

**Notice of a public  
Decision Session - Executive Member for Finance and Performance  
[previously Executive Leader (inc. Finance & Performance)]**

**To:** Councillor Ayre (Executive Member)

**Date:** Monday, 12 August 2019

**Time:** 5.00 pm

**Venue:** The King Richard III Room (GO49) - West Offices

**AGENDA**

**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 Democratic Services by **4:00pm on Wednesday 14 August 2019.**

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

Written representations in respect of items on this agenda should be submitted to Democratic Services by **5:00pm on Thursday 8 August 2019.**

**1. Declarations of Interest**

At this point in the meeting, the Executive Member is 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 - 2)  
To approve and sign the minutes of the Decision Session held on 24 July 2019.

- 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 Friday 9 August 2019**. Members of the public can speak on agenda items or matters within the Executive Member's remit.

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

### **Filming, Recording or Webcasting Meetings**

Please note that, subject to available resources, this meeting will be filmed and webcast, or recorded, including any registered public speakers who have given their permission. The broadcast can be viewed at <http://www.york.gov.uk/webcasts> or, if recorded, this will be uploaded onto the Council's website following the meeting.

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

[https://www.york.gov.uk/downloads/file/11406/protocol\\_for\\_webcasting\\_filming\\_and\\_recording\\_of\\_council\\_meetings\\_20160809](https://www.york.gov.uk/downloads/file/11406/protocol_for_webcasting_filming_and_recording_of_council_meetings_20160809)

- 4. Health and Safety Annual Report 2018/19** (Pages 3 - 18)  
This report presents the Annual Report of the Head of Health & Safety together with an overview of the performance of Health & Safety (H&S) shared service formed by North Yorkshire County Council (NYCC) and City of York Council (CYC) which operates under a partnership agreement. The Annual Report also provides

an update on the action being taken to address the risks raised in the report. The report will assist the Executive Member in proactively monitoring the overall systems and management of health & safety across the council.

**5. Financial Inclusion interim and future funding strategy** (Pages 19 - 30)

This report presents proposals for Financial Inclusion (FI) funding allocations for 2019/20 and the development of a longer term future funding strategy to feed into the 2020/21 annual budget process.

**6. Urgent Business**

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

Democracy Officer:

Name: Angela Bielby

Telephone: 01904 552599

Email: a.bielby@york.gov.uk

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

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

Contact details are set out above.

**This information can be provided in your own language.**

我們也用您們的語言提供這個信息 (Cantonese)

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

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

Bu bilgiyi kendi dilinizde almanız mümkündür. (Turkish)

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

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City of York Council

Committee Minutes

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Meeting	Decision Session - Executive Member for Finance and Performance [previously Executive Leader (inc. Finance & Performance)]
Date	24 July 2019
Present	Councillor Ayre (Executive Member for Finance and Performance)

## **5. Declarations of Interest**

The Executive Member was invited 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, which he have in the business on the agenda. No additional interests were declared.

## **6. Minutes**

Resolved: That the minutes of the Executive Leader (incorporating Finance & Performance) Decision Session held on 15 July 2019 be approved and then signed by the Executive Member as a correct record.

## **7. Public Participation**

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

## **8. Proposal to Lease Winterscale House, Winterscale Street, York**

The Executive Member considered a report that set out a proposal by which the Council would take a lease of a commercial property known as Winterscale House from a private landlord. The accommodation will be utilised to provide training facilities for the Council run service of York Learning who currently occupy part of Rougier House in Rougier Street, York. The Head of Commercial and Operational Asset Management outlined the proposal.

Resolved: That agreement be given to:

- i. Take a lease of Winterscale House on the terms and conditions as set out within option 2 of the report.
- ii. Surrender the council's current lease of part of Rougier House.
- iii. Accept a developer contribution of £50,000 to reflect the value of the remaining portion of the lease on Rougier House.
- iv. A compensation of £5,800 to YBPSS to fund the first two months of their occupation in their new premises to be funded from the above developer contribution.

Reason: To provide more cost effective premises for York Learning Service, within the city.

## **9. Proposal to mutually terminate the lease for Askham Bar nursery**

The Executive Member considered a report that set out a proposal to terminate the lease between the Council and the tenant of Askham Bar Nursery by mutual agreement. The proposed future early termination of the lease (by signing a deed of surrender) has provisionally been agreed between the Council and its tenant. The Head of Commercial and Operational Asset Management outlined the report.

Resolved: That agreement be given to end the lease at Askham Bar Nursery by way of a lease surrender with a compensation payment of £35,000 being paid to the tenant.

Reason: This will enable the wider redevelopment of the former park and ride site which is allocated for housing allocation in the Draft Local Plan.

Cllr Ayre, Executive Member for Finance and Performance  
[The meeting started at 5.30 pm and finished at 5.40 pm].



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**Executive Member for Finance & Performance**

12 August 2019

Report of Assistant Director, Customer &amp; Digital Services

**Health & Safety Annual Report 2018/19****Summary**

- 1) This report presents the Annual Report of the Head of Health & Safety together with an overview of the performance of Health & Safety (H&S) shared service formed by North Yorkshire County Council (NYCC) and City of York Council (CYC) which operates under a partnership agreement.
- 2) The Annual Report also provides an update on the action being taken to address the risks raised in the report.
- 3) The report will assist the Executive Member in proactively monitoring the overall systems and management of health & safety across the council.

