in the **green zone** with a low score.
- An asset which is undesirable to tenants and brings in a low income or commands high expenditure will be in the **red zone** with a high score.

Three different methods of scoring have been used in the strategy:

1. Scoring on a linear basis, where every property is mapped on a scale in order and the top 10% are allocated 1 (Excellent) and the bottom 10% are allocated 10 (Poor) is the most simplistic way of differentiating the properties. This has the advantage of quickly identifying the top 10% but can over penalise dwellings where there is a narrow range in the data.

For example, if applied to the Housing Health and Safety Rating System, the spread is so small that the poor assets easily pass the standard but would receive a highly polarised score for being in the bottom 10%.

In contrast, a property that received little to no bids when last advertised is a clear indication that the home is not as desirable to tenants as other properties with more bids.

2. Scoring with a threshold, where the score would be so significant that to hit a threshold would make the property excellent or poor.

For example if the Energy Efficiency (SAP) rating was below an E rating, the dwelling would be classed as un able to be let should it become void. This is clearly a 10 (poor) score, as such a property means a tenant cannot have a home and housing cannot command a rent for letting it.

3. Scoring by deviation from average, where the score will be low if a property is amongst the average, but then negative deviations from the average would give the property a higher score.

For example, cost to keep decent is quite standard and a fixed amount close to average for the majority of the stock. There are only slight deviations from the average cost, and those deviations do not identify poor assets. However a property that needs larger capital investment than the average due to a long term defect is likely to be a poor asset in a business planning sense due to the investment required.

As a general rule, the majority of the dwellings should fall into the yellow section of the Asset Rating scoring. It is unlikely that any asset could or should be viewed as perfect, and similarly housing's ongoing commitment to reinvesting in people's homes and the high levels of housing need in the city mean no properties should be judged to be very poor.

The Asset Rating system has been devised through a process of sensitivity testing and evaluation to arrive at a scoring system and weightings that best reflect the quality of the assets. However, this remains a desk top exercise applying the data sources that are available. It serves to highlight trends and particularly properties for further consideration. It is impossible to apply a matrix that is a completely accurate assessment – the ultimate determination on the quality of an asset rests with the considered view of housing management, maintenance and finance.

A detailed explanation of each criteria, including assessment criteria, identifying data sources and quality, scoring profile the rationale for the weighting applied can be found in Annex A .

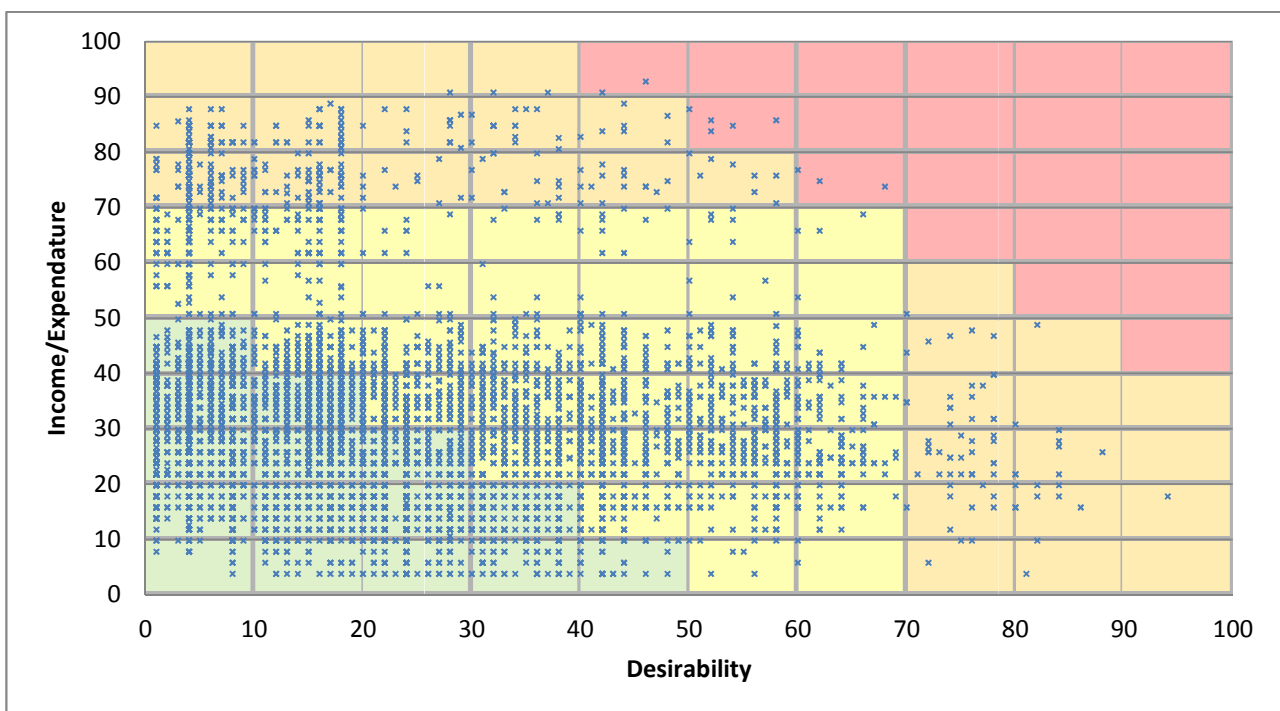
Grading System

Having given each property a score to determine its quality as an asset, all 7,731 properties have been assigned to one of eight grades. This has been done by allocating the 500 homes with the highest score (lowest quality assets) to grade H, 1,000 properties to each subsequent grade with the remaining balance of the 1,231 highest quality properties as grade A.

The rationale for giving only 500 properties the lowest quality asset rating of H grade is to ensure that only the highest risk properties are identified in this band. As shown in Figure 7, H graded properties account for all of the outlying properties that have a high score for either poor property quality or desirability. It also ensures that a manageable number of homes are automatically considered under the new void management system described in Section 4. Based on average re-let data across the stock 500 properties would generate 25 voids per annum, however it is anticipated that this may be higher in grade H properties as the lowest quality assets generally experience higher turnover rates.

Figure 7 below plots all 7,231 properties on a graph showing their total score. The higher the risk scores the lower the quality of the asset. It also illustrates whether the property's composite score is a result of property quality factors or desirability factors and which grade the property falls into. The key point to note is that the lowest quality band, grade H, accounts for all out-lying properties from the general average risk scores.

Figure 7 - The current draft mapping of the asset scores



Opportunity Rating

Having considered the quality of each asset it is necessary to look separately at whether any homes have specific characteristics that mean their future should be considered. This is not necessarily the same as being a high or low quality asset. For example, a high quality property which in principle would suggest it should be retained may also have a very high market value which significantly outweighs its rental income over a 30 year period having considered management and maintenance costs. It may therefore be preferable to dispose of the property to realise that value. There are also a range of other

factors which may result in a property being flagged as offering an opportunity for an alternative use.

The first element to consider simply relates to the market value of a property, as outlined above. Consequently all properties with a value in excess of a certain value will automatically be identified as presenting an opportunity. Their sale would generate such a significant capital receipt for reinvestment in existing or new council housing that this may outweigh all other considerations relating to the property's quality as an asset. This does not mean the asset should be automatically disposed of – however, the option should be considered.

This decision has been taken in the context of government proposals in the 2015 Housing and Planning Bill to require councils to dispose of high value housing assets. Under the proposals the HRA will be required to make an annual payment to central government that will be calculated based on assumptions on the amount and turnover of high value homes. The detailed legislation that underpins the requirement is yet to be released and the number of homes affected will not become apparent until the calculation methods have been announced. Once the detail has been released housing will need to develop a strategy for implementation, highlighting how the required payment will be funded, and which high value assets will be prioritised for disposal in meeting that target.

In advance of the introduction of the legislation housing will seek to implement its own disposal programme of high value stock on relets to allow the Housing Revenue Account to retain the proceeds for investment in increasing the asset base. The property value thresholds at which homes will be disposed of when they become void will be set by housing's Senior Management Team, and regularly reviewed.

The other reasons for giving a property an Opportunity Rating are qualitative in nature, such as:

- Unlocks access to, or could be included in, a new development opportunity
- Has a particular maintenance issue non-specific to its construction type (eg high water table flooding, asbestos pod extensions, chronic irresolvable damp)
- Has a particular housing management issue (eg a concentration of challenging tenants, difficult access, poor internal layout)

These factors are important to highlight against individual properties as they may not be identified by the Asset Rating. As an example, a difficult to let home may have no property quality issues, and conversely an easy to let home may have long term structural problems.

To differentiate between the reasons that an asset has been given an Opportunity Rating they will also be given a code. These are determined as follows:

A – High value asset

B – Unlocks access to, or could be included in, a new development opportunity

- C – Has a particular maintenance issue non-specific to its construction type (eg high water table flooding, asbestos pod extensions, chronic irresolvable damp)
- D – Has a particular housing management issue (eg a concentration of challenging tenants, difficult access, poor internal layout)

The designating of properties as opportunities for intervention or disposal is an ongoing process to be undertaken by all housing staff. It ensures that a formal procedure to record such properties is in place as apposed to previously where a wealth of knowledge of the housing stock existed but only amongst individuals. Overall responsibility for the Opportunity Rating would sit with the Housing Strategy and Development Team, but all of housing would be empowered to recommend properties that should be added to the register. The aim is to embed a culture in all aspects of housing management and maintenance to take ownership of the asset base, to transfer their invaluable knowledge to create an evolving strategic overview of the housing stock.

4. Strategic framework

The key purpose of this plan is to ensure that all asset management decisions are taken within a clearly defined strategic framework, using the Housing Asset Register as the primary evidence base.