**Recommendations**

- 4) The Executive Member is asked to:
  - a) note the Annual Report including the council's response to managing and responding to significant H&S risks including those around Construction (Design & Management) Regulations (CDM);
  - b) note the performance of the Shared H&S Service;
  - c) consider any areas of H&S risk management for further reporting at future decision sessions.

*Reason: To ensure the Executive Member and residents are assured that H&S services are appropriately managed and resilient and the council has proper arrangements in place for managing and responding to H&S risks.*

## Background

- 5) The Annual Report of the Head of Health & Safety is attached as the Annex to this report. It covers work relating to the 2018/19 financial year and summaries key points relating to:
  - a) a summary of the council's H&S performance for the year 2018/19;
  - b) key areas of the H&S Team's work for the year;
  - c) accident and incident statistics including RIDDOR<sup>1</sup> reportable incidents;
  - d) a look forward to the key areas of work planned for 2018/19 including the priorities of the Health & Safety Executive (HSE).
- 6) In response to the areas of concern raised, the council's Joint Health & Safety Committee (JHSC) receive reports back from Directorate representatives (normally at Assistant Director level) on action being taken to review risks and learning from accidents and incidents. This is to be enhanced from July 2019 as the committee will monitor the implementation of actions from all investigations arising from accidents/incidents reported.
- 7) In addition to this, to help support directorates in ensuring Health & Safety messages are taken seriously and are well communicated, the council's Communications Team will be represented at the JHSC. The membership will also be enhanced by the attendance of a member of the Public Health Management Team to secure the link to employee health and wellbeing.
- 8) As in the previous year, the council's client officer for the Shared Head Service, the Assistant Director for Customer & Digital Services has undertaken an analysis of the key areas of performance as laid down by Schedule 1 of the Collaboration Agreement which can be found on the council's website at:  
[https://www.york.gov.uk/downloads/file/13454/shared\\_service\\_agreement](https://www.york.gov.uk/downloads/file/13454/shared_service_agreement)
- 9) The analysis is shown in the table below and this is based on the fortnightly review meetings attended by the client officer with the Head of Health & Safety and the quarterly meetings of the Client Officer Group, at which both client officers for NYCC and CYC meet with the Head of Health & Safety and respective accountants from both councils.

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<sup>1</sup> notifiable under the provisions of the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013



<b>Reference</b>	<b>Requirement</b>	<b>Achieved</b>
1.1	Provision of a competent H&S Service to CYC	Yes
1.2 i	Promotion of a Health and Safety Culture in CYC	Yes
1.2 ii	Assistance and support in accident and incident investigations including RIDDOR reporting and liaison with regulators and other agencies (including HSE, Fire and Rescue Services and Police)	Yes
1.2 iii	Advice on local policy and procedure development	Yes
1.2 iv	Provision of Health and safety advice and guidance	Yes
1.2 v	Assistance to managers in the conduct of risk assessments and/or assistance in completion of fire risk assessments	Yes
1.2 vi	Asbestos Management Reviews	Yes
1.2 vii	Assistance with training identification and delivery of health and safety courses	Yes
1.2 viii	Audit and monitoring of services as regards health and safety performance	Yes
1.2 ix	Assistance with measuring and reviewing H&S performance	Yes
1.2 x	Provide a traded service with schools and other customers	Yes
1.2 xi	Educational Visits Authorisation and support	Yes
1.2 xii	Advice to the CYC Safety Advisory Group (SAG) regarding Event Safety	Yes
1.2 xiii	Presence at appropriate formal Trade Union Health and Safety meetings in particular the Joint Health and Safety Committee quarterly and the Department Health and Safety as appropriate	Yes
3 i	Contribute to CYC's business planning	Yes
3ii	Attend Departmental Management Team and Council Team Meetings as required	Yes
3iii	Contribute as a Member of the council's management arrangements such as the CYC Leading Together cohort	Yes
3iv	The Service to NYCC and CYC will be tailored to meet the needs and priorities of NYCC and CYC through liaison with the Nominated Officers.	Yes

10) Of particular note has been the Team's work on fire safety in The Shambles, in supporting Waste and Highways services in key areas of front-line risk and in strengthening the council's approach to CDM work.

- 11) Last year it was reported that future performance will also be also assessed through the achievement of local Health & Safety Plans agreed with each of the council's Directorates. Those are currently under early review by the Council's Joint Health & Safety Committee of which there are no results available as yet. As such this review will be reported back in the interim report to Executive Portfolioholder due in around 6 months time.
- 12) Future reporting will also be enhanced by the new Health & Safety system being implemented at CYC and NYCC councils as outlined in the Annual Report at Paragraph 27.

### **Consultation**

- 13) The Council Management Team have received and considered the content of the Annual Report.