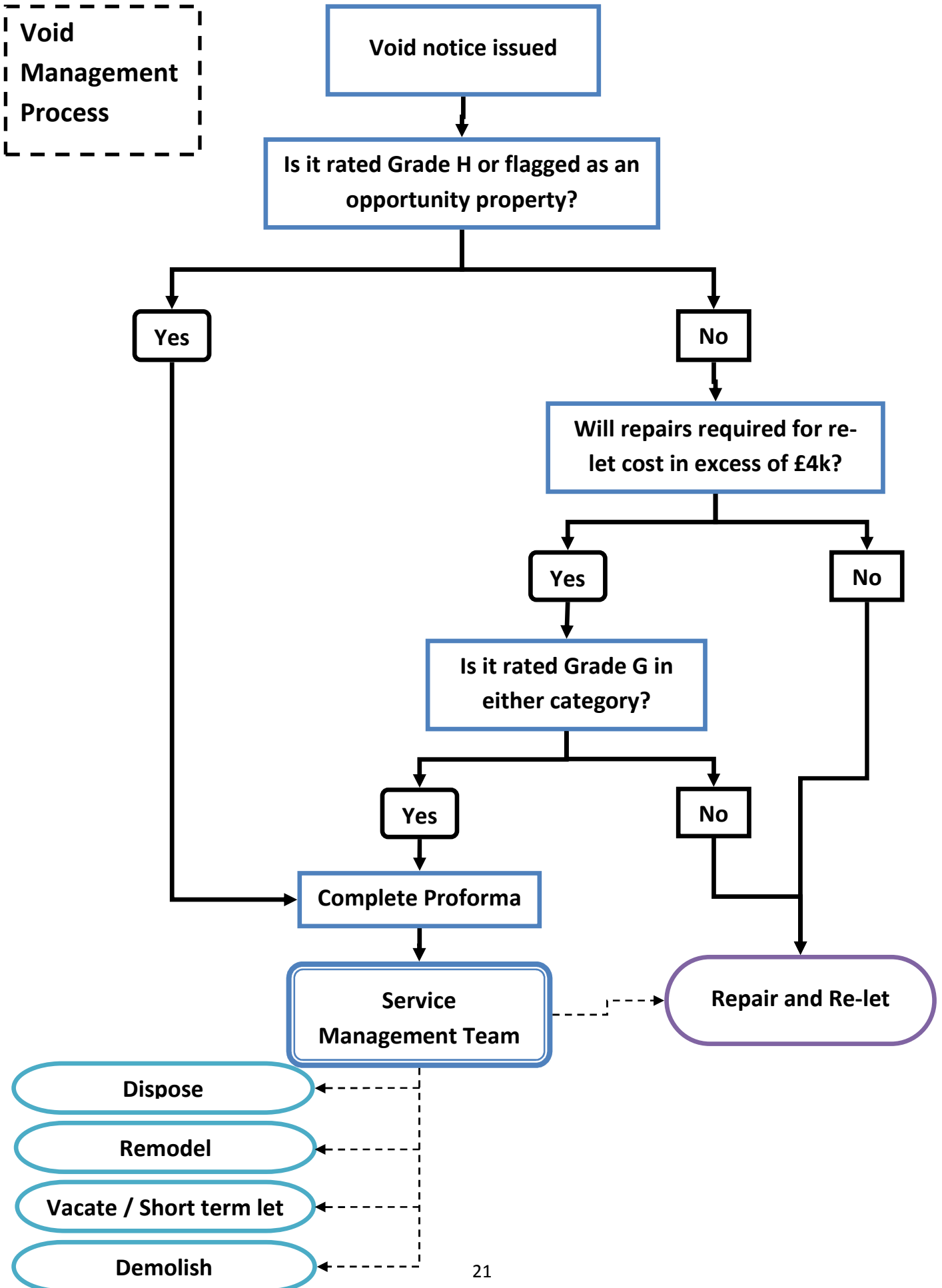
The register will be used for five primary purposes:

- To guide investment decisions when properties become void
- To guide investment decisions on planned maintenance
- To allow targeted interventions in poor quality stock or challenging areas
- To capitalise on wider opportunities that arise from integration with general fund projects and assets
- To identify sites and opportunities for new build development and regeneration

Decision making framework for void properties

The Housing Asset Register will inform all decisions on properties that become void. This is to ensure that every opportunity is taken to review an asset's worth without further money being spent on poor quality assets, and properties that would benefit from disposal or remodelling are not automatically re-let. It is vital that the process for making these decisions is taken quickly to avoid increasing costly void times. To this end a decision making framework has been developed to allow informed choices to be made. The framework ensures all properties with the lowest asset rating are automatically reviewed, and all but the highest rated assets are considered should the necessary repairs to the void before re-let exceed £4,000. This is the approximate average annual rental income across all properties, and is higher than the average repair costs for voids in 2014/15 of approximately £3,000. Consequently repairs exceeding this threshold are higher than the average cost and would take a full year of rent before the outlay would be recovered.

The following flow chart explains the decision making process that will be applied to all voids:



The above process will ensure that the future of any property that has been rated in the band of the lowest quality assets or an opportunity for disposal or intervention will automatically be considered when it becomes void.

One of the key issues with this process is that it must facilitate a quick decision to be taken. Any delay to the void turnaround period is not acceptable as it would result in increases in the costs associated with empty property. For that reason the decisions will be taken by a virtual group of officers drawn from Housing and Community Safety's Senior Management Team (SMT), namely the Head of Housing, Head of Building Maintenance, Housing Accountant, Housing Strategy Manager and Housing Landlord Manager. When a property has triggered the need for a SMT decision the proforma will be completed by landlord services and emailed to the appropriate members who will have two working days to make a decision as to whether to re-let or intervene. SMT will take a decision based on the agreed decision making framework

One of the actions to be taken forward from this strategy is to devise and implement the decision making framework. This will provide a clear framework to guide SMT in taking decisions on whether to re-let homes or pursue an alternative course. If a decision is taken to dispose of or demolish of a property a short paper will be taken to the council's Capital Asset Board for approval. Any decision to remodel, leave vacant, or allow a short term let can be taken by SMT.

Interventions

The second use of the Housing Asset Register is as a database to analyse trends and issues to guide investment decisions and potential interventions. It will allow the development of long term strategies for a whole range of asset and land related issues. The use of GIS mapping will be crucial in forming plans for interventions as it will identify clusters of problems and underlying trends.

Below are examples of areas that will be prioritised for consideration:

- Property types – there are 611 non-traditional property archetypes within the housing stock with varying degrees of long term structural problems. Some of these properties have already been upgraded with permanent solutions, others have had short-term fixes, and many have had no interventions at all and will require significant investment in the future. The Housing Asset Register will not only flag these properties, but also allow a cross-referencing of the overall quality of the asset. This will allow a decision to be taken as to whether the necessary investment works represent a good investment, or if a more radical solution may be needed such as demolition or disposal. All major investment decisions of this nature will be taken working in partnership between the Housing Strategy and Development Team and the housing maintenance team.
- Specific problems – there are a number of properties that have specific issues which are expensive to resolve or in some cases have no permanent solution.

These are not necessarily related to property type but geography, previous investment decisions, or design flaws. These cover a wide range of themes, examples being:

- Asbestos pod bathroom extensions
- High water table areas causing rising damp and under floor flooding
- Chronic and irresolvable damp
- Family accommodation on upper floor properties without lift access

Properties with such issues will be recorded and flagged through the Opportunity Rating, again allowing long-term strategies to be put in to place.

- Difficult to let properties – although the Asset Rating considers the letting history of properties this is only one of a number of indicators, and particular undesirable properties may not automatically show as poor quality assets. Consequently, housing management knowledge will also be applied to again flag particular properties that present letting problems.

Opportunities

The third use of the Housing Asset Register will be in identifying how HRA assets can benefit from or contribute to opportunities arising from integration and alignment with general fund projects. The council's general fund also has significant land holdings and assets which are often considered for specific projects, redevelopment or disposal. Through working directly with property services housing will be able to easily identify assets and land holdings in the vicinity of these opportunities through GIS mapping. This would allow sites which could be of strategic importance to housing to be identified, or where housing could contribute value to general fund projects. For example, this could:

- Increase the value of total council land
- Create a larger development site for new council housing (for example taking a small general fund site in areas of adjacent housing land or properties)
- Allow land transfers between the general fund and housing where strategically important to both parties

Regeneration and development

The council has ambitious plans to continue to add to the housing asset base and address housing need in the city by building new council housing. This resulted from the opportunities presented by HRA self-financing in 2012. To date the council have delivered 37 new council properties, with a further 22 to be built by the end of 2014/15. This is part of a first phase of new housing which will provide 90 new council properties across 7 different sites.

In addition to the new council housing, the council are demolishing and replacing an ageing homeless hostel that is no longer fit for purpose and extending Glen Lodge Extra Care scheme. The new homeless accommodation scheme will provide a mix of 39 new 1, 2 and 3 bed units and 18 new council homes for rent and will complete in early 2017. The extension of Glen Lodge will provide 25 new 1 bed apartments and 2 new bungalows and will complete in Spring 2017

The above schemes have a combined capital value of £22m, and will be funded through a range of sources including Right to Buy receipts, commuted sums, HCA grant funding and HRA Investment Fund. The main source of funding is through the HRA Investment Fund, which is a £20m fund created through surpluses in the HRA. To date £14.7m of that fund has been allocated as part of the £22m programme, although it is anticipated that further funding streams may be identified to reduce the level of HRA investment fund required. This leaves a minimum of £5.3m available for funding new HRA projects. When supplemented by Right to Buy receipts this increases to £6.9m, with further potential to increase with commuted sums and capital receipts.

The main barrier to building new homes is the availability of land. The limitations of the HRA land holdings and pressure to deliver capital receipts from general fund land means progressive measures are needed to build new high quality housing that is better suited to the city's housing need. This is likely to require the demolition of the poorest housing stock to replace with new homes. This also ensures that money is not wasted on poor quality long term liabilities that are not responsive to our tenants needs. The Housing Asset Register will serve a key purpose in identifying the potential opportunities for demolition and redevelopment. This will allow wider area masterplans to be developed and consulted on with local communities. This same approach will also be used to identify areas where regeneration is necessary to intervene in specific problems, whether stock condition or housing management related.

Strategy for spending Right to Buy receipts and other capital funding

To ensure that all the resources that are available for funding new HRA capital programmes are maximised a stand alone strategy is required to agree their best use. There are numerous funding streams available to the HRA to deliver new housing and improve the asset base, namely:

- Right to Buy receipts
- Commuted sums (money secured through planning gain and ring fenced for new affordable housing provision)
- Housing Investment Fund (money identified through the HRA for capital investment)
- Capital receipts from HRA land and other assets
- Homes and Communities Agency grant (secured through a bid process and for projects that have no Right to Buy receipts applied)

The purpose of this strategy is two fold; to ensure the available funding streams are maximised and deliver best value, and to ensure that all monies are spent within any restricted timeframes attached to their use.

The second of these is of particular importance. Right to Buy receipts are time limited and must be spent within 3 years of receipt or be returned to central government with interest payable, whilst commuted sums often have a 5 year restriction applied. It is therefore imperative that a strategy is in place to make sure these are spent within the timeframe and are not surrendered. To safeguard against this the Housing Strategy and Development Team have implemented a tracking and warning system to alert as deadlines for expenditure approach. To date all receipts have been identified for use within the timeframes, but the increasing nature of these funding streams means that a fallback position for their use is required should no specific new build project be identified for completing during that period. As an example this could be a programme of purchase and repair of individual homes from the open market if no use has been identified with 6 months to go.

The development and implementation of this strategy is a key work stream to be prioritised by the summer of 2016.

Resources to deliver the Strategic Asset Plan

There are a significant number of work streams emerging from this strategy. Some of these are short term and immediate to allow the strategy to become operational, such as establishing a decision making framework for the void management process, developing a strategy for the spending of Right to Buy and capital receipts, identifying and flagging opportunity rated properties in the Housing Asset Register, and GIS mapping the data in the Housing Asset Register.

There are then ongoing tasks associated with the strategy, including lead responsibility for updating, maintaining and developing the Housing Asset Register, acting as the key point of contact for all staff who want to identify a property for an opportunity rating, carrying out the decisions taken by SMT through void management control, and writing and implementing the strategy for the sale of high value assets as required by the 2015 Housing and Planning Bill.

Finally there is the long term strategic purpose to identify development and regeneration opportunities, interventions in poor stock and low demand areas, and opportunities arising from integration with general fund projects. The Housing Asset Register and GIS mapping provide crucial evidence bases to allow an ambitious approach to housing's asset management. Interrogation of the data will assist in delivering the aims of the HRA business plan, particularly in improving the existing asset base and developing new homes.

5. Conclusion

This Strategic Asset Plan supports and complements the council's Housing Revenue Account Business Plan. It sets out a clear vision for ensuring the council achieves its commitment to being an excellent landlord providing high quality homes in confident and successful communities. Taking informed strategic decisions regarding the council's asset base will allow resources to be targeted in the stock that best meets the need of the HRA business plan, maximising and applying investment to create in homes which people want to live.