### **Options**

- 14) There are no options in this report given that the recommendations on the content of the Annual Report are to note the content only. As part of his portfolio monitoring role of H&S matters the Executive Member can identify any areas of specific H&S risk for further reporting at future decision sessions.

### **Analysis**

- 15) All information is contained in the body of the report.

### **Council Plan**

- 16) Outcomes achieved by the activities covered in this report help to deliver all emerging priorities in the draft Council Plan, ensuring that as an employer the council sets a positive example of supporting employees to achieve their full potential in a safe working environment

### **Implications**

- 17)
  - a. **Financial:** None
  - b. **Human Resources (HR):** The report relates to all employees of the council. The H&S shared service is hosted by NYCC.
  - c. **Equalities:** None
  - d. **Legal:** The content of this report contributes to evidence that the council is complying with the Regulatory Reform (Fire Safety) Order

2005 and the Health and Safety at Work etc. Act 1974 and associated regulations.

- e. **Crime and Disorder:** There are no crime and disorder implications to this report.
- f. **Information Technology (ICT):** None
- g. **Property:** None
- h. **Other:** No known implications.

### **Risk Management**

- 18) The controls and evidence in this report mitigate/minimise risks associated with any breach of H&S and fire safety regulations.

#### **Contact Details Author:**

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Shared Head of Health and  
Safety  
*Tel No. 01904 552621*

Pauline Stuchfield  
Assistant Director -  
Customer & Digital Services  
*Tel No. 01904 551706*

#### **Chief Officers Responsible for the report:**

Ian Floyd  
Director of Customer & Corporate Services  
*Tel No. 01904 552909*

#### **Report Approved**

**Date**

#### **Specialist Implications Officer(s)**

Financial: Ian Floyd, Director of Customer & Corporate Services

Legal: Suzan Harrington, AD for Legal & Governance

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

**All**

#### **Annexes**

**Annex A:** Health & Safety Annual Report 2018/19

#### **Background Papers:**

Annual Health & Safety Report 2017-18 decision record from Executive Member from the Environment Decision Session on 2nd July 2018. The record is [here](#).

Interim Health & Safety Report 2018 -19 and decision record from Executive Member from the Environment Decision Session on 10th December 2018. The record is [here](#).

**List of abbreviations used in this report**

H&S	Health & Safety
CYC	City of York Council
NYCC	North Yorkshire County Council
HSE	Health & Safety Executive
HR	Human Resources
JHSC	Joint Health & Safety Committee
RIDDOR	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013
SAG	Safety Advisory Group
CDM	Construction, Design & Management

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# **Health and Safety**

## **Annual Report**

**1<sup>st</sup> April 2018 - 31<sup>st</sup> March 2019**

## Introduction

1. This report covers the council's financial reporting period 1<sup>st</sup> April 2018 to 31<sup>st</sup> March 2019.
2. Over the last 12 months there has been a number of staffing changes within the Shared Health and Safety Service which has allowed for a refocusing of priorities to some specific high risk areas of work, most notably construction and waste collection. In addition the health and safety services to schools have been consolidated to create a schools specific health and safety team delivering services to schools in both York and North Yorkshire. This not only ensures a more consistent approach but provides a much more resilient service.

## Key areas of Health and Safety Work in 2018/19

3. The Corporate Health and Safety Policy was significantly reviewed and approved by the Chief Executive supported by the Corporate Management Team. The main area of revision was to ensure the policy clearly sets out the council's direction. It now also recognises that there are significant improvement and redevelopment plans for the city which will involve major construction work. These schemes will require CYC to work closely and in partnership with other organisations if the health and safety risks are to be effectively managed. The policy also provides the basis for the health and safety culture within CYC and sets down what is expected by those organisations who undertake work on behalf of the council.
4. The revised policy also recognises the council's ongoing commitment to protecting staff from verbal and violent aggressive behaviour. This issue has been of concern for some time as it is a major cause of reported incidents by staff. The council's approach was specifically endorsed by the then Portfolio holder for the Environment.
5. Elected Members continue to actively consider health and safety risks and associated management with significant reports being considered by the Portfolio Holder in July, September and December 2018. There was also a formal interim report on health and safety performance in January 2019.
6. Following the adoption of a corporate Alcohol, Drug and Substance Misuse Policy which was outlined in last year's report; a testing organisation has now been procured, ( the policy allowed people to be tested in certain circumstances e.g. after an accident), a Manager's Tool Kit written and a number of training sessions for managers held. The policy was fully implemented from 1<sup>st</sup> April 2019.