The creation of a Housing Asset Register has provided a detailed evidence base that ranks the HRA asset base. It provides a clear evidence base for assessing the quality of an asset, having given regard to the built form and fabric, cost to maintain and desirability for existing and future tenants.

The strategic framework establishes the decision making processes that the council will use to achieve the five primary aims of the plan:

- To guide investment decisions when properties become void
- To guide investment decisions on planned maintenance
- To allow targeted interventions in poor quality stock or challenging areas
- To capitalise on wider opportunities that arise from integration with general fund projects and assets
- To identify sites and opportunities for new build development and regeneration

These aims will ensure that effective decisions are made at a strategic level to support the delivery of the HRA Business Plan

Finally, the action plan provide a clear outline of the future work streams to be implemented which will ensure strategic decision making regarding the future of the housing stock is embedded at all levels of the housing service.

6. Action Plan

Action	Reason	Timescale	Lead
Agree lead responsibility	To ensure that all actions identified within the Strategic Action Plan are successfully delivered, and that the potential of the plan to embed a strategic approach to decision making is realised	2 months	Assistant Director – Housing & Community Services
Establish decision making framework for the Void Management Process and high value stock thresholds	To provide a clear framework for Service Management Team in taking decisions on the future of void properties that are flagged as low quality assets or presenting an opportunity. This will ensure that decisions can be taken quickly by SMT and are consistent within agreed parameters.	3 months	Housing Strategy and Development Team
Develop strategy for the spending of commuted sums and Right to Buy and capital receipts	The purpose of this strategy is two fold; to ensure the available funding streams are maximised and deliver best value, and to ensure that all monies are spent within any restricted timeframes attached to their use.	3 months	Housing Strategy and Development Team
GIS map all data contained in the Housing Asset Register to all HRA assets.	To allow the wealth of data in the Housing Asset Register to be mapped city-wide. This will provide the opportunity to interrogate emerging patterns and geographical areas for targeted intervention. It will also allow properties to be assessed in relation to surrounding land opportunities, identifying development options both within the HRA and general fund.	5 months	Housing Strategy and Development Team

<p>Establish and update the properties to be given an Opportunity Rating through the Housing Asset Register</p>	<p>Work with staff across housing management and building services to identify assets that need to be flagged with an Opportunity Rating. This will ensure properties with particular characteristics that may mean their future use should be considered are clearly identified.</p>	<p>Initial set up 3 months; then ongoing</p>	<p>Housing Strategy and Development Team</p>
<p>Updating, maintaining and developing the Housing Asset Register</p>	<p>To regularly review and update the data sources that are used to rank an asset's quality score. The Housing Asset Register is a live evidence base, and many of the assessment criteria are based on data sources that are constantly changing. Furthermore, over time more suitable data sources and assessment criteria may emerge that improves the overall quality and accuracy of the evidence base.</p>	<p>Ongoing</p>	<p>Housing Strategy and Development Team</p>
<p>Action the decisions taken by SMT through the Void Management Process</p>	<p>It is anticipated that most properties taken to SMT for consideration over their future use will be simply re-let. However, when a property is identified for disposal, remodelling or demolition a report will need to be taken to Capital Asset Board and the agreed action carried out.</p>	<p>Ongoing</p>	<p>Housing Strategy and Development Team</p>
<p>Develop a strategy for the sale of High Value Assets once detailed legislation is brought forward</p>	<p>The 2015 Housing and Planning Bill proposes that local authorities will be required to sell their high value housing stock when it becomes void, returning the proceeds to central government. Indications are that this will be calculated on a formula based approach with local freedom to choose how best to meet the required payment. Once the detailed legislation establishes the parameters the council will need to adopt a strategy for implementing the policy.</p>	<p>6 months</p>	<p>Housing Strategy and Development Team</p>

<p>Apply the evidence base and GIS mapping to represent the Housing Revenue Account's interests on wider council projects</p>	<p>To ensure that opportunities are maximised on wider council projects. There are many schemes where the inclusion of HRA assets could contribute to the overall value of the project to the council. This could be through improving access or creating land parcels across both asset bases to form larger more valuable sites. It will allow a joined-up approach to the council's overall asset management programme.</p>	<p>Ongoing</p>	<p>Housing Strategy and Development Team</p>
<p>Identify opportunities for development, regeneration, and interventions using the Housing Asset Register</p>	<p>To apply the wealth of evidence created by the Housing Asset Register and GIS mapping to find opportunities to build new homes by replacing poor quality assets that do not meet the business, or tenants, needs. This is vital to achieve the HRA's development ambitions due to the lack of available land, and to ensure the HRA stock remains fit for purpose and investment is not wasted on low quality assets.</p>	<p>Long term</p>	<p>Housing Strategy and Development Team</p>
<p>Lead on community consultation and decant programmes for any regeneration programmes</p>	<p>Should any potential regeneration or redevelopment schemes be proposed then it is crucial that any decisions are taken in consultation with existing communities. If a scheme progresses a clear decant strategy would need to be introduced and managed.</p>	<p>Long term</p>	<p>Housing Strategy and Development Team</p>
<p>Introduce protocol for applying the Housing Asset Register in making future decisions on the adaptation programme</p>	<p>To ensure that decisions relating to expensive adaptations are fully informed so, for example, a low quality or high value asset which has high potential for disposal are not automatically adapted given the potential for losing the home.</p>	<p>3 months</p>	<p>Housing Standards Adaptations Manager</p>

Annex A - Assessment criteria

Cost to keep Decent (Capital Cost)

This indicator considers the planned work for the property over a 30 year cycle. This will typically include modernisation of key components as defined in Decent Homes guidance. Replacement of:

- Boiler, Kitchen, Bathroom, Electrical System, Heating System

Data Source

Asset Management Database (Strategic Asset Management)

The average cost over the last 5 years to modernise a property and keep Decent is **£13,900** per dwelling, this includes the typical measures listed above. Meeting the Decent Homes standard is required to be able to let the dwelling. Figures in excess of this average may indicate a poorer asset, however the size and layout of the property is also a factor.

Key Contact

Investment & Data Officer – Luke Richardson – Luke.Richardson@york.gov.uk

Data Quality

A 30 Year record of modernisation available from capital team records for most elements and properties. Property specific and archetype specific costs change over the modernisation cycle so this requires some modelling, in advance of modernisation to draw out the types of properties that are excessively expensive to modernise.

Score Profile

This Indicator is scored on with the average score at 1 (good). Any cost over the average should be considered a poorer asset. As the data is still developing, the notes identify the themes of work that are generating the scores.

Score	Threshold Amount	Notes
1	£13999-	
2	£14000	
3	£16000	
4	£18000	
5	£20000	
6	£22000	Property Needs Damp Remediation
7	£24000	
8	£26000	
9	£28000	Modernisation Imminent (Modernised in year 0 and 30)
10	£28001+	Full asbestos removal/refurbishment

Average Repair Cost (Revenue Cost)

This indicator considers the cost of repairs on a dwelling in the last 5 years. This will involve all works that do not involve replacement or major repair of a building element. For example, recovering 20% of a roof due to leaks or refitting a counter top in a kitchen.

Data Source

Repairs Management System (Servitor)

The 5 year average total repair costs have been collated and summed to grade each property on their repairs cost. If the property had no repairs, it could score 0, but most properties will require some maintenance or attention over 5 years. The scores are staggered in the lower bands to ensure properties that require less work score well.

Key Contact

Customer Support and Planning Team Leader – Phil Holme – Phil.Holme@york.gov.uk

Data Quality

All works booked through the works management system are logged through servitor by the customer support and planning team. Until 2014 this was done through the Housing management System (Northgate Housing – SX3). Currently, communal repairs are not apportioned to each property.

Score Profile

The scores are on a linear scale, but staggered in the lower bands to ensure properties that require less work score well. Properties will score very well if low cost.

They will score higher if spend is over £2500, which is equivalent cost to a full modernisation over the 5 years (~£13000)

Score	Threshold Amount	Notes
1	£499-	
2		
3	£500-£1,249	This is around the average cost (£600-£700 p.a)
4		
5	£1,250-£2,499	
6		
7	£2,500-£4,999	
8	£5,000-£10,000	
9	£10,000-£14,999	Similar cost to modernise in one year
10	£15,000+	More expensive to repair than to modernise in one year

Structural/Long Term Defects Score

This indicator considers the inherent issues a particular property or type of property may have. This is in comparison to a traditional build property because of the increased costs associated with these types of property relating to their non-traditional construction types.

Data Source

Asset Management Database (Strategic Asset Management)

This is a forward looking score that flags existing known issues in properties. For example structural failures in steel framed properties or buildings with reinforced concrete columns. These properties are more likely to corrode at the frame, with major works needed to strip and rebuild or re-clad the building if this happens.

This score will identify the uplifted repair requirement from an average traditional home. The Capital team have created a risk matrix which scores the properties, mapping their financial risk to their likelihood of failure.

Key Contact

Contracts Manager – Nick Ross – Nick.Ross@york.gov.uk

Data Quality

The types of property in the portfolio were assessed by LHL in 2005 so this is dated but robust. The problems linked to certain archetypes have not been collated into one central record historically, but some existing programmes of work, on non traditional build types and focussed property specific schemes have been informed by this knowledge.

Score Profile

Any property that has a known deviation from traditional building methods (Not Modern Methods of Construction) is given a score based on its risk in terms of likelihood failure and potential cost to remediate.

Score	Threshold Amount	Notes
1	Traditional Build	
2	Non-Traditional conversion	Converted Airey Housing – as traditional
3		
4	Ext Clad & Strengthened	Most Non-Traditional now as improved
5		
6		
7		Treated Orbits – External wall
8		
9	Non Traditional	Steel framed concrete section/ Steel or Timber Framed and Clad (Non refurbished)
10	Asbestos “Pod”	Steel Frame with asbestos cladding. Orbits (Concrete Block & Steel frame) untreated are designated defective.

Energy Efficiency Rating

This indicator follows the Standard Assessment Procedure for Energy efficiency that identifies a properties inherent energy efficiency, and scores it from 1-100, with 1 having poor energy efficiency and 100 being highly energy efficient.

Data Source

Asset Management Database (Strategic Asset Management - Energy Module)

The SAP rating is calculated on an annual basis and refers to the properties most recent Energy Performance Certificate (EPC) if available. As this is a standard approach; location, size and property specific information is part of the calculation.

Key Contact

Investment & Data Officer – Luke Richardson – Luke.Richardson@york.gov.uk

Data Quality

Around 30% of the housing stock will have had an EPC due to the property being void, then let since 2008. The rest of the dataset has had a SAP calculator tool applied as part of the annual Local Authority Housing Statistics (LAHS) reporting.

Score Profile

The scaled score is in line with the Standard Assessment Procedure (SAP) in use nationally since 2005. This highlights the properties that are cheaper to run (higher SAP). The lowest scorers are skewed as the dwelling will not be lettable in 2018 if not better than this rating.

Score	Threshold Amount	Notes
1	86-90	Any Higher will receive a 0
2	82-84	
3	79-81	
4	76-78	
5	74-75	Average CYC – top quartile for social housing
6	71-73	Average CYC
7	67-70	
8	61-66	Social Housing Average
9		Purposefully blank to skew un-lettable properties
10	60-	Un-lettable by 2018 (55 SAP Points – Standards rise over time)

Housing Health & Safety Rating System (HHSRS)

This is a scoring system that assesses the safety of a dwelling and forms part of the Decent Homes standard. If category 1 hazards were found in a home (A,B and C bandings), immediately the home would become non-decent – this rating is to collate the rest of the data that does not result in an automatic fail.

Data Source

Asset Management Database (Strategic Asset Management)

This score looks to profile the house on its health and safety credentials with both long term issues such as damp and mould and shorter term issues such as trip and slip likelihood assessed. There are 30 different criteria ranked A (High Risk) to J (Low Risk). J's were allocated 0 points and A's were allocated 10 Points.

This can be a time intensive process so usually the most severe areas of risk are assessed by the assessing party. For example trips and falls assessed if floors are uneven or damp and mould growth if this is an issue in the home.

Key Contact

Investment & Data Officer – Luke Richardson – Luke.Richardson@york.gov.uk

Data Quality

Most dwellings have been scored on their age and building type with few being done by environmental health. Environmental Health uses the HHSRS as an enforcement tool. The dwellings have been assessed on worst case scenario with the most vulnerable tenants modelled in the dwelling. The assessment is therefore robust and tenant neutral.

Score Profile

This is a scaled score with the average lowest rating of risk “J” at 1 and the highest risk A at 10. A rating of 6 or more is likely to include a Decent Homes Failure.

Score	Threshold amount	Notes
1	31	Average J – Lowest Rating Less than 31 would score 0
2	63	
3	95	
4	127	Average G – Most stock below this rating
5	159	
6	191	
7	223	
8	255	Average C – Fail Decent Homes
9	287	
10	319	Average A – Fail Decent Homes

Accessibility

This indicator looks to identify properties that are not accessible to tenants that have mobility problems.

Data Sources

Asset Management Database (Strategic Asset Management)

Environmental Health/Health & Safety Database (Flare)

Properties that are not accessible at ground level are well documented in the databases, however lifts and internal modifications can greatly improve access, this not recorded comprehensively at present.

Key Contacts

Investment & Data Officer – Luke Richardson – Luke.Richardson@york.gov.uk

Housing Standards and Adaptations Manager – Ruth Abbott – Ruth.Abbott@york.gov.uk

Data Quality

The rating is based mainly on the floor level of the property but will look to incorporate more elements that support council policy such as widened openings, raised sockets, level access showers and push button doors.

Score Profile

At present this is a threshold score, but needs some consideration as to how to better integrate other accessibility issues. As housing needs vary and are typically tenant specific, this may be better indicated in the opportunity score, with the physical access assessed within this matrix.

Score	Threshold Amount	Notes
1		Ground Floor Flats
2		Houses
3		
4		
5		
6		External walkway access'
7		
8		First Floor Flats
9		
10		Flats above the first floor (2 nd 3 rd Floors)

Bids per Dwelling

How many bids a property receives from the tenants when the property is a proxy of the desirability of the dwelling to York tenants. The fewer bids received on a property, the less likely the property is to be let and therefore the asset is poorer than one with many more bids.

Data Source

North Yorkshire Home Choice Bid Database

The average bids per property are only to be apportioned by postcode for types similar in the locality. Averaged figures will not give significant enough resolution to define areas that are more or less desirable to the tenants.

Key Contact

Housing Development Coordinator – Andrew Bebbington – Andy.Bebbington@york.gov.uk

Data Quality

This uses actual data from the North Yorkshire home choice portal on bids per dwelling. The data is live and accurate but there are matching errors between the council's dataset and the separately held database. There is currently no standardised referencing system which we would have to work with our partners to bring together. As the bids are indicative, there is not need to move from a linear scale to identify the best and poorest assets.

Direct exchanges must be excluded as the nominal "1" bid would skew the properties ranking and the area average.

Score Profile

This is a linear score where data exists (the majority of dwellings do not have a score). Where data is not held on a property; an average score by postcode is calculated following bids on similar properties in that postcode area. For example 2 bed houses in that postcode area will be shared with other 2 bed houses, not standardised over 1 bed flats and 3 bed houses.

Score	Threshold Amount	Notes
1	250+	Maximum Bids
2	200-249	
3	150-199	
4	100-149	
5	50-99	
6	40-49	
7	30-39	
8	20-29	
9	10-19	
10	0-9	0 Bids

Days Void

The days void was the original reported data we were looking to establish tenants views on desirability; on reflection this is not as useful as frequency as the number of days can be for a variety of reasons and not necessarily in different periods, with the associated costs.

A key issue with the days void data is that a good asset, where a tenant is sitting for 30 years is ideal but as soon as it becomes void, assuming the tenant has refused work, it may need a full modernisation, refurbishment and all of the normal associated void costs. This takes time and will extend the days, however the asset must have been reasonably good or the tenant may not have stayed in the property for so long.

Data Source

Housing (Tenancy) Management System (Northgate Housing –SX3)

Properties that do not become void receive a score of 0 and then the average amount of void days (14) is used as a floor to see where excessive void days have occurred. This could be linked to key asset investment or major repairs to the property.

Key Contact

Business Support Officer – Ian Smithies – Ian.Smithies@york.gov.uk

Data Quality

The data is sound. Complications occur where the housing stock is rotated into temporary accommodation in order to supplement housing needs in that area. New build properties are added to the database on the proposed handover dates so are also mis-recorded within the database. Where data exists, the average figures were not sufficient to fill the gap as not every property has been void in the past. No gaps will be filled past actual data on this indicator.

Score Profile

This is scored on deviation from average, with the usual expected time, below 20 days scored as 1 (good asset score).

Score	Threshold Amount	Notes
1	1-20	Typical target range
2	19-28	
3	29-38	
4	39-48	
5	49-58	
6	59-68	
7	69-78	
8	79-88	
9	89-98	
10	99+	

Frequency of Void

The frequency that a property becomes void is a key indicator of desirability, but also or the associated cost of the property going through the void process on a more than average basis. A void property usually leads to repairs to the property, a period of no income and all of the associated officer time to re-let the property.

Data Source

Housing (Tenancy) Management System (Northgate Housing – SX3)

Properties that do not become void receive a score of 0 and then the average amount of void (~1) in five years will receive a rating of 1. Any more than the average and the scale is skewed to pull out the most persistent void properties.

Key Contact

Business Support Officer – Ian Smithies – Ian.Smithies@york.gov.uk

Data Quality

The data is sound. Complications occur where the housing stock is rotated into temporary accommodation in order to supplement housing needs in that area. Where data exists, the average figures were not sufficient to fill the gap as not every property has been void in the past.

Score Profile

The score is calculated as a deviation from the average time a property becomes void. This is currently ~1 turnover in 5 years.

Score	Threshold Amount	Notes
1	1-9	Properties that have not become void will score 0
2	10-19	
3	20-29	
4	30-39	
5	40-49	
6	50-59	
7	60-69	
8	70-79	
9	80-99	
10	100+	

Strategic Housing Market Assessment

This indicator is to consider the housing need generally across the city in new build/ private and council properties

Data Sources

The Strategic Housing Market Assessment

This report forms part of the planning criteria for new build properties in the City. This measures the housing need profile in the city specifically. The report is dated, however the most recent report found there was a surplus of 1 and 2 bed houses and a shortage of 3 bed houses in the City.

Key Contacts

Housing Strategy Manager – Andy Kerr – Andy.Kerr@york.gov.uk

Data Quality

At the point of publication and still in planning terms, the document carries “materiality” having to be considered when building new houses in the City. The council cannot build to the current housing need but could use the city wide context to inform acquisition and disposal decisions based on SHMA data.

Score Profile

Scored on deviation from average, this is 0, or demand meeting supply

Score	Threshold Amount	Notes
1	-11	Most Desirable – Deficit
2	-4	
3		
4	-1	
5	0	
6		
7		
8	16	City of York’s least desirable
9		
10		Least Desirable - Surplus

Annex B – Non-traditional dwelling guide

British Iron and Steel Federation (BISF) housing

Westfield Ward, Acomb

Designed by Sir Frederick Gibbard and built in Britain from 1946. As built, these are tubular steel framed houses clad with steel sheeting and some concrete. The roof is also steel. BISF houses are mortgage-able as built and were designed as permanent structures. There are approximately 31,500 units in the UK.

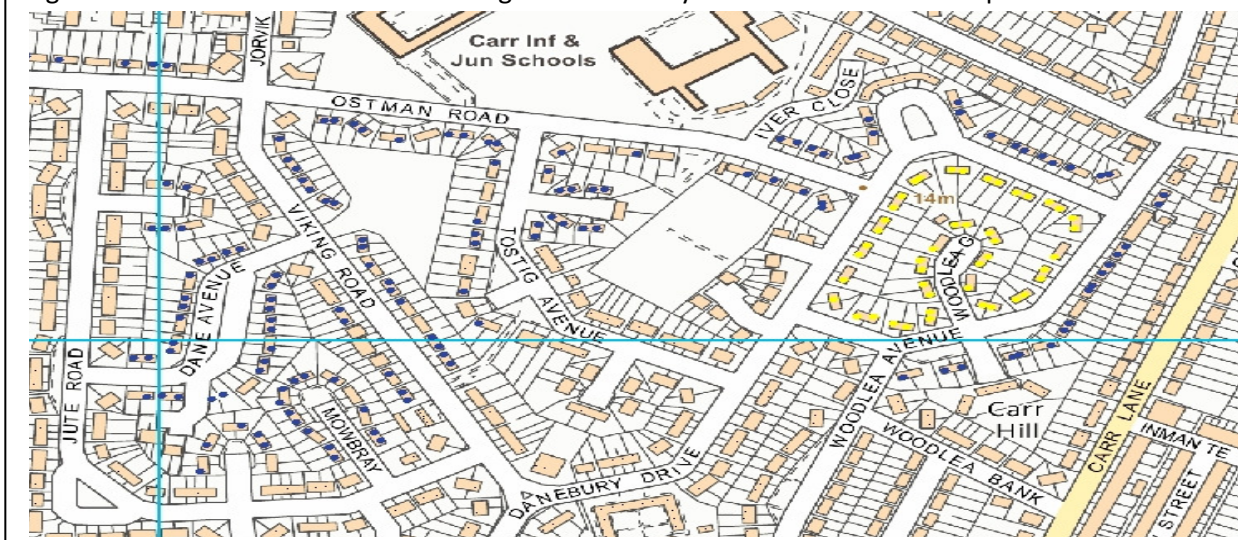
Figure 1 - An example of a BISF house on Danebury drive



From 1996 to 2000 City of York Council have done major projects to refurbish the dwellings;

- External Wall Insulation & Render
- Roof Replaced – Lightweight Decra
- Windows Replaced

Figure 2 - Council Tenanted BISF Housing is identified by the blue dots on the map below



Howard Housing

Westfield Ward, Acomb

Designed by Sir Frederick Gibbard and promoted by John Howard & Company. The Howard construction is a Steel framed house with concrete prefabricated sections. They also contained asbestos cement in some of the cladding. There are approximately 1500 units in the UK.

Figure 3 – An example of Howard Housing on Woodlea Grove



Around 2001, City of York has done major projects on Howard housing including:

- External Wall Insulation & Render
- Roof Replacement
- Window Replacement

Figure 4 – Howard housing is identified with a yellow marker



Spoooner Housing

Dringhouses & Woodthorpe Ward

Spoooner housing is timber framed construction but looks as traditional housing with brick/render external walls.