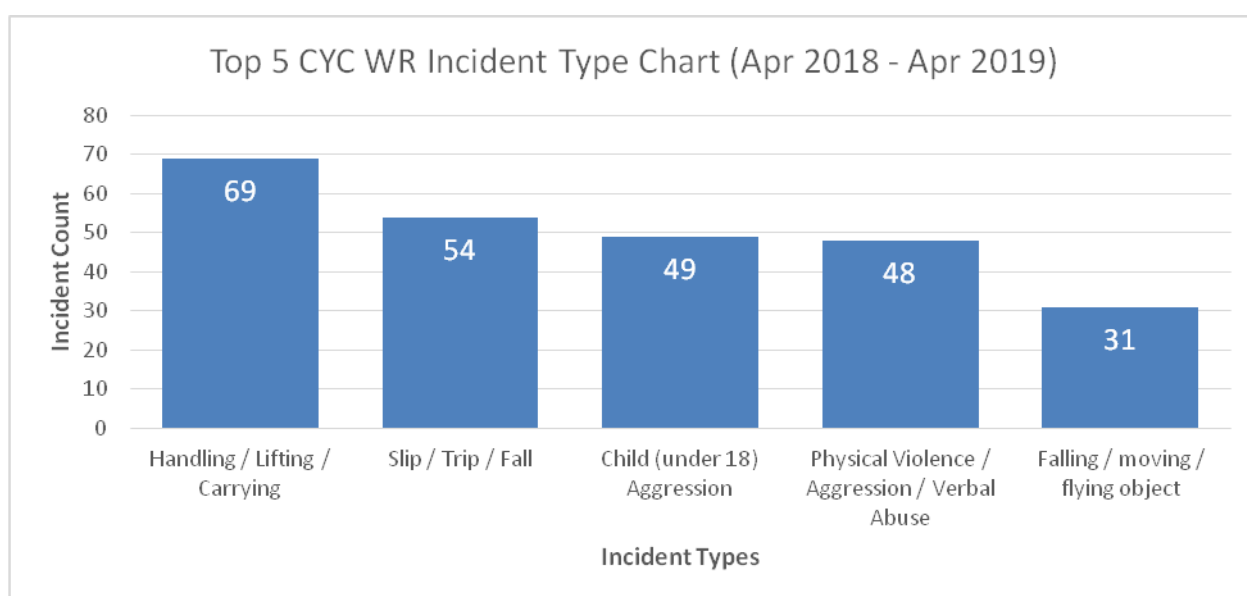


7. There have been a number of topic based audits over the period covered by this report in the waste collection service which identified a number of opportunities for improvement. These are currently being implemented by the service management. The waste service has brought in extra resource to support the service implement these improvements.
8. Waste collection is a high risk industry and as such the service undertook a major training exercise of their workforce in December 2018 in relation to working with vehicles. Unfortunately incidents can occur and one incident, post the training, resulted in a waste loader being seriously injured. Members of the health and safety team have worked closely and supported the service through the detailed investigation.
9. Another service undertaking high risk operations is within the Highways Service. One of these operations involves excavation work. Over the last 12 months there have been a number of cable strikes involving both electrical and fibre optic cables. Underground services, particularly fibre optic cables, can be an issue especially if the service installer has not installed them to the required standard in the past. The installers are normally outside the control of CYC so it is sometimes difficult for the CYC operatives to avoid this damage. This is particularly important in relation to high risk services involving electricity and gas due to the risk of serious personal injury. The cable strikes covered during this reporting period have been thoroughly investigated on behalf of management by the Head of Health and Safety, resulting in specific targeted action. To further support the changes enhanced manager and operative training is planned for 2019.
10. In last year's report the issue of fire risk was highlighted. One of the key projects over the last 12 months, following a successful capital bid for funding, has been the installation of a new fire alarm and some associated fire suppression systems in the council owned parts of The Shambles. The solutions have now been installed. In addition the Health and Safety Service has been supporting the council with identifying and mitigating fire risks following the acquisition of additional properties in Swinegate.
11. Other areas of work undertaken relate to asbestos management and water hygiene control. Issues from these health and safety risks do arise from time to time so regular monitoring is required. In the case of water hygiene the monitoring is undertaken by a contractor and following allegations of poor performance, a thorough investigation was undertaken and any issues promptly addressed.
12. An internal audit report has been undertaken in relation to the operation of the Safety Advisory Group (SAG). This multi agency group is tasked with reviewing the proposals of organisations holding events in the city to ensure adequate

contingency and health and safety plans have been made. This is to avoid major incidents and ensure the Event Organiser have undertaken their role diligently. The report has recommended a number of improvements and these are being implemented in the current financial year including resourcing the support to the group.