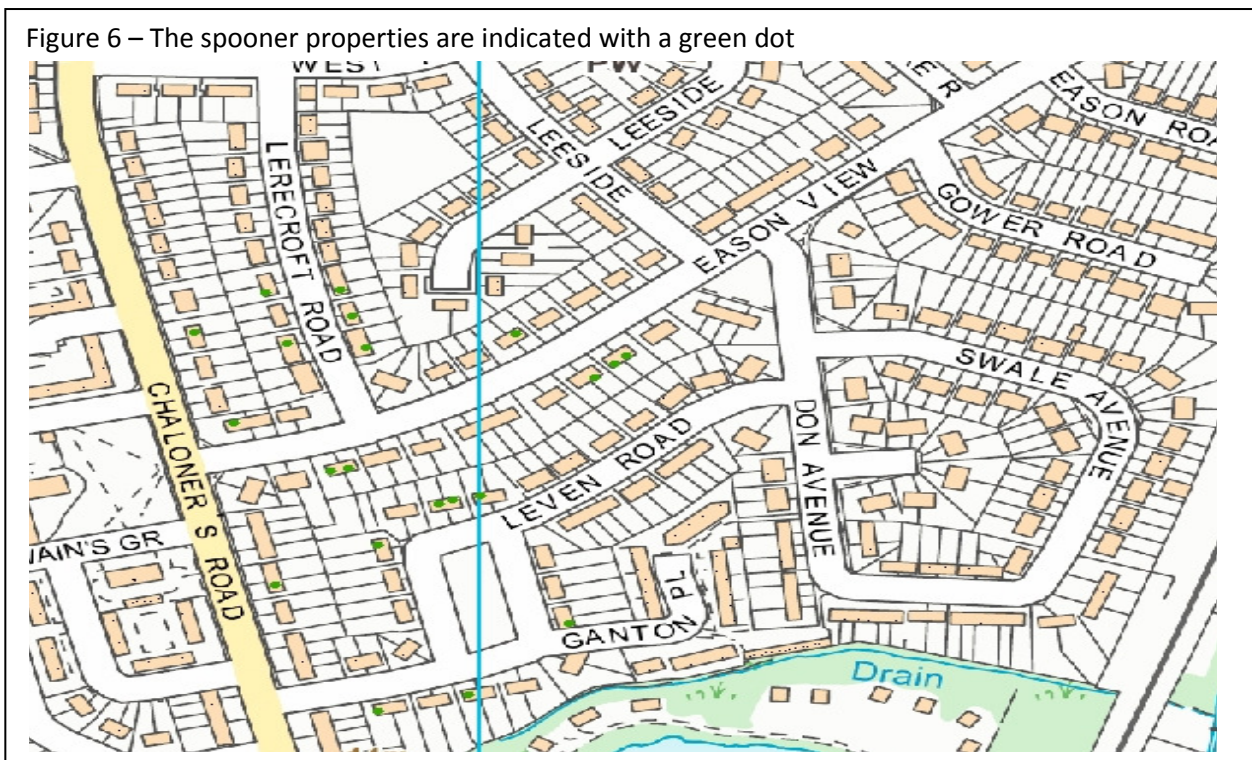
Figure 5 – Showing a spoooner type property on Leven Road



City of York has done the following work since 2000:

- New Roof
- New Windows

Figure 6 – The spoooner properties are indicated with a green dot



Dennis Wildes

Hull Road, Tang Hall

Dennis Wilde properties have a skeleton steel frame. On the ground floor, a near traditional narrow cavity wall and on the upper floor a very narrow block cavity with hanging tiles or render finish

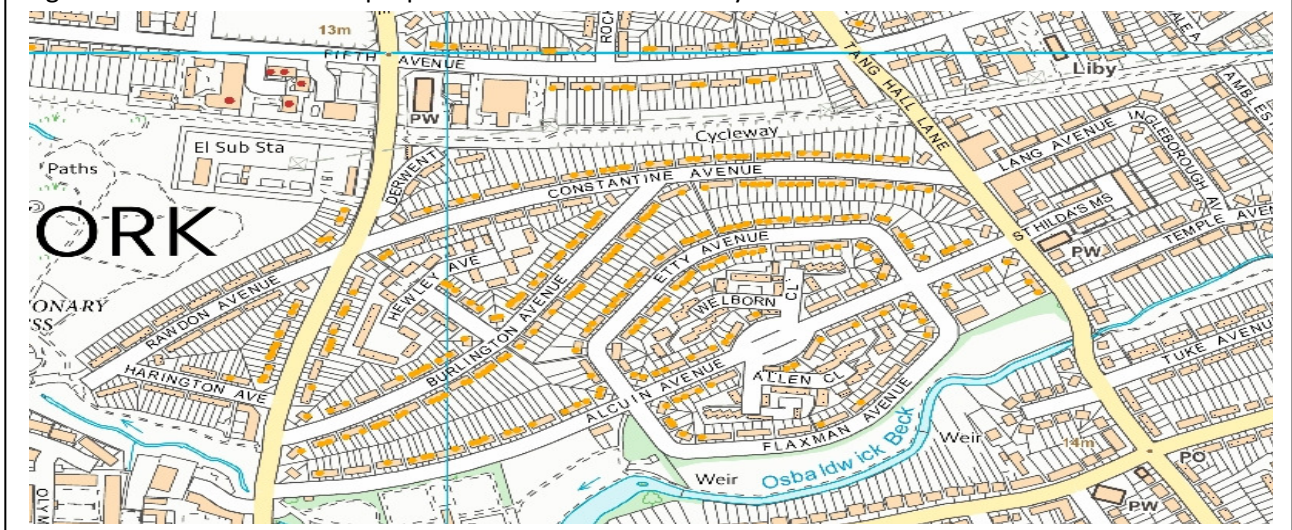
Figure 7 – Showing a Dennis Wilde Property on Burlington Avenue



City of York has completed the following work since 2000

- Cavity sections filled
- Some external rendering with thermal board
- Some damp issues remediated on eaves
- Vertical tiles on Etty and Fifth Avenue removed and rendered

Figure 8 – The Dennis Wilde properties are identified with a yellow dot



Orlit

Heworth

Erwin Katona designed the precast Reinforced concrete housing, with 85000 units built in the UK. They are built with a concrete column structure and faced with concrete slab. Interlocking slabs form the internal face. Orlits are reinforced concrete so have steel within the precast sections. Over time the concrete and steel joins can degrade and fail.

As built the Orlits are deemed defective (Housing Defects Act 1984)

Figure 9 – An Orlit property



City of York have done major work on the Orlit Housing since 2011, including:

- Structural Repairs
- New Windows
- New Roof
- Reinforced & Lowered Chimneys
- Cavity Wall Insulation

Figure 10 – The green dot show the location of the Orlit Properties



Airey Housing

Bishopthorpe

Developed by Sir Edwin Airey, Airey houses are constructed with Pre-Cast Reinforced concrete columns and ship-lapped concrete wall panels. Airey's were designed as permanent housing. Around 26000 units were built in the UK.

Figure 11 – Airey houses in Derwentthorpe as built (top) and post 2014 conversion (bottom)



City of York in 2014 refurbished the Airey homes significantly to make them as traditional:

- Internal breeze block wrapped around existing concrete column frame
- New Windows & Doors
- External Brick around existing envelope and Cavity introduced
- New Roof
- Cavity Wall and loft insulation

This page is intentionally left blank

SECTION 1: CIA SUMMARY
Community Impact Assessment: Summary
1. Name of service, policy, function or criteria being assessed:

Housing Revenue Account's Strategic Asset Plan

2. What are the main objectives or aims of the service/policy/function/criteria?

The Strategic Asset Plan provides a clear and practical vision for ensuring the council maximises the opportunities from its asset base. It considers a wide range of information and data to rank every council housing asset based on their quality, desirability, financial worth and potential. This Housing Asset Register provides a detailed database which will form the basis of all investment decisions and ensures that a culture of long term strategic decision making is embedded within the organisation.

The strategic framework establishes the decision making processes that the council will use to achieve the five primary aims of the plan:

- To guide investment decisions when properties become void
- To guide investment decisions on planned maintenance
- To allow targeted interventions in poor quality stock or challenging areas
- To capitalise on wider opportunities that arise from integration with general fund projects and assets
- To identify sites and opportunities for new build development and regeneration

The plan will help the council achieve its commitment to being an excellent landlord providing high quality homes in confident and successful communities in which people want to live. Taking informed strategic decisions regarding the council's asset base will maximise and target resources towards meeting the following objectives:

- Continual improvement of the quality and sustainability of the council's housing stock
- Increasing the quality of the asset base through the building of new homes
- Ensuring a strategic decision making approach underpins all investment decisions
- Embracing our role as landlord by investing in our estates to create

successful communities

3. Name and Job Title of person completing assessment:

Andy Kerr, Housing Strategy Manager

4. Have any impacts been Identified? (Yes/No)

Yes

Community of Identity affected:

Disability

Summary of impact:

Properties with poor accessibility are scored lower when assessing their quality as an asset, accounting for the housing needs of those with limited mobility.

5. Date CIA completed: 24/11/15

6. Signed off by: Steve Waddington

7. I am satisfied that this service/policy/function has been successfully impact assessed.

Name:

Position:

Date:

8. Decision-making body:

Date:

Decision Details:

Send the completed signed off document to ciasubmission@york.gov.uk It will be published on the intranet, as well as on the council website.

Actions arising from the Assessments will be logged on Verto and progress updates will be required

Community Impact Assessment (CIA)

Community Impact Assessment Title:
Changes to the Travellers Allocation Policy

What evidence is available to suggest that the proposed service, policy, function or criteria could have a negative (N), positive (P) or no (None) effect on quality of life outcomes? (Refer to guidance for further details)

Can negative impacts be justified? For example: improving community cohesion; complying with other legislation or enforcement duties; taking positive action to address imbalances or under-representation; needing to target a particular community or group e.g. older people. NB. Lack of financial resources alone is NOT justification!

Community of Identity: Age

Evidence	Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)	
	Standard of living Identity, expression and self respect Health Productive and valued activities	None	None	
Details of Impact	Can negative impacts	Reason/Action	Lead Officer	Completion Date

	<i>be justified?</i>			

Community of Identity: Carers of Older or Disabled People

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
		Standard of living Identity, expression and self respect Health Productive and valued activities	None	None
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Disability

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
Homes that do not provide access at ground floor level or lift access or often unsuitable for people with limited mobility		Standard of living Identity, expression and self respect Health Productive and valued activities	P	None
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date
One of the criteria's used to assess the quality of an asset as part of the Strategic Asset Plan is the accessibility of a property.		Properties that have poor accessibility will be given a lower score as they would be a less suitable homes for someone with mobility issues, and this could lead to the disposal of property with money invested in better homes.		

Community of Identity: Gender

Evidence	Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
----------	----------------------------	----------------------------	-------------------------

			None	None
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Gender Reassignment

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
			None	None
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Marriage & Civil Partnership

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
			None	None
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Pregnancy / Maternity

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
			None	None
Details of Impact	<i>Can negative impacts</i>	Reason/Action	Lead Officer	Completion Date

	<i>be justified?</i>			

Community of Identity: Race

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
			None	None
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date
I				

Community of Identity: Religion / Spirituality / Belief

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
			None	None
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Sexual Orientation

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
			None	None
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

--	--	--	--	--



Executive

11 February 2016

Report of the Acting Director of City and Environmental Services

Portfolio of the Executive Member for Transport and Planning

Parking Review**Purpose**

1. To provide Members with an overview of current car parking provision and operation.
2. Consideration be given to the work to date on the “Pay on Exit” trial undertaken on Marygate car park and determine next steps.
3. To seek Members approval to develop a City wide Parking Management Plan with a private sector partner.