## Accidents and Incidents

**Table 1 - Top 5 Work Related Incidents by Type**

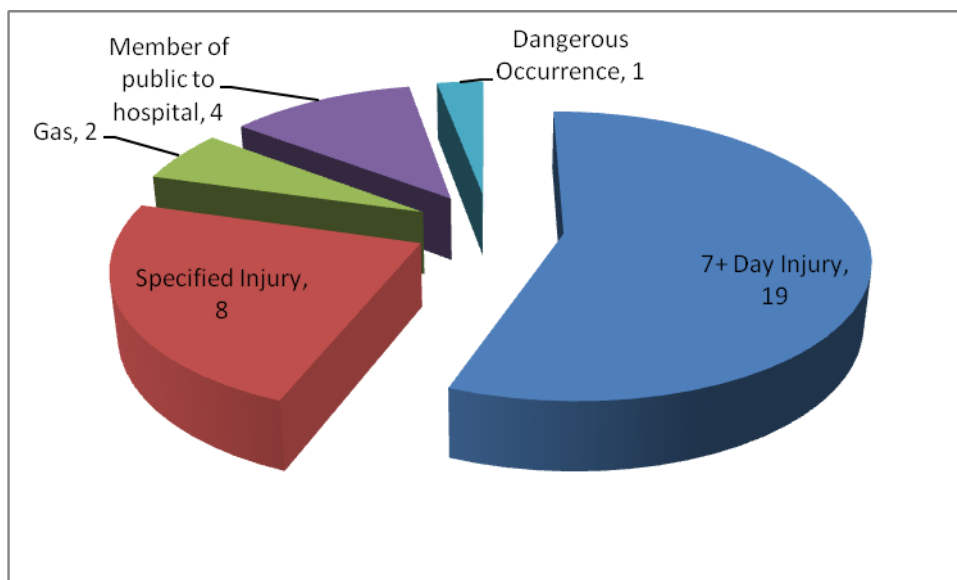


13. The council undertakes many activities to mitigate health and safety risk. Unfortunately accidents and incidents can still occur and when they do they are monitored and investigated. Table 2 shows the top 5 accidents by cause across CYC over the last financial year. Verbal and violent aggression still continues to be a major cause of incident reported and these are steadily increasing. This may, in part, be due to better reporting as the council have tried a number of ways to raise the profile of this issue. This has included incorporating the issue specifically in the Corporate Health and Safety Policy and actively encouraging staff to report incidents (so it is not simply seen as part of the job). However it may also be due to the challenging environments in which colleagues work. In one instance at an adult care facility a number of staff were injured during an assault.
14. In addition the number of incidents involving child aggression is also one of the largest causes of incident reported. The causes of this are complex and consequently further work is ongoing to understand these in order to implement possible solutions which are challenging. One of the incidents was reportable to the health and safety enforcing authority under the provisions of Reporting of

Injuries Diseases and Dangerous Occurrences Regulations (RIDDOR). This law requires the council as an employer to report certain incidents to the government agency, Health and Safety Executive (HSE).

15. The number of requests to give access to staff and use of the council's Staff Warning Register appears to be increasing. The Staff Warning Register is maintained within the incident reporting system and identifies risks within communities of which staff need to be aware and take mitigating action to address if undertaking visiting duties. The number of entries is increasing alongside the numbers of incidents being reported.
16. From the data available there has been a drop in the number of slips, trips and falls from 105 to 54 so it is no longer the biggest single cause of incidents reported. Conversely handling, lifting and carrying has now become the biggest cause of incidents with an increase in number from 32 to 69. This could be due to council wide activities relating to the active management of sickness absence, so managers are proactively identifying the causes of sickness absence and whether they are associated with specific incidents and reported using the incident reporting system. Manual handling injury is a national issue so it remains essential that tasks involving manual handling activities are risk assessed and avoided if practicable. Staff continue to receive manual handling awareness training and are encourage to raise issues to their line management.

**Table 2 RIDDOR Notifiable Incidents by Reason for Financial Year 18/19**



17. Some incidents are particularly serious and as such there were 34 accidents notifiable to the HSE under the provisions of the RIDDOR. This was a increase from 12 the previous year and area which will be monitored over the current year to identify any long term trend. There may be a number of factors involved in this increase from better reporting by staff through to improved monitoring by managers (post incident) to clearly identify the causes of sickness absence. 8 of the 19 “over 7 day” injuries were due to manual handling activities. These injuries

can be difficult to attribute to a specific incident. It is therefore essential that managers discuss the circumstances of the ill health with the employee at the time of the injury, during keep in touch meetings and post return to work.

18. The 8 specified major injuries (these involving fractures of major bones, amputations etc) have no identifiable trends. The majority, five, being slips and trips (which was the biggest cause of all RIDDOR reportable accidents). However the incidents occurred in a wide variety of locations so no single cause or solution has been identifiable. One incident involved an individual being hit by a moving vehicle in the waste service and this has been subject to a very detailed investigation.
19. Any statistics that involving increases in RIDDOR notifiable incidents needs to be evaluated and addressed. Consequently the council is considering how to address any cultural issues that may have resulted in poor health and safety practice. There is therefore a session with Directors and Assistant Directors planned for October 2019 on health and safety where this will look at any cultural issues that can be addressed to improve health and safety performance. In addition the council's Joint Health and Safety Committee have started to monitor accidents and incidents on a more regular basis in order to ensure the council's Safety Management System is adhered to and Health & Safety practice is improved across the council.

### **Performance of the Health & Safety Service**

20. The shared Health and Safety Service continue to monitor council activities and undertake formal inspections to identify any areas of concern as shown in Table 3. In this current financial year this work is planned to increase, particularly in schools, following the formation of the dedicated schools team. In addition to the table a number of sites are visited, whether this is part of planned detailed complex audits or as part of the enhanced role in supporting the council when undertaking construction activities. The latter activities are governed by the Construction (Design and Management) Regulations (CDM) which is a key area of work. At the moment it is not possible to provide detail of this construction monitoring activity, however this is one of the elements to be included in the new Health and Safety system software (see paragraph 27 below).