Recommendations

4. The Executive is requested to:
 - I. Approve the development of a City wide Parking Management Plan and priorities to be the subject of approval by a further report to Executive.
 - II. To continue the Marygate Pay on Exit provision and approve the principle of procuring a partner to develop proposals for the development and implementation of the Parking Management Plan in respect of off street parking. This would be subject to a further Executive report.
 - III. To approve the transfer of parking enforcement operations from the Community and Neighbourhoods Directorate to City and Environmental Services.

Reason:

- a) To start the development of a parking policy context and Parking Management Plan for the provision of off street in the future.
- b) To bring more commercial expertise and acumen to bear on the Councils car parking estate.
- c) To seek to better align the City's car parking provision within the Councils policy ambitions.
- d) To start to consolidate the management of parking operations within the council.

Background

Current Parking Provision

5. The City of York Council's Parking Services is responsible for overseeing the management and operation of 13 public car parks providing approximately 2,500 off-street parking spaces and 5,000 linear metres of on-street pay and display parking. It also administers the city's Resident Parking Scheme (ResPark) covering 27,000 linear metres of streets equating to 5,400 parking spaces and generates an income in the order of £7million per annum. At Appendix 1 is a more detailed summary of the Council's current car parking provision and the context in which it operated and managed.

Policy Context

6. Parking management is defined¹ as the strategic application, and use, of existing and planned parking spaces, both on-street and off-street, in a given area. Parking management is a system management tool which addresses how vehicles access, use (length of time) and egress from parking spaces. These tools include the:
 - I. Designation of long term and short term parking.
 - II. Charging strategies.
 - III. Payment technologies.
 - IV. Application of technologies in facilities that optimise use within a limited area.

¹ Palmer Ferris Transport Research Laboratory 2010

- V. Implementation of parking demand management strategies to encourage multiple use of parking facilities.
7. Implementation of parking management strategies includes parking demand, supply, pricing, safety issues and location issues. It needs to consider economic and financial feasibility issues, site characteristics, locational features and compatibility with surrounding uses as well as market and regional issues.
8. It is through the application of a York specific Parking Management System that policy objectives could be achieved in the City. The Policy objectives that the Council currently has in this area are however very high level and not well developed when considering the above definition. Starting with the Council Plan it's main focus is on three key priorities:
 - I. a prosperous city for all - where local businesses can thrive and residents have good quality jobs, housing and opportunities.
 - II. a focus on frontline services - to ensure all residents, particularly the least advantaged, can access reliable services and community facilities.
 - III. a council that listens to residents - to ensure it delivers the services they want and works in partnership with local communities.

and specifically the following areas are identified upon which Parking Management could have an influence:

- IV. Cut the city's carbon emissions.
- V. Steps taken to improve air quality.
- VI. Efficient and affordable transport links enable residents and businesses to access key services and opportunities.
- VII. Environmental Sustainability underpins everything we do.
9. The Council's Local Transport Plan 2011-31 identifies that the transfer of inward commuting and visitor trips to the Park and Ride service, combined with restricting the availability of city centre parking, will remain a key strategy for reducing trips in the urban area.

10. Although the Council's Local Plan has yet to be agreed and is therefore subject to change, the latest draft, (as considered by the Council's Executive on 25th September 2014), expresses the following view in respect to Parking:

“The management and control of car parking spaces are essential components of an effective transport strategy. Parking control by both capacity and price has historically been, and will continue to be, used in York, where City Centre charges are used to encourage long-stay parking at Park & Ride sites or other more peripheral car parks and to support the local bus services. The Council will continue to support affordable access for short-term business and personal trips that are essential to the economy of the city. At the same time further work will be initiated to provide more designated spaces for lower emission vehicles in City Centre car parks, to try and improve air quality in the heart of York.”

11. Therefore in terms of the city's current parking policy, little actually exists other than high level strategic objectives around sustainable transport. This is reflected in the current car parking provision detailed in the synopsis at Appendix 1 and is accompanied by a very rudimentary pricing strategy.
12. Whilst this approach has historically not been unusual for Local Authorities and has served the Council and other Cities well the situation has changed rapidly in the last 10 years. Private sector car parking technologies, competition to the high street from the internet, increasing sustainable transport objectives and the difficult public sector financial position have all led to a position where the Car parking provision in York is now looking out of date and could do far more to meet the Council's policy objectives with the deployment of the right technologies.

Marygate car park trial

13. This policy and operational deficit has also contributed to the perception led by York's business community that the “Pay and Display” system in York's car parks are adversely affecting trade and the economic viability of the city centre, due to users having to “predict and pay” for their length of stay as they arrived at a car park. In view of this and in response to approaches from the city's retail sector the Council has also been trialling Pay on Exit system of operation at Marygate Car Park, one of its off-street car parks. The trial allows users to pay at the end of their stay as they leave the car park, rather

than pay upon arrival when parking their vehicle. The purpose of the trial was to assess what impacts of a Pay on Exit system would have on the day to day operations and usage. This could then be used to inform the wider implications of introducing the system more widely across other off-street city centre car parks. It should be noted that the Pay by Phone system already in operation does facilitate customers to top up any parking charges without having to return to their vehicle.

14. A summary of the Marygate trial including an analysis of options for Marygate are at Appendix 2. The trial commenced in July 2014 and was extended to July 2016 however operating only one car park has proven challenging due to the lack of economies of scale and the complimentary investment in technologies that the private sector use to bring the advantages of Pay on Exit to their operations. With this in mind there are 3 realistic option to consider as the end of the trial approaches:
 - i. Expand the Pay on Exit system across other car parks
 - ii. Continue with the trial for further assessment
 - iii. Remove the Pay on Exit and revert to Pay and Display
15. The analysis of the options in summary concludes that continuation of the Marygate Trial is the preferred option at this time. The evidence base that the Council has from the trial is insufficient to warrant expansion of the Pay on Exit scheme. This is due to the challenges of the trial on a single site with no economies of scale which gave officers a steep learning curve of how to operate a Pay on Exit car park and when combined with a number of events during the trial the results cannot be considered as robust. The contribution of Marygate Pay on Exit will allow further data to be gathered and whilst challenges still exist officers' ability to manage the Marygate Pay on Exit has improved significantly.
16. In light of this position and in order for the Council to continue to explore the development of its car parking estate it is proposed that members consider the need to bring economies of scale, commercial acumen and dedicated management expertise to its car parking assets. Bringing this expertise to bear must not however underestimate the value of the car parking estate and therefore how this expertise is delivered and in what context will be a key consideration for Members.

Development of a Parking Management Plan (PMP)

17. There are a number of ways that the development of the off street parking and back office functions elements of a parking management plan could be made and an analysis of models for delivery has been undertaken at Appendix 3. The following possible models of operation have been considered in this.
 - a. In-house provision
 - b. Contract Out
 - c. Licence arrangement
 - d. Franchise
 - e. Joint Venture (Special Purpose Vehicle)
 - f. Term Maintenance Contract

18. *This analysis in summary concludes that in order to capture the opportunities of modernisation whilst sharing risks, expertise and economies of scale that the creation of a Special Purpose Vehicle (SPV) partnership should be explored further including the development of a more detailed business case and if possible governance structures. It is then proposed that the Councils current high level policy objectives are considered by the partnership SPV and brought forward to produce proposals for the elements of the parking management plan as indicated in paragraph 17 above.*

19. Whilst this option see's the Council retain risks associated with the car parking operations it would significantly mitigate the risks associated with the necessary transformation and upgrade of the Council's off street parking offer through a high level risk sharing partnership. The opportunity to bring commercial expertise and risk sharing to the development of the Council's car park management plan and sustainable transport objective will ensure that the plan reflects best practice. An SPV partner may also give the opportunity to expand the proportion of the City's car parks subject to the parking management plan.

Immediate operational arrangements

20. The current Car Parking arrangements detailed in Appendix 1 at an organisational level sees the Car Parking function effectively split across three Council Directorates with enforcement falling under Communities and Neighbourhoods, Services (CANS) under City and Environmental Services

(CES) and Customer services under Customer and Business Support Services (CBSS).

21. In order to start the journey towards the development of a city wide parking management plan it is proposed as an initial step that the enforcement and strategic functions are merged into CES and that whilst not moving directorate that the customer services are also considered as part of the requirements of the procurement of an SPV partner.

Summary

22. The Council has developed its practical parking policy and pricing in a piecemeal fashion over a number of years in the context of an overall sustainable transport objectives.
23. In recent years this approach has been recognised as deficient and the Marygate trials have been commissioned to understand next steps. Should Members agree that the Marygate pay on exit continues this will provide more evidence for the development of future options envisaged in this report.
24. The report recommends that the development of a PMP and its implementation for off street parking is developed by exploring the creation of an SPV to bring commercial expertise and risk sharing opportunities to the Councils operations and policy development.
25. That as an immediate operational action the enforcement and strategic elements of parking provision are consolidated into the CES Directorate and that the customer service provision within CBSS is considered as part of the SPV PMP proposals.

Council Plan

26. The proposals in this report are intended to as detailed earlier to take the high-level Corporate Plan objectives and other policy priorities identified and develop them into a more detailed policy and implementation tool as a Parking Management Plan (PMP).
27. The development of a PMP is timely in that when the final details of the Local Plan have been agreed and a greater certainty surround regional devolution it is likely that a review of the existing transport strategy as outlined in the City of York Local Transport Plan 2011-2031 will need also need to be

revised and a developed PMP will contribute significantly to this document and its objectives.

Implications

28. The following implications have been considered:

- (a) **Financial** – The initial financial implications of this report will be contained within existing budgets based upon the proposed increases in car parking charges for 2016-17 as costs are principally associated with the procurement of an SPV partner and consultation exercises. The costs of these activities can be contained by using existing staff resources however the limited staff resource available will lead to these activities not commencing until later in the 2016/17 financial year. If a more immediate start is required then additional resource will need to be brought to bear and an initial estimate of £75k would be the order of funding necessary to bring in external legal and technical capacity to develop these proposals.
- (b) **Human Resources (HR)** – There are no human resource implications at this stage as the transfer of the enforcement function is intended only to provide a more coherent management approach to the Councils parking function.
- (c) **Equalities** – There are no equality issues to consider at this stage however the development of the PMP will need to include a detailed Equalities Impact Assessment.
- (d) **Legal** – There will be a need for detailed legal input into potential governance structures as well as in relation to the procurement of any partner and the creation of a special purpose vehicle.
- (e) **Crime and Disorder** – There are no Crime & Disorder implications.
- (f) **Information Technology (IT)** – There are no IT implications at this stage.
- (g) **Property** – There are no Property implications at this stage but the appointment of an SPV partner will bring forward proposals for the management of the Councils Car parking estate as part of the SPV proposals.

(h) **Other** – There are no other implications.

Contact Details

Author:	Chief Officer Responsible for the report:		
Neil Ferris City & Environmental Services Tel No. ext1448	Neil Ferris Interim Director, City and Environmental Services		
	Report Approved	√	Date 29.01.16
Specialist Implications Officer(s) <i>List information for all</i>			
Wards Affected:	All	✓	
For further information please contact the author of the report			

Annexes

Appendix 1 – Overview of Parking Service

Appendix 2 – Analysis of Marygate Pay on Exit trial

Appendix 3 – Possible Models for delivery

This page is intentionally left blank

Overview of existing Parking Service

1. City of York Council's Parking Services is responsible for overseeing the management and operation of 13 public car parks providing approximately 2,500 off-street parking spaces and 5,000 linear metres of on-street pay and display parking. It also administers the city's Resident Parking Scheme (ResPark) covering 27,000 linear metres of streets equating to 5,400 parking spaces. There are significant areas of other prohibited parking restrictions (yellow lines etc) on the adopted highway that are enforced by Parking Services related to the management of traffic across the City.
2. Within the City centre, the Council operates a Car Park Guidance System that utilises counters in each car park and roadside Variable Message Signs (VMS), to direct users to free car park spaces. At present, this system is largely inoperative due to maintenance problems with the VMS and the Executive Member for Transport approved on the 14th of January 2016 proposals to undertake their refurbishment and bring the system back into operation from the 2016/17 Transport Capital Programme. The counters located in the car parks also provide data for use on the Council's 'YorkLIVE' website and mobile applications, providing live car park occupancy data to users. A project is currently underway to add this live data to the York Data Store, allowing access to it for third party developers and leading to its wider dissemination.
3. In 2014/15 there were 7,253 Penalty Charge Notices issued in the "off-street" car parks and 12,508 issued "on-street". The overall Parking income in 2014/15 was £6,759,762 covering Short/ Standard Stay car parks, on street parking, ResPark Permits, Minster Badge (Residents discount scheme) and Season Tickets income. The use of any balance for Parking income is regulated by Section 55 (4) of the Road Traffic Regulation Act 1984. This Act sets out the purposes for which income beyond the costs of running the parking service can be used:
 - I. Provision and maintenance of off street parking
 - II. Funding public transport
 - III. Highway improvements
 - IV. Road maintenance

V. Environmental improvements

4. Government advice on the raising of revenue from Penalty Charge Notices states that it should not be an objective and Councils should not set targets for them. The purpose of the penalty charge notice is to dissuade motorists from breaking parking restrictions with an objective of 100% compliance.
5. In addition to the designated public parking the Council also operates a further 5,000 car park spaces as part of the six Park & Rides sites on the main arterial routes into the city. Although the Park & Ride facilities form part of a separate contract with the bus service operator running the Park and Ride bus services, the Parking Service is responsible for enforcement of parking restrictions at these locations. There are also some 3,200 spaces in privately operated car parks across the city that adds to the overall parking stock for the city.
6. The Parking Service is primarily made up of two main areas “Civil Enforcement” and “Back Office” functions but also interacts with several other service areas. Parking is one of the Council's highest profile services and brings in significant revenue both in terms of parking fees and penalty charge notices (PCNs). The service is wholly managed and maintained “in house” with the back office functions based at West Offices and the civil enforcement team (and technician) based at Foss Islands Road. Customer enquires are initially taken by the Council's Contact Centre which also manages the parking reception at West Offices. The back office staff deals with more complex telephone issues and queries which are referred to Parking Services from the Contact Centre teams.
7. Whilst there are distinct differences between the enforcement and back office functions they both underpin the range of Parking functions covering:
 - I. Off Street Parking (Pay and Display)
 - II. On Street Parking (Pay and Display)
 - III. Pay by Phone facilities
 - IV. Car Park and Machines maintenance
 - V. Residents Parking across the City
 - VI. Minster Badge
 - VII. Park and Ride parking enforcement and

- VIII. Traffic Management (Prohibited Parking/Yellow Lines/ Disabled Spaces/ Footstreets enforcement/ School Parking/ obstruction/ Abandoned and untaxed vehicle removal etc) to secure the expeditious movement of traffic on its highway network

Civil Enforcement function

8. The Council has been solely responsible for the enforcement of certain Traffic Regulations Orders related to parking since October 2000. This was made possible due to changes in legislation that permitted Local Authorities (that applied for it) to undertake Civil Enforcement by Decriminalised Parking Enforcement (DPE). In 2008 the Traffic Management Act further amended legislation whereas this type of enforcement is now known as Civil Parking Enforcement (CPE).
9. This service is overseen by the parking enforcement supervisor who has 19 Civil Enforcement Officers (CEOs) that patrol the entire York area on a 3 shift rota 7 days a week 364 days per year. This is complimented by a CCTV vehicle and driver as well as 2 motorcycles and 2 vans for patrols outside of the 'walkable' area or where an urgent response is needed, such as a call to the parking hotline. In addition to enforcement this service area is also responsible for the maintenance of the car parks and all parking ticket machines and lighting. The maintenance of this is by 1 technician who reports to the parking enforcement supervisor.
10. The presence of the Council's Civil Enforcement Officers (CEOs) on and off street is the main way that it endeavours to achieve compliance with parking regulations. Having officers out on the street maintaining a visible presence, positively influences drivers behaviour in keeping traffic moving and deters problems caused by inconsiderate parking and abuse of various parking restrictions, thereby "*securing the expeditious movement of traffic on the authority's road network*" in accordance with the Traffic Management Act 2004 statutory obligations.

Back Office function

11. The "Back Office" functions are overseen by the Representations Officer who is supported by 4 staff from the Business Support Team to deal with the range of administrative issues that arise. In

addition, Customer Services also acts as the first point of contact for phone enquiries and visits for this public facing service. Some 25% of the footfall into West Offices is parking related and the level of the Customer Services support equates to 2-3 staff.

12. The main duty of this area of the parking service is to execute the administrative functions in line with the Council's policies regarding the enforcement of PCNs issued. It also reviews decisions made on informal challenges and makes decisions on representations/ witness statements/ appeals. The range of duties within the back office that are also supported by Business Support and overseen by the Representations Officer includes:-
 - I. Authorisation and issuing of all car park and resident parking permits
 - II. Maintain electronic parking records in accordance with legislation and statutory guidance regarding resident parking and PCNs.
 - III. Responding and making decisions on informal challenges.
 - IV. Collection and management of keeper details from the DVLA
 - V. Issue of all recovery documents in accordance with legislation regarding PCN income
 - VI. Responding to statutory Representations
 - VII. Prepare evidence cases against appeals made with the Traffic Penalty Tribunal
 - VIII. Respond to witness statements authorised by the Traffic Penalty Tribunal
 - IX. Registration of PCN debts to the County Court - Traffic Enforcement Centre
 - X. Registration and issue of Distress Warrants to recovery enforcement agents
 - XI. Issue of postal PCNS based on behalf of evidence collected from CEOs and CCTV vehicle.
 - XII. Abandoned and untaxed vehicle service

13. There is a high demand for parking in York and as such is one of the Council's highest public profile services. A key objective of the enforcement policy is to provide a balance between the different (and often competing) requirements of residents, visitors, businesses etc to maintain accessibility and thereby contribute to the economic growth and success of the city. The Council can do this by keeping the traffic moving and improving the flow of public transport through:

- I. Enforcement of waiting and loading restrictions, bus stop clearways, cycle lanes, taxi ranks, school keep clear zigzags to improve road safety and the expeditious movement of traffic
 - II. Enforce the resident parking scheme zones to discourage parking by motorists who are not entitled to park in these areas
 - III. Meet the needs of people with disabilities by enforcing the disabled bays to try to ensure that only disabled badge holders are using them.
 - IV. Protect access for emergency vehicles.
14. Services provided to residents and visitors by the Parking Services team include:
- I. The enforcement of parking restrictions throughout the City of York Council area by an in-house parking enforcement team.
 - II. The management of the council's car parks and on-street pay and display areas, including an in-house cash collection team.
 - III. The issue and administration of resident permits.
 - IV. The back office PCN objection and representation service.
 - V. The CEO's also provide an information and ambassadorial role when out on street assisting visitors and residents as required such as giving directions etc.

Interdependencies

15. The location, price, availability and accessibility of Parking are some of the biggest influences on traffic demands in the city centre. It can have significant impacts on congestion, pollution and the economy.
16. For over 20 years the council has operated one of the most successful Park & Ride services in the UK as part of its strategy for reducing traffic demands in the city centre. It is a key element of the Council's sustainable transport strategy for reducing car traffic and improving air quality. A key principle for the Park & Ride service is to intercept traffic along the main principal (A class) radial roads into the city. Many factors influence the patronage of this service with the main ones being capacity and quality of Park

& Ride sites, traffic congestion levels in and around the city and the cost of parking in the city centre, in relation to the cost of using the Park & ride service.

17. There are clear causal linkages between the cost of Park & Ride and the cost of parking in the city centre. High park and ride costs relative to city centre parking costs would lead to it being less attractive and encourage more traffic into the centre. A delicate balance between the amount and cost of parking and the cost of using the Park & Ride service is needed to ensure that the Park & Ride service is not undermined particularly in respect to commuters. Significant increases in traffic levels will inevitably lead to greater congestion and pollution levels. Annually the Park & Ride facility carries approximately 4.5 million passengers (rising year-on-year) and delivers an annual licence fee to the Council of £750K. In view of the increasing demand for Park & Ride services a new Park & Ride site on the A59 at Poppleton and a relocated and improved Park & Ride facility at Askham Bar were opened. In 2014. Park & Ride alleviates a significant level of traffic from the city centre, without which there would be a detrimental impact on accessibility, air quality and congestion levels.
18. At its Executive meeting on 24th September 2015 the Council confirmed its continuing commitment to Park & Ride services by approving the procurement process for establishing the next Park and Ride contract for a further 7 to 8 years. Furthermore the Council's Low Emission Strategy and Air Quality Action Plan are supported by Public Transport objectives which seek to implement a Clean Air Zone in the City Centre where 80% of local bus mileage is to be undertaken using ultra low emission buses.
19. The Council has, for many years, recognised the adverse impacts of inconsiderate parking on residents, particularly near the centre of the city. The attractiveness of the city and high level of tourism has added to the parking issues facing residents. The introduction of Residents Parking has enabled many residents to continue to park in the vicinity of their homes and significant areas of resident parking zones are now in place concentrated around the city centre. Whilst not a public car park facility the residents parking is an integral part of the overall parking strategy overseen by Parking Services.

20. Enforcement is an essential part of making sure parking takes place in an appropriate and legal manner. The level of enforcement is directly related to the levels of conformity, in that, high levels of enforcement result in a higher level of compliance whereas, as might be expected, a reduced level results in greater abuse. The ultimate aim of parking enforcement is to achieve appropriate levels of conformity. Providing a higher level of enforcement will incur greater cost. However, it does directly relate to the levels of income generated from any parking charges and PCNs. Low levels of enforcement will lead to significant reductions in income levels, but will cost less to provide. The impact of having a visible enforcement presence through regular patrols is difficult to quantify, but it is generally accepted it is a significant deterrent to parking abuse.
21. As mentioned earlier both the enforcement and administrative elements of Parking Service currently support several different aspects of parking. Careful consideration would need to be made before determining whether any of these functions should be significantly reduced as there is a practical minimum level below which the resilience and viability of the service would be at risk.