**Table 3 - Summary of inspections and audits of CYC Properties**

<b>Type of Visit</b>	<b>Number of Visits</b>
School H&S Inspections	21
School Fire Risk Assessment Review	10
Asbestos Management Inspections/ audits	13
Corporate formal H&S visits	15
Corporate Formal Fire Risk Assessments	15

## National Issues

21. Following the Grenfell tragedy and other high profile fires (and the subsequent Independent Review of Building Regulations and Fire Safety) the government has released a consultation document; Building a safer future: proposals for reform of the building safety regulatory system. This outlines the proposals for the wide ranging reform of fire safety system particularly targeted (at least initially) to those residential buildings more than 18 metres (that is 6 storeys or more) and houses of multiple occupation.

## Looking forward to the Year 2019 – 2020

22. The Shared Health and Safety Service has an enhanced role in supporting the council on construction projects. This has involved introducing specific arrangements for the management of the capital programme and funding additional health and safety resource to support this programme. This will then be rolled out across the council. Work has already commenced and will be further enhanced over the coming year. As part of the annual health and safety review undertaken by Internal Audit they will be focussing on compliance with the client duties under CDM Regulations.
23. CYC will also be encouraging partner organisation such as schools who are academies or form part of multi-academy trusts (MAT's) to appoint competent people or organisations to ensure undertake the works are designed and built to health and safety standards. The appropriate implementation of CDM is a national issue and consequently the Shared Health and Safety Service is hosting regional event at Harrogate Pavillions on 10<sup>th</sup> October 2019 for school business leaders at which the HSE, as health and safety regulator, are the keynote speakers.
24. In order to enhance the health and safety support in schools there has been the creation of specialist school team which provides support to schools across the region. To ensure there is robust reassurance within CYC there will include regular meetings between the schools service leads and senior management. There is also the additional specialist CDM support provided to the major schemes
25. In addition to construction the Health and Safety Executive (HSE) have also significant plans across the public sector and are particularly interested in the application of the Stress Management Standards which have been in place for a number of years. Stress is still the leading cause of sickness absence across the public sector as a whole. The HSE are also going to provide direction and guidance to key stakeholders in health and social care on the management of

violence and aggression in the workplace. It will be interesting to see what this looks like as it has been an area that CYC has monitored for a number of years.

26. The HSE also plan to look at the issues posed by the new delivery models across the public sector as they accept that these arrangements no longer form a traditional employer/employee or even client /contractor relationship. In addition to this they plan to look at the use of volunteers particularly in relation to high risk activities. Considering this issue will be welcome as delivery across councils can be highly complex.
27. Finally a key project for the coming year planned from October 2019 will include the roll out of a new comprehensive health and safety information management system. The system is being launched at both CYC and NYCC councils and includes accident/incident reporting, risk assessment, audit and inspection and activity reporting. This will help bring a number of disparate H&S processes into one solution and allow real time reporting. The system will then be made available to schools and other traded service clients. This should address current issues around providing timely and accurate data and assist CYC in learning from incidents and accidents, and addressing health and safety culture issues where they exist.



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**Joint Portfolio:**  
**Executive Member for Finance & Performance**  
**Executive for Housing and Safer Neighbourhoods**

12 August 2019

Report of Assistant Director, Customer & Digital Services

## **Financial Inclusion Interim and Future Funding Strategy**

### **Summary**

- 1) This report presents proposals for Financial Inclusion (FI) funding allocations for 2019/20 and the development of a longer term future funding strategy to feed into the 2020/21 annual budget process.

### **Recommendations**

- 2) The Executive Members are asked to:
  - a) approve the recommended Option 1 to extend the 2019/20 allocations to safeguard any successful and appropriate current schemes at risk in the short term; and
  - b) approve the delivery of a longer term strategy for the sustainability of successful Financial Inclusion projects.

*Reason: To ensure that councillors, residents, partners and groups are aware of financial inclusion activity and approval/use of associated funding. Also to ensure approved scrutiny actions are implemented.*

### **Background**

#### **Financial Inclusion Funding Scheme 2019/20**

- 3) This Scheme has now been running for a number of years and in the last two years under the badge of 'Improving Finances Improving Lives' Scheme. The competition for funds is normally launched in or around March each year.
- 4) The competition panel is made up of 3 council officers not associated with the operational funding of any of the bidding organisations. They assess

the bids set against clear criteria agreed by the Financial Inclusion Steering Group (FISG) and usually with a priority criteria e.g. supporting people with Universal Credit claims, digital inclusion or supporting those with mental health challenges. The officers then consult with the Executive portfolio holders on the draft successful bids, and the outcome is confirmed in an officer decision made by the Director of Customer & Support Services which is published.