This page is intentionally left blank

Analysis of Marygate Pay on Exit Trial

1. Following concerns raised by City centre businesses and the perception that “Pay and Display” off-street car parks were adversely affecting trade as well as the economic viability of the city centre, the Council agreed to undertake a trial of a Pay on Exit system of operation in Marygate car park. This was intended to allow the Council to be able to fully assess the impacts this could have on the parking service operation if a Pay on Exit operation was extended across other city centre off-street car parks.
2. There were several operational issues that had to be dealt with during the trial such as:
 - I. Significant efforts were needed to set up and commission the system that did initially have reliability issues
 - II. Suitably trained off-site support is required when these systems are in operation.
 - III. Technical Operator support must also be provided to enable quick on-site issues to be addressed. This needs to be able to respond at short notice on a 24 hour basis to avoid revenue loss.
 - IV. There are no specific staff “Enforcement” requirements as entry/ exit were barrier controlled.
 - V. When fully operational this system has the potential to out perform pay and display in terms of parking income, this is thought to be largely due to reduced levels of contravention.
 - VI. Provision for “free” disabled parking is difficult to incorporate as there is no way of identifying disabled driver’s vehicles as badges as are “person” specific. A separate provision outside of the car park was however able to be provided for the Marygate trial.
 - VII. The Pay on Exit ticket machines are more complex and were seen to be less resilient to the elements.
 - VIII. Full control over all the entry/ exit to car parks is required to successfully operate a pay on exit system.
3. To assess the overall performance suitable comparisons were made of the revenue collected before and after the trial. Consideration was taken into account of the general background of falling revenues for parking over recent years. There were a number of other issues that took place during the trial that will have impacted on usage such as the “Three hours free Parking” during

the first four months and the Scarborough Bridge improvements that resulted in Network Rail occupying the car park (partially for three months and wholly for one month) to complete their works.

4. These along with other teething issues were taken into account when comparing performance and adjustments made accordingly. Overall it was able to determine that there is potential for the car park to operate at least as effectively as other car parks but was not definitive. This did not take into consideration a range of other “add-on” facilities that were not suitable for the trial but could be considered for its wider application such as:
 - I. Hotel and contract parking management
 - II. Online “Pay as you go” accounts
 - III. Promotional based discounting
 - IV. Mobile / Web payments
 - V. Reserved Parking
 - VI. Secure overnight Parking
 - VII. Rail Station additional parking provision

5. One of the most significant impacts on establishing the trial was altering the existing layout to facilitate barrier control for a secure (hardened) perimeter for entry/ exit. Additionally maintaining the free disabled parking was challenging, whilst it was able to be incorporated for the Marygate trial it had to be separately provided for, outside of the main parking area as blue badge holders are “person specific” not “vehicle specific.

6. In light of the experience of the trial, provisional costs have been identified for the possible expansion of the Pay on Exit system. Nine main car parks were provisionally identified as those most suitable for the installation of a Pay on Exit system covering some 1,950 spaces. The provisional cost of converting these was estimated at £1,025,000 which included the cost for replacing the existing pay and display machines of £181,500. It could be argued that this should be a common cost as these machines are likely in need of replacing even if the pay and display car parks remained due to their age. The additional cost for Pay on Exit therefore could be £844,500.

7. Apart from the capital investment required a Pay on Exit system would impact on the day to day operating costs and change the

income and expenditure costs. The following four main factors could have cost implication:

- I. Increased parking income
- II. Reduced enforcement costs
- III. Reduced Fixed Penalty Notice income
- IV. Increased technical support requirements

Conclusions for Pay on Exit.

8. During the 15 months of the trial the later stages, once the teething and other issues were no longer impacting on its operation, it demonstrated that there is potential for the Pay on Exit to deliver increased revenue compared to pay and display. Although the overall operating costs are slightly higher this could be offset if the changes were to increase the usage of the car parks.
9. The trial commenced in July 2014 and was extended to July 2016 and so far has not conclusively shown it better of worse than pay and display but has demonstrated its potential to do so. With this in mind there are 3 realistic option to consider as the end of the trial approaches:
 - I. Expand the Pay on Exit system across other car parks
 - II. Continue with the trial for further assessment
 - III. Remove the Pay on Exit and revert to Pay and Display
10. The option of continuing with the current trial would allow for further analysis to be undertaken providing more robust data on which to base any future decisions. This assumes that a longer relatively trouble free period of operations would ensue. This would result in a delay to the expansion of a Pay on Exit system being introduced.

This page is intentionally left blank

Models for delivery and transformation of off Street Parking

1. This Appendix outlines a number of alternative models for the operation for the provision of off street Car parking in light of the experience of the Marygate trial and soft Market testing that has taken place over the last year.
2. There are a number of considerations that would need to be taken into account in deciding how best to proceed that can influence the viability of the different models of operation such as:
 - a. The minimum size and number of viable car parks.
 - b. Existing layout and physical alterations required.
 - c. Detailed specifications requirements of the Council.
 - d. Enforcement policies.
 - e. Disabled parking provision.
 - f. Length of potential contract/ agreements.
 - g. Identify the specific objectives/ outcomes from expansion of PoF.
 - h. Will there be any capital contribution incorporated in any model adopted.
3. Initial assessments of the existing Pay and Display car parks have identified 9 locations covering some 1,950 spaces that are deemed suitable for conversion to Pay on Foot systems of operation.
4. The following possible models of operation will be considered in summary below:
 - a. In-house provision
 - b. Contract Out
 - c. Licence arrangement
 - d. Franchise
 - e. Joint Venture (Special Purpose Vehicle)
 - f. Term Maintenance Contract

In-house provision

5. The Council may choose to continue to operate the car parks as it presently does, with full control and ownership within the Council and full responsibility for staffing and capital upgrades remaining its sole responsibility. This option does not however address the need for any capital investment and any reductions in operating costs which would need to be found from other service

improvements/ efficiencies. There is limited potential for these improvements on what ultimately will be a small car parking estate relative to providers who operate at a regional or national scale.

6. The implementation of the Marygate trial has been a steep learning curve for officers and has demonstrated that capital cost is only one consideration as design, reliability, capacity all carry significant risk of loss of revenue through the implementation phase.
7. In order to fully exploit the potential of Pay on Foot national operators have undertaken significant investment in technology mobile applications and innovative pricing strategies the Council does not have significant experience in any of these areas.
8. **In light of the limitations of the in house model and the fact that the Council would be taking all the risks associated with identifying Car Parks suitable for pay on foot, technical implementation of physical upgrades and back office technology, capital cost overruns and potential loss of significant revenue this option is not recommended.**

Contract out

9. The City's car parking stock could be treated as a capital asset and transferred to the private sector as a 'one-off' sale. This could involve selling the freehold to the sites and hence relinquishing all control, or the leasehold and receiving a ground rent. For either option, the Council would likely lose its influence on car parking policy, operation and costs which would be led by market forces. The Council would also lose all revenue from the car parks, (except any ground rents) but would be free of any risk involved in their operation. The Council would have little involvement in car parking policy or any means by which to ensure their operation continues to compliment transport policy in the City.
10. This option would in all probability lead to a post sale re financing of the revenue stream associated with the Council car parks a process very common in the private sector which has seen venture capitalists extract billions of pounds of value from private sector car parks over the last twenty years and left car parking operations operated entirely for the benefit of servicing debt which in York could see short term predatory pricing structures designed to

eliminate competition in particular the Councils Park and Ride franchise.

11. **Due to the significant risks associated with the loss of control of all off street car parking in the City both to sustainable transport policy and the Park and Ride franchise this option is not recommended.**

Licence arrangement

12. The Council could consider appointing a long-term licensee arrangement to operate the car parks. In this model, the Council retains ownership of the real estate but grant the licensee the right to operate the car parks for a fixed period of a number of years. The operator would brand the car parks as their own and be fully responsible for their operation. Although there may be some terms imposed on the operator at the time of the license award and there would be a regular reviews of operation to ensure their performance was to any specification agreed. Within these broad limits the operator would be free to determine operational issues and tariffs. The Council could agree a fixed licence fee from the operator, incorporating some form of annual multiplier but may not share in the profit or risk beyond this. This option would not allow control of the car parks in terms of tariff setting, and the incentive on the operator to increase profit by increasing usage could lead to decisions that could run contrary to the Councils transport policies for instance in relation to Park and Ride. This model would not require the Council to fund capital upgrading of the car parks, as this would fall to the operator. However, in order to maximise potential revenues it is likely that a comprehensive specification for improvements would not be included in a licence agreement, it would be up to the operator to determine what upgrades should be made, based on likely levels of financial return.
13. This option could be refined through a competitive dialogue process in order to provide the Council the opportunity to understand the impact of tariff restriction to maintain sustainable transport objectives. The impact of capital investment levels, car park upgrade selection, technology choices and service levels could all equally form part of a competitive dialogue process.
14. Competitive dialogue is however very resource intensive, time consuming and ultimately may not produce a bidder that meets the Council's revenue or output expectations. It would also be the case

that to warrant the expense of a competitive dialogue process and provide the operator the time to recover capital investment that a relatively long term contract would be necessary probably in excess of 10 years.

15. **Therefore whilst probably the most credible traditional outsourcing option, due to the complexities and risks of competitive dialogue this option is not recommended without a significant revenue commitment in the order of £500k to resource the procurement process and an acknowledgment of an anticipated 18 – 36 month procurement timetable.**

Joint Venture (Special Purpose Vehicle)

16. The Council enters a joint venture with an operator to establish a 'parking provider' for York. This model would involve an entity (possibly a 'company limited by guarantee') being set up, into which access to assets (the car parks) are transferred either by ownership or by licence. The administration of the company would be jointly between the Council and the private sector operator and profits shared between them. The company would undertake to operate the car parks and manage and fund them on a day to day basis, but under the direction of its board on which the seats would be shared between the Council and the operator, (in some agreed proportion). This option would give the Council control over the operation of the car parks and the ability to ensure they fit in with policy objectives and do not abstract business from the P+R service. This however could reduce the attractiveness of the proposition to the private sector operator, who could see their opportunity to make a profit from the operation impaired by the Councils desire to meet policy objectives. As a joint owner of the company, the Council would share in the revenues but would also bear some of the risk associated with its operation, This option would require the Council to establish and SPV (Special Purpose Vehicle), to insulate the risk from general Council business.
17. This option whilst still requiring a procurement process would negate the need for a complex competitive dialogue procurement as the partnership procurement is based on a high level risks sharing / asset contribution agreement associated with developing the car parking operation between the partners. Whilst the Council undoubtedly brings a significant asset to any proposed partnership the private sector partner would undoubtedly bring expertise that

the Council does not have and may also dependent upon the partner be willing to bring additional parking capacity within the SPV and be willing to take a greater proportion of operational risk due to their expertise.

- 18. Whilst this option see's the Council retain risks associated with the car parking operations it would significantly mitigate the risks associated with the necessary transformation and upgrade of the Councils off street parking offer through a high level risk sharing partnership. The opportunity to bring commercial expertise and risk sharing to the development of the Councils car park management plan and sustainable transport objective will ensure that the plan reflects best practice. An SPV partner may also give the opportunity to expand the proportion of the City's car parks subject to the parking management plan. Due to these factors it this option is recommended and that officers proceed with the procurement of an SPV partner.**

Term Maintenance Contract

19. The Council retains operation of the car parks and retains their revenue. In order to decrease the costs associated with operation, a maintenance or 'operations' company is appointed for a fixed term who, for an agreed fee provide services such as maintenance, cash handling and enforcement. The Council not only retains all income from the car parks, (less contractual payments to the company), but also retains operational and policy control. This option would fix, (and potentially reduce) the Council's costs but risk associated with operation and responsibility for funding capital upgrades would remain.
- 20. This option provides very little risk transfer for the Council and is therefore not recommended as it has little benefits over the in house model. In some respects as the Term Maintenance Contractor will be directed by the Council in a period of operational change this could lead to perverse, contractual and operational incentives.**

This page is intentionally left blank