- 5) The last competition resulted in the 2018/19 awards contained in the table at Annex A. Given that City of York Council (CYC) had a full council election in May 2019 and was in purdah from around March 2019, it was necessary for a decision to be made on the 2019/20 scheme. This was in light of the fact that the inability to hold a competition during purdah could put some very successful projects at risk as they would become unfunded at the end of March 19, and currently underpin some of the council's approach to mitigating financial difficulties for residents including the impact of universal credit.
- 6) As such the joint portfolio holders at the time agreed to extend the funding for any existing schemes where appropriate to the end of September 2019. This has cost £29k from the available 2019/20 budget of £110k (£100k base budget plus 10k was carried forward from the 2018/19 round), leaving a £81k budget for the remainder of 2019/20.
- 7) The recurring base budget is £100k per annum going forward and is completely separate from the Community 4 Growth (one-off) funding and the recurring York Financial Assistance Scheme (YFAS) and Discretionary Housing Payments (DHP) budgets (see Annex B for further details). A £12k increase has been approved as part of the Supplementary Budget at Full Council on 17th July 2019 for 2019/20. This supplementary amount gives a total remaining budget of £93k for the current year (19/20).
- 8) Officers feel that there are two possible options to mitigating any gap in provision of grant funded schemes this year – these options are reviewed in more detail at paragraphs 14-15 below :

### **Option 1**

Extend the current schemes due to end at any point in 2019/20, to 31st March 2020 at an estimated highest cost of £82,343 (Annex A) with any future competition subject to the funding review outlined at Paragraphs 10-12 below.

### **Option 2**

Run a competition for new schemes in August 2019 to start from 1st October 2019 (thought would need to be given as to the length of the schemes). This would assume full use of the £93k in the current year and £100k in any future years.



Then there is a final option which will not mitigate the gap:

### **Option 3**

Do nothing and repurpose the funding for this and future financial years in line with other council plan and budget priorities.

### **Recommended Option**

- 9) To work in conjunction with the proposal to develop a longer term funding strategy (see paragraph 10-12), it is recommended that **Option 1** is approved. The full financial implications are outlined in Annex A to the report. Contacts for all the projects that have responded (responses are awaited from 2 organisations) and indicate that they can continue to deliver clear outcomes if an extension was agreed. This would be subject to a thorough review of deliverability, a written service level agreement and regular monitoring arrangements by the council.

### **The development of a longer term funding strategy**

- 10) Partners such as Citizen Advice York (CAY) and others have indicated concern about successful schemes being funded from short term funding pots when the affects of Universal Credit (UC) and other poverty impacts such as food and fuel poverty, are long term. As reported in a recent Welfare Benefits report considered by Executive on 18th July 2019, the transition of up to approximately 5000 more residents to UC in the period up to around 2022 is likely to require claiming, budgeting and debt support for many years to come.
- 11) It is recommended therefore that as part of the next budget consultation and planning process, that strategies around securing longer term solutions to those schemes that have had a successful track record in delivering real outcomes for residents, are developed and secured in 3 year (or more) Service Level Agreements. The budget approvals would be sought during the coming budget setting process for 2020/21 and the Service Level Agreements approved individually at joint portfolio holder decision sessions.
- 12) Sustainability of financial inclusion projects should also be considered as part of the development of the refreshed Financial Inclusion Policy later this financial year. Both actions will assist in delivering the agreed recommendations from the Financial Inclusion Scrutiny Review (as approved by Executive 18th March 2019).

### **Consultation**

- 13) The revised Financial Inclusion Policy and the Budget Strategy will be both subject to public consultation during 2019/20.

## Options and Analysis

### 14) Option 1

*Extend the current schemes due to end at any point in 2019/20, to 31st March 2020 at an estimated cost of £82,343 (Annex A) with any future competition subject to the funding review.*

This would remove any in year uncertainty for the schemes and allow a full review of the use of FI funding during the next annual budget process. This would seek to address the long term sustainability challenge of some projects such as the CAY debt support work which have become critical services for residents and where demand continues to increase given the protracted rollout of UC.

### 15) Option 2

*Run a new Competition in August 2019 to run for an agreed length of time from 1st October 2019.*

This gives the opportunity to reopen the field to the possibility of new ideas and providers coming forward and a longer term period e.g. 18 months or more would give some longevity to successful schemes. It would continue to allow resources and services to be directed to specific areas/client groups most in need. A shorter period of less than one year is unlikely to be viable for many organisations and could favour existing projects which are already established.

This option would not address the long term funding issues raised by the aforementioned scrutiny review or its agreed actions.

### 16) Option 3

*Do nothing and repurpose the funding this and future financial years.*

This will allow a repurposing of the current available £93k 2019/20 funding and the future annual £100k funding to other council priority areas. However, unless this is repurposed to support key schemes with proven successful outcomes this could result in a significant reduction in support for both residents experiencing difficulties but also partners who rely on the advice and support some of the funded schemes give them.

## Council Plan

17) Outcomes achieved by the activities covered in this report help to deliver the following emerging outcomes in the draft Council Plan:

- Good Health and Wellbeing
- Well-paid jobs and an inclusive economy
- A Better Start for Children and Young People.

## Implications

18)

- a. **Financial:** The proposals contained in this report will be funded from existing and supplementary Financial Inclusion budgets. The future strategy will inform the future budget decisions in the planned budget setting processes for 2020- 25.
- b. **Human Resources (HR):** None for CYC but will impact on staffing resources and capacity for those organisations receiving Financial Inclusion funding.
- c. **Equalities:** Financial inclusion funding is directed at front line delivery of support to diverse groups across the city but specifically targets York's Equality Strategy (2016-20) around Economic Security.
- d. **Legal:** The content of this report contributes to meeting requirements set down on the Equalities Act 2010 as described above.
- e. **Crime and Disorder:** None
- f. **Information Technology (ICT):** None
- g. **Property:** None
- h. **Other:** No known implications

## Risk Management

19) The controls and evidence in this report mitigate/minimise risks associated with the impacts of poverty on the communities of York. The Council has seen the pressure on welfare budgets and York Financial Assistance Scheme rise, and a significant increase in the use of Foodbanks since the introduction of welfare benefits changes. These are likely to increase during full transition to UC in future years.

**Contact Details Author:                      Chief Officers Responsible for the report:**

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**Report Approved**

**Date** 31/7/19

**Specialist Implications Officer(s)**

Financial: Ian Floyd, Director of Customer & Corporate Services

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

**All**

**Annex A:** Current 'Improving Finances Improving Lives' Financial Inclusion Projects and Financial Projections

**Annex B:** Source of Financial Inclusion Funding

**Background Papers:**

Financial Inclusion Scrutiny Review – March 2019:

- Customer & Corporate Services Scrutiny Management Committee  
<http://modgov.york.gov.uk/ieListDocuments.aspx?CId=144&MId=10489&Ver=4>
- Executive:  
<http://modgov.york.gov.uk/ieListDocuments.aspx?CId=733&MId=11469&Ver=4>

Recorded decisions on Awards under the 'Improving Finances, Improving Lives' grant scheme:

- 2018/19 Awards:  
<http://modgov.york.gov.uk/ieDecisionDetails.aspx?ID=5217>
- Extension of 2018/19 Awards:  
<http://modgov.york.gov.uk/ieDecisionDetails.aspx?ID=5434>

Annual Financial Inclusion and Welfare Benefits Activities Report 2018/19:

- <http://modgov.york.gov.uk/ieListDocuments.aspx?CId=733&MId=11107&Ver=4>

**List of abbreviations used in this report:**

FISG	Financial Inclusion Steering Group
CYC	City of York Council
YFAS	York Financial Assistance Scheme
DHP	Discretionary Housing Payments
UC	Universal Credit
FI	Financial Inclusion
CAY	Citizens Advice York

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## Current 'Improving Finances Improving Lives' Financial Inclusion Projects and Financial Projections

Organisation	Project	Grant	Start	End	Duration	Ext. to 30/9/19	No. Mths	To 31/3/20	No. Mths
Citizens Advice York (CAY)	Advice York	£10,390	01/06/2018	31/05/2019	1 yr	£ 3,463.33	4	<b>£5,195</b>	6
Welfare Benefits Unit	UC Focus	£10,908	01/06/2018	31/05/2019	1 yr	£3,636.00	4	<b>£5,454</b>	6
CAY*	Debt Support	£49,875	01/07/2017	30/06/2019	2 yrs	£6,234.38	3	<b>£12,469</b>	6
CAY	GP Outreach	£24,054	01/07/2018	30/06/2019	1 yr	£6,013.50	3	<b>£12,027</b>	6
CAY	Community hubs (cafes)	£38,452	01/07/2018	30/06/2019	1 yr	£9,613.00	3	<b>£19,226</b>	
Older Citizens Advocacy York	Benefits advocacy	£ 4,091	01/10/2018	30/09/2019	1 yr			<b>£2,046</b>	
Peasholme/Foodbank	Advice service	£ 9,484	01/10/2018	30/09/2019	1 yr			<b>£4,742</b>	6
Changing Lives	FI/pre-employment	£24,500	01/11/2018	30/10/2019	1 yr			<b>£10,209</b>	5
York Advocacy Hub	Benefits/advice support	£15,587	01/12/2018	30/11/2019	1 yr			<b>£5,196</b>	4
Experience Counts	50+ project	£28,892	01/10/2018	31/12/2019	15 mths			<b>£5,779</b>	3
						<b>£28,960.21</b>		<b>£82,343</b>	

All 2018/19 funded except\*

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## Annex B

<b>Source of Financial Inclusion Funding</b>			
<b>Description</b>	<b>Source</b>	<b>Value 2019/20</b>	<b>Support</b>
YFAS	Revenue Budget	£209k	<ul style="list-style-type: none"> <li>• Community Grants</li> <li>• Emergency payments</li> <li>• Council Tax Assistance</li> </ul>
DHP	Central Government	£210k	<ul style="list-style-type: none"> <li>• Discretionary payment towards housing costs</li> </ul>
	Council Top-up	28k	
FISG	Revenue Budget	£100k	<ul style="list-style-type: none"> <li>• Improving Finances</li> <li>• Improving Lives Scheme</li> </ul>
Community 4 Growth	One- off project funding over two years	£250k	<ul style="list-style-type: none"> <li>• Community based self-supporting initiative to develop financial resilience for residents delivered at a local level on a multi agency basis.*</li> </ul>

YFAS – York Financial Assistance Scheme

DHP - Discretionary Housing Payments

FISG – Financial Inclusion Steering Group

\* Themes: jobs & skills; business & enterprise; financial resilience and community capacity building

